

Proposals Due: **May 30, 2013** by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from qualified organizations to provide implementation and support services for Phase II of NYSEDA's Cleaner, Greener Communities (CGC) Program. The selected contractor will be responsible for providing overall program and project consulting services including: assisting with CGC Phase II program design development; assisting with the grant award process (including screening Phase II proposals for accuracy and compliance); managing the Phase II implementation grant contracts; finalizing project scopes (activities and deliverables), budgets, and schedules for successful applicants; assisting with the contracting process; providing technical support to program staff and grant awardees (including identifying additional energy savings and sustainable design opportunities for projects as requested); providing quality assurance of energy and greenhouse gas reduction analysis methodologies and calculations; developing and tracking program metrics; performing field project inspections; and assisting in other program implementation and planning activities as requested by NYSEDA.

The objective of this RFP is to competitively select and award, from the pool of proposers, one program implementation and support services contractor. Up to \$4.5 million is available for an initial three-year term with the ability to renew for an additional 3 years.

A pre-bid question and answer session for interested organizations will be held during a webinar on Tuesday, May 7, 2013 from 2:00pm-4:00pm. Organizations can reserve a webinar seat by going to <https://www2.gotomeeting.com/register/508728330>. The conference call in information is 1-800-704-9804 and the participant code is 9612324#. Please note that space is limited to 100 participants so it is preferable that individuals from the same organization participate as a group rather than registering individually. For people who are unable to attend the webinar, a post-webinar questions and answers document may be posted on NYSEDA's web site.

Proposal Submission: Proposers must submit four (4) hard copies of the completed proposal with a completed and signed Proposal Checklist must be attached to the front of each copy, one of which must contain an original signature. Proposers must also submit an exact scanned image of the complete, signed hard copy, including all attachments, in the form of a single .pdf file on a compact disc. Proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 2647
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Jessica McKee at (518) 862-1090, ext. 3454 or jfm@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext.3507 or vwf@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by Jessica McKee at (518) 862-1090, ext. 3454 or jfm@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract. Proposals must be **received by NYSEDA*** on or before 5:00pm Eastern Time, **May 30, 2013**. Late proposals will be returned.

***Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSEDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEDA's web site at www.nyserda.ny.gov.**

I. Introduction

The Cleaner, Greener Communities (CGC) Program was announced by Governor Cuomo in his 2011 State of the State address as a \$100 million competitive grant program to encourage communities to develop regional sustainable growth strategies. CGC is funded with proceeds from the Regional Greenhouse Gas Initiative (RGGI), the purpose of which is to lower greenhouse gas emissions in the Northeast. In addition to its participation in RGGI, New York State has a goal of reducing greenhouse gas emissions 80% below the 1990 levels by the year 2050. CGC is a two phase program. Phase I provided funding to regions to support the development of regional sustainability plans. Phase II provides funding to implement projects that contribute to the achievement of the goals identified in the regional sustainability plans that were developed in Phase I. A description of each phase of CGC is provided below.

Phase I of CGC:

Phase I provided grant funding to each of the ten regions in New York State, as defined by the boundaries of the Regional Economic Development Councils (REDCs), to develop comprehensive regional sustainability plans. The regional plans outline specific and tangible actions to reduce greenhouse gas emissions in line with the Statewide goal, inform municipal land-use policies, and serve as a basis for local government infrastructure investment.

These plans include:

- Assessments of current greenhouse gas emissions and energy use, along with available natural resources and economic assets, liabilities, and opportunities;
- Sustainability targets for energy generation and consumption, transportation, waste and water management, land use, housing, agriculture, and economic development; and
- Outlines of short- and long-term actions the region could take to achieve targets and goals.

Phase II of CGC:

Phase II provides funding, on a competitive basis, for the implementation of specific projects that provide the greatest opportunities for achieving carbon reductions, energy savings, and renewable energy deployment consistent with the sustainability plans developed by regions in Phase I of CGC and the REDC strategic plans. By integrating smart growth principles in all aspects of project execution, these innovative and exemplary projects will be more holistic in nature and exhibit positive impacts at a scale larger than typical NYSERDA-funded projects. The Phase II incentive solicitation will be released as a competitive Program Opportunity Notice (PON). Approximately \$90 million will be made available to fund projects selected under the incentive solicitation. Based on funding availability, NYSERDA is considering the release of implementation funds in three annual rounds. Please note that any mention of potential project types, funding categories, incentive solicitation release schedule, and range of projects included in this RFP is subject to change as the program is currently under development.

Terminology

For the purposes of this solicitation, terminology related to NYSERDA's CGC Program is as follows:

- **REDCs:** are appointed by the Governor to oversee the regional growth and development strategies they have defined to meet the goals and objectives for regional growth. (See <http://nyworks.ny.gov>)
- **REDC Strategic Plan:** refers to the summary plan that each region submitted to the State of New York as part of the Governor's New York *Open for Business* Regional Economic Development Councils competition in 2011. The Plan describes the characteristics, demographics, geographic and economic data, challenges and opportunities unique to a region. It also provides an outline to grow the regional economy by focusing on Priority Projects which stimulate investment and growth in the region.
- **Economic Development Growth Extension (EDGE) Program:** NYSERDA outreach program designed to bring knowledge about NYSERDA's programs to local communities through promotion, education, and encouragement; and to increase the implementation of sound energy practices to help New York State reach its goals for energy efficiency, renewable energy and environmental stewardship.
- **Regional Outreach Contractors (ROCs):** Locally based representatives working on behalf of the EDGE program to provide information about NYSERDA program opportunities across market sectors with the intention of increasing overall NYSERDA program participation. These contractors will be involved in the promotion of Phase II of the Cleaner, Greener Communities Program.

- Consolidated Funding Application (CFA) refers to the online application for accessing State resources currently available from multiple New York State agencies and authorities (See <https://apps.cio.ny.gov/apps/cfa>).
- Region: refers to one of the ten (10) Economic Development Regions as defined by Empire State Development. Regions include: North Country, Capital District, Mid-Hudson, Long Island, New York City, Mohawk Valley, Southern Tier, Central New York, Finger Lakes and Western New York. A map of these regions can be found at <http://regionalcouncils.ny.gov/>.
- Regional Sustainability Planning Consortias: refers to the 10 regional teams awarded funding through Phase I of CGC and tasked with developing the Regional Sustainability Plans.
- Regional Sustainability Plan: refers to the sustainability plans developed by the regions in Phase I of CGC.
- “Implementation Contractor” or “Contractor”: The proposer awarded a competitively-selected contract through this RFP.

II. Proposer Requirements and Qualifications

NYSERDA anticipates awarding one Statewide implementation contract through RFP 2647. Proposers may be a single company or teams 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 RFP 2647. The successful proposer must demonstrate that they have a clear understanding of the CGC program and experience in implementing large scale sustainability projects targeting Greenhouse Gas (GHG) reductions as well as experience in implementing project-based commercial and industrial efficiency programs.

Proposers must demonstrate the ability to provide, at a minimum, all services as outlined in RFP 2647 including the ability to work effectively as a team member with a diverse group of stakeholders; the ability to be flexible and responsive to changing program needs; and any previous experience in the successful management of complex programs (on time and within budget). Projects and municipalities in all counties within in the State of New York are eligible to apply for Phase II CGC funding and proposers shall explain how they will cost-effectively provide the services outlined in this RFP in a high quality manner across all counties within the State of New York.

1. Experience and Knowledge Requirements

Proposers must clearly demonstrate their ability to provide the necessary technical expertise and programmatic advice, both in support of assisting NYSERDA in developing the Phase II incentive solicitations and ability to provide technical support to projects selected through that solicitation. Anticipated benefits associated with Phase II CGC projects include the sustainability indicators as outlined in each regional sustainability plan. Not all projects will positively influence all of the indicators outlined in their Regional Sustainability Plan, but every project application must positively influence at least one sustainability indicator in their region’s sustainability plan. Although each region’s sustainability plan will contain unique sustainability indicators, projects in Phase II will generally fit within one of the areas listed below. Proposers must clearly demonstrate experience in each of the below areas to be able to provide project consulting services to a diverse range of implementation projects.

1. Greenhouse gas emissions
2. Transportation
3. Land-use and livable communities
4. Energy efficiency
5. Renewable energy
6. Waste management
7. Water management
8. Climate change adaptation
9. Governance
10. Economic development

The proposer will need to understand and have the ability to calculate GHG emission reductions, electric and natural gas energy savings, and demonstrate experience in sustainable land-use, water management, waste management, resiliency, and climate change adaptation strategies. It is envisioned that in addition to large-scale implementation projects, NYSERDA will fund community sustainability planning efforts and efforts to adopt streamlined permitting for technologies such as Photovoltaic (PV) systems and Electric Vehicle (EV) charging

stations. Thus, the proposer will need to demonstrate experience in PV, EV, land-use planning and local government operations when proposing to this RFP.

The proposer should structure the “Qualifications” section of their proposal by addressing skills, abilities, and experience in each of the above 10 areas as well as including specific skills in PV, EV, and land-use planning and local government operations underneath the associated category (e.g. technical skills in PV can be included under “Renewable Energy”; technical skills in electric vehicle charging stations can be included under “Transportation”; land-use planning can be included under “Land-use and livable communities”; and experience working with local governments in adopting streamlined permitting, ordinances that target sustainable development, etc. can be included under “Governance”) when proposing to the RFP. In addition to highlighting technical qualifications, the proposer should also demonstrate experience developing and tracking program and project metrics. Data management, project tracking, reporting and metrics development will be a primary task assigned to the Contractor as outlined in Section III below.

Examples of professional qualifications that may address the needs of the above referenced potential project types and contractor abilities include:

- Certified Carbon & GHG Reduction Manager (CRM®) and/or Environmental Professional in Greenhouse Gas – EP(GHG)
- Minimum of five years experience in engineering or architecture (PE – Professional Engineer or RA – Registered Architect preferred) or energy systems, with a technical background in energy efficiency in commercial and residential buildings
- Certified Energy Manager (CEM®) certification
- U.S. Green Building Council’s LEED® Green Associate™ or higher credential and experience with LEED for Neighborhood Development
- Experience in Net Zero Energy Building Design
- North American Board of Certified Energy Practitioners (NABCEP) Certified Photovoltaic (PV) Installer
- Renewable Energy Professional (REP™) certification
- Master’s Degree in Urban Planning
- Qualified Environmental Professional (QEP) certification

2. Contractor Responsibility

As the resources required will vary depending on the number of proposals selected for funding under the upcoming Phase II incentive solicitation, an Implementation Contractor that has the flexibility to increase and decrease efforts based on volume and has a diverse team with experience across a variety of sectors will be necessary. The successful proposer shall employ and provide dedicated, capable, experienced and appropriately credentialed New York State-based field staff, strategically located throughout the State, to provide the required quality assurance, administrative, and technical support to Phase II program applicants. The Implementation Contractor shall ensure its existing field and administrative staff, and any staff hired during the term of this contract, is provided with any information, training, and equipment necessary to fulfill these requirements. It is anticipated that minimal marketing services will be required by the Implementation Contractor as Phase II of CGC will be marketed by using existing NYSERDA program resources. Implementation Contractor performance will be assessed based on an analysis of their responsiveness to NYSERDA and customer needs, assistance regarding projects meeting and tracking milestones, and required reporting on metrics, which include but are not limited to project activities, energy savings, and greenhouse gas emissions reductions. The Implementation Contractor shall be required to submit monthly invoices in a NYSERDA approved format including a monthly report as described under Task 1 below.

3. Available Funds, Limitations, and Contracting

A total amount of \$2,229,480 is currently available for the initial 3 year term. An option to renew for up to three additional years will be exercised at NYSERDA’s discretion. NYSERDA anticipates receiving additional funding for the services outlined in this solicitation. If available, additional funds beyond this amount may be provided to further support these efforts. Proposals should anticipate \$4.5 million as the total funding for implementation activities over the full 6 years term. All available funding for this RFP is dependent on anticipated, continued revenue from the Regional Greenhouse Gas Initiative (RGGI) that NYSERDA administers on behalf of the State

of New York. NYSERDA shall have no liability under this Agreement to the Implementation Contractor or to anyone else beyond funds appropriated or otherwise available for this Agreement.

NYSERDA reserves the right to:

- Adjust the total amount of funding based on the program's success, funding source approval requirements, availability of new funds, or other factors addressing the successful outreach of NYSERDA program(s);
- Terminate at any time if Contractor is under performing, or to require the Contractor to terminate staff or subcontractors that are under performing;
- Incorporate necessary program changes by modifying or adding to the services required;
- Tailor the services as needed within the scope of the contract;
- Add necessary, additional funds to the contract at any time; and
- Interview proposers or individuals assigned to work on this Agreement as a secondary stage in the selection process, if determined necessary by NYSERDA.

NYSERDA will negotiate the contract for services in fulfillment of the needs of this RFP on the basis of demonstrated competence and qualifications. Contract negotiations may include, but are not limited to, the selected proposer's fee schedules to ensure work is accomplished at fair and reasonable rates.

III. Services Required

All the activities and materials associated with the Implementation Contractor's delivery of services are subject to NYSERDA review and approval. All tasks and deliverables outlined in this RFP are subject to change, based on the evolving needs of the CGC Program. Ownership of work product created as part of the Contractor's fulfillment of services funded under this contract will reside with NYSERDA, unless otherwise established through written agreement with NYSERDA.

Task 1: Program Policy, Procedures, and Design (~15% of budget)

The Implementation Contractor shall provide support to NYSERDA in developing program goals; developing reporting structures, including database or other tracking systems as appropriate; assisting in writing, reviewing and commenting on Phase II CGC incentive solicitations; and performing all other tasks as assigned by NYSERDA designed to support CGC program planning and implementation. The Implementation Contractor will work in a team environment that includes the CSC contractors, REDCs, Regional Sustainability Planning Consortia, and other relevant NYSERDA program staff to ensure that incentives and implementation efforts are not duplicated. Additionally, the Implementation Contractor will be required to regularly communicate with other New York State Agencies to foster inter-agency collaboration and enable involved agencies to integrate their staff and programs with the goals of the CGC Program. The Phase II Implementation Contractor will be expected to work closely with the Phase I Implementation Contractor and NYSERDA CGC program staff to facilitate any necessary coordination between the two Phases of the CGC program.

Deliverables: As assigned by the NYSERDA Project Manager, specific tasks and deliverables may include the following:

- Assist in developing project reporting templates, the Phase II CGC incentive solicitation, and all other program documents as assigned by NYSERDA;
- Assist in establishing protocols to be used to verify energy savings and project performance of projects funded by Phase II of CGC;
- Coordinate follow up evaluation needs and work with NYSERDA's Energy Analysis and Performance Management and Evaluation Systems units;
- Develop a comprehensive site inspection program plan for approval by NYSERDA;
- Attend progress meetings, participate in conference calls and participate in other programmatic communications as deemed necessary by NYSERDA on an as-needed basis. At a minimum, the Contractor will participate in weekly conference calls and periodic meetings with NYSERDA;
- Identify and document program enhancements and improvement opportunities, including to NYSERDA's databases;

- NYSERDA anticipates Measurement and Verification (M&V) may be required for large-scale implementation projects. M&V protocols and requirements are currently being developed by NYSERDA and may include, but are not limited to, application of International Performance Measurement and Verification Protocols (IPMVP). The Implementation Contractor shall provide feedback and support in developing these protocols and be able to understand and apply IPMVP. Proposers are encouraged to submit similar M&V strategies for the diverse range of implementation projects expected to be funded under the incentive solicitations;
- Coordinate services and regularly communicate with, other NYSERDA staff, other NYSERDA contractors, and other key stakeholders, as directed by NYSERDA. Specifically, the Contractor will be required to coordinate a kick-off meeting before each release of the incentive solicitations for Phase II between relevant NYSERDA staff, CSC contractors, EDGE Program ROCs, and others to discuss roles and coordination;
- Prepare and submit to NYSERDA monthly progress reports (one combined for all Regions and one for each Region broken out by sector [land-use and livable communities, energy efficiency, renewable energy, etc.] receiving CGC funding) to provide an update to CGC program staff and substantiate monthly invoices. The monthly reports shall include: a detailed description of the task activities completed during that time period, accounting of applicable metrics, the status of each project, a brief discussion of “lessons learned,” a summary of the total costs incurred by task and any in-kind services provided, a detailed summary of staff hours by task, a listing of ongoing, completed and upcoming task activities, a listing of items for NYSERDA’s approval, and a summary of any potential issues. The Implementation Contractor shall supplement the monthly progress reports with e-mails and phone calls to the NYSERDA Project Manager on an as-needed basis. As part of the monthly report, the Implementation Contractor shall include a detailed list of planned activities for the next month for review and approval by the NYSERDA Project Manager. The Contractor shall notify the NYSERDA Project Manager of any proposed changes in the monthly plan of activities. These monthly reports will be required for payment of contractor invoices;
- May be required to prepare and facilitate development and launch of webinars or regional meetings prior to the release of each incentive solicitation. NYSERDA anticipates between three and five regional meetings per incentive solicitation release; and
- Complete other tasks as approved by NYSERDA.

Task 2: Review and Delivery of Projects Selected for Phase II CGC Funding and other On-going Program Support (~60% of budget)

The Implementation Contractor shall gather, review and verify appropriate documentation of the completion of each stage of customer projects, conduct multiple site inspections, provide day-to-day assistance to customers, and comply with all payment verification requirements of NYSERDA. The Implementation Contractor may also be responsible for providing support to programs that are similar in nature to CGC. NYSERDA anticipates up to 90 large-scale implementation projects will be awarded through the Phase II incentive solicitation. NYSERDA anticipates providing incentives to a range of between 10 and 40 projects for community sustainability planning efforts. The services required for these projects will be similar to the large scale projects with the exception of site inspections and M&V. Projects will be required to commence within one year of award and NYSERDA anticipates each project being completed within three years from the award date. Each project will be required to submit a detailed scope of work with their application. Note that these project totals include the number of projects anticipated over the three-year contract term, which could increase or decrease based on the structure of future incentive solicitation releases.

Deliverables: As assigned by the NYSERDA Project Manager, specific tasks and deliverables may include the following:

- Manage the Phase II implementation grant contracts including finalizing project scopes (activities and deliverables), budgets, and schedules for successful applicants and otherwise assisting with the contracting process;
- Address scope, schedule, quality, budget, and customer satisfaction issues for each of the projects as they arise;
- Field inquiries from program participants and other stakeholders;

- Deliver all support necessary to maintain the evaluation of project proposals submitted under the Phase II CGC incentive solicitation through the CFA such as but not limited to: screening Phase II proposals for accuracy and compliance, evaluating cost and savings claims, verifying energy savings calculations, determining likelihood of successful completion of projects as proposed, etc;
- Provide quality assurance of energy and greenhouse gas reduction analysis methodologies and calculations;
- Conduct all tasks necessary to verify energy savings, project performance and compliance with all other applicable program requirements;
- Conduct pre- and post-implementation site inspections as directed by NYSERDA;
- Work with customer and other project team members to obtain all required documentation for all required progress payments and presenting this information to NYSERDA in a comprehensive format. (NYSERDA anticipates making progress payments for projects, using deliverable-based invoicing);
- Provide necessary technical support to program staff and grant awardees including identifying additional energy savings, sustainable land use, and building design opportunities in projects as requested;
- Ensure projects meet milestones identified in their contracts for project completion. NYSERDA anticipates multiple site inspections for the large-scale projects at different phases of project completion (e.g. 25%, 50%, 75%, and 100% completion). The Implementation Contractor would be responsible for conducting site inspections, taking photos of the project, and preparing a status report for attachment to project invoices for each milestone completed and recommending payment of the invoice;
- NYSERDA anticipates Measurement and Verification (M&V) may be required for large-scale implementation projects. Applicants for large-scale incentive funding will be required to create an M&V Plan in collaboration with the CGC Implementation Contractor. M&V will be required for up to one year after project completion. The Implementation Contractor will be required to provide M&V Plan report comments to customers and service providers; recommend report approvals to NYSERDA; and document and report M&V activities in applicable progress/milestone reports to NYSERDA; and
- Complete other tasks as approved by NYSERDA.

Task 3: Administration of Incentive Applications (~5% of budget)

NYSERDA anticipates providing funding to communities to adopt streamlined permitting and other ordinances for technologies such as PV systems and EV charging stations through a simplified application process. The Implementation Contractor shall establish and maintain a system to accept and process multiple incentive applications to municipalities for small-scale sustainability projects. These projects will likely involve the submission of standardized application forms and required back-up documentation through a streamlined process. The process is expected to function similarly to the pre-qualified program as implemented through various NYSERDA Programs. The standardized forms are currently under development at NYSERDA. The Contractor will be responsible for most of the coordination of this part of the Phase II CGC program, but NYSERDA Project Managers will provide final incentive payment approvals. NYSERDA anticipates awarding between 100 and 200 projects to municipalities in the first incentive solicitation release of the Phase II CGC Program. Unlike the large-scale and sustainability funding components of the Phase II Program, NYSERDA anticipates the funding of efforts to streamline adoption of technologies in municipalities component will be open enrollment and funding awarded on a first-come, first-served basis.

Deliverables: As assigned by the NYSERDA Project Manager, specific tasks and deliverables may include the following:

- Submit applications which have been reviewed and found to meet CGC Phase II requirements, and recommend NYSERDA's approval of incentives. The Contractor shall be responsible for submitting applications for approval in a format approved by NYSERDA;
- Work with the applicant if an incentive application submission is deemed incomplete, or otherwise unacceptable, and attempt to resolve the deficiency. If resolution is not achieved within a reasonable period of time and in accordance with criteria outlined in the Phase II CGC program, the Contractor will, on behalf of NYSERDA, provide written documentation to the applicant identifying the deficiency, and notifying the applicant of denial of the incentive application. These written communications will be based on NYSERDA-approved templates;
- Coordinate with CGC and other NYSERDA staff members with the development of standardized application forms;

- Review applications within 3 days of receipt; and
- Complete other tasks as approved by NYSERDA consistent with this task.

Task 4: Data Management, Project Tracking, and Reporting (~15% of budget)

NYSERDA uses a web-based database and project management tool to store, provide access to, and allow analysis of certain aspects of Program operations and project data. It is expected that an interface within this database (or a similar web-based database) will be created for the management of Phase II of CGC. Thus, the Implementation Contractor will be expected to maintain this database, make recommendations for improvement to the database, and also be prepared to keep track of projects using a simplified project tracking sheet developed by NYSERDA to track project and program information in the event this database is not operational prior to the release of the CGC Phase II incentive solicitation.

The Implementation Contractor shall directly collect and store information regarding all Program activities through use of a NYSERDA approved database system. The Implementation Contractor shall maintain this database system to store information obtained from Phase II program applicants and data generated from internal processing and operations as needed. The Implementation Contractor shall work with NYSERDA to streamline and automate data collection and storage related to implementation of the CGC Phase II Program, including project approval, incentive processing, recordkeeping, and metric reporting; and propose alternative savings calculation methodologies as necessary to ensure projections of energy and greenhouse gas emission savings are accurately reflected in data provided to NYSERDA.

Deliverables: As assigned by the NYSERDA Project Manager, specific tasks and deliverables may include the following:

- Perform data quality review and detailed tests of the data submitted by Phase II program applicants to ensure accuracy of the results;
- Work with NYSERDA to streamline and automate data collection and storage related to implementation of the CGC Phase II Program, including project approval, incentive processing, recordkeeping, and metric reporting, and propose alternative savings calculation methodologies as necessary to ensure projections of energy and greenhouse gas emission savings are accurately reflected in data provided to NYSERDA.
- Enter project application data and associated documents directly into NYSERDA's database;
- Identify and document program enhancements and improvement opportunities, including to NYSERDA's databases;
- Provide monthly, quarterly, annual, or ad hoc reports of these metrics in the approved formats and in accordance with the schedules as directed by NYSERDA;
- Submit all required reports to NYSERDA. The frequency of these requests will vary based on the stage of the program (incentive solicitation release, incentive awards, project completion dates, etc.); therefore the Implementation Contractor should anticipate providing 2-4 of these types of reports per month;
- Although one of the main metrics for projects selected through Phase II of CGC will be GHG emissions reductions, other possible metrics include: economic development benefits, electricity and natural gas and other fuel energy savings, renewable energy generation, reduction in vehicle miles traveled (VMT), tons of solid waste diverted, etc. The selected Implementation Contractor shall assist CGC program staff in further developing these metrics as well as overall CGC Program performance metrics; and
- Complete other tasks as approved by NYSERDA.

Task 5: Technology Transfer and Openness (~2.5% of budget)

Once projects are selected and NYSERDA enters into a contract with the customer, projects must be completed in a timely and effective manner and achieve the expected benefits as proposed. As directed by NYSERDA, the Implementation Contractor shall seek out recognition opportunities for projects and shall complete all work necessary to submit projects for recognition.

Deliverables: As assigned by the NYSERDA Project Manager, specific tasks and deliverables may include the following:

- Develop case studies of selected projects (anticipate one case study for each completed large scale and planning project (130 total projects) as well as several case studies on the completion of various streamlined permitting applications (estimate 10 total);
- Assist in the coordination of press events and/or press releases for selected projects (Anticipate press releases and press events for each large scale project and then another 10-20 releases on the planning and permitting projects);
- Submit projects for awards, such as those provided by the U.S. Environmental Protection Agency and NYS Department of Environmental Conservation's Environmental Excellence Award; and
- Complete other tasks as approved by NYSERDA.

Task 6: Ongoing Customer Sector Support and Assistance (~2.5% of budget)

NYSERDA expects a significant response from all eligible customer sectors to CGC Phase II funding solicitations in excess of available funding. As directed by NYSERDA, the Implementation Contractor shall develop a plan that allows NYSERDA to provide any appropriate assistance to eligible customers that were not selected. Such assistance may be in the form of directing the potential customer to the appropriate alternate NYSERDA program, recommending other potential funding sources, and helping to identify other energy projects that may be more cost-effective or beneficial to complete.

Deliverables: As assigned by the NYSERDA Project Manager, specific tasks and deliverables may include the following:

- Conduct outreach and technical support for projects that were not selected for funding, as directed by NYSERDA;
- Support customers to implement energy efficiency, sustainability, renewable energy and transportation related projects and assisting customers with completing NYSERDA and/or other state or federal non-competitive funding applications; and
- Complete other tasks as approved by NYSERDA.

IV. NYSERDA Responsibilities

NYSERDA will maintain overall management and control for the CGC Program. The major responsibilities of NYSERDA are to:

- Market services to various public and private groups and organizations through existing outreach contractors;
- Assist the Implementation Contractor in developing or reviewing scopes of work with customers;
- Provide the Implementation Contractor with administrative procedures;
- Monitor the progress of the Implementation Contractor through ongoing telephone contact, review of project status reports and field monitoring activities, etc. for the purpose of meeting customer needs, identifying problems, and initiating corrective action;
- Provide final technical review of project reports and deliverables to ensure that deliverables conform to the approved project's scope of work that governed the project and analysis;
- Ensure adherence to NYSERDA's established policies and procedures;
- Provide completed reports and incentives awards to the customer under NYSERDA cover and letterhead.
- Oversee the Implementation Contractor's maintenance of a database to store customer information, technologies, and energy and dollar savings resulting from the services, reports, case studies, fact sheets, and newsletter articles for each CGC project;
- Process properly documented project payment requests and Implementation Contractor invoices.
- Provide final approval on all project scopes of work, progress payments, final payments, final reports, case studies, and press releases;
- Work with the Implementation Contractor and NYSERDA Energy Analysis on CGC Program evaluations; and
- Be involved in all monthly or quarterly status meetings as well as site inspections for the large-scale projects.

V. Proposal Requirements

Proposers must submit four (4) hard copies of the completed proposal to the address on the front page of this

RFP. Proposers must also submit a .pdf of the complete, signed hard copy, including all attachments on a compact disc. A completed and signed Proposal Checklist must be attached to the front of each copy, one of which must contain an original signature. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned.** Faxed or e-mailed copies will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address on the front page of this RFP. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

Proposals that include teaming arrangements must designate one party as the Program Implementer. The Program Implementer will serve as NYSERDA's primary point of contact and have overall responsibility for compliance with the Agreement and completion of the Statement of Work. The Implementation Contractor shall also be responsible for coordinating all work with all sub-contractors as required by the Statement of Work and as necessary to meet all requirements of CGC funding and of NYSERDA's terms and conditions and business process. All proposals submitted as part of the RFP 2647 solicitation process become the property of NYSERDA.

Proposals should not be excessively long (no more than 35 pages, excluding appendices), nor should they be submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

Each page of the proposal should state the name of the proposer, the RFP number, and the page number. NYSERDA may request additional data or material to support proposals. The proposal must be in the following format:

- RFP 2647 – Proposal Checklist – Attachment A
- RFP 2647 – Disclosure of Prior Findings of Non-Responsibility Form – Attachment B
- Section 1: Introduction and General Information
- Section 2: Statement of Work
- Section 3: Management Structure and Staffing Plan
- Section 4: Qualifications
- Section 5: Budget – Attachment C (Project Personnel & Rates Form)
- Section 6: Appendices
 - Resumes – One (1) page/each
 - Letters of Commitment – One (1) for each subcontractor on company letterhead

Proposal Checklist: The Proposal Checklist to be completed is attached to this RFP (Attachment A). The checklist must be attached to all four (4) copies of the proposal. At least one (1) copy must contain an original signature.

Section 1: Introduction and General Information: Proposers should summarize their understanding of the objectives and requirements of this RFP. Proposers should *briefly* identify key information about their organization, team members, and sub-contractors. Proposers should describe why they believe they are uniquely qualified to perform and complete the services requested under this RFP.

Section 2: Management Structure and Staffing Plan: In this section, firms must provide a staffing plan clearly identifying the individuals selected to serve the program, a clear description of each key person's responsibilities in executing the proposed tasks, and percentage of time for each staff member devoted to the task. The staffing plan must include a detailed organizational chart, which includes the Project Manager, all key team members, and any subcontractors. One-page resumes of all key team members should be provided as an appendix. If additional pages are provided, only the first page of each resume will be evaluated. Each one-page resume should demonstrate where and how the person meets the required experience and knowledge for serving the program. If subcontractors are intended to be a part of the proposer's team, the proposal must include information about the subcontractor as well.

Section 3: Qualifications: Clearly demonstrate the experience, skills and abilities necessary to effectively develop and implement the CGC Program. Proposers should structure this section as follows:

1. General description: Provide a general description of the proposer and their experience in implementing similar programs targeting greenhouse gas reductions as well as project-based commercial and industrial programs.
2. Areas of expertise: Qualifications, skills, and experience should be outlined based on the ten sustainability areas outlined in *Section II: Proposer Requirements and Qualifications*. The proposer will be required to demonstrate the following for each of the ten categories:
 - a. Describe relevant qualifications of current staff or description of the qualifications of staff to be hired, including a clear description of the roles and responsibilities for each key person in addressing the Statement of Work (SOW).
 - b. Include examples of relevant projects and programs that have been completed by the proposer and that would demonstrate the ability to support this Program.
 - c. Indicate which team members were responsible for each project and program described.
 - d. Include names and contact information for reference, including those for related or similar projects or programs. Summaries of prior work requested in this RFP may be submitted as an appendix.
3. Ability to serve projects across New York State: Proposer should identify the ability to effectively provide services in a high quality manner across New York State by addressing the following items:
 - a. Identify the permanent location(s) of the proposer's staff and the location of any permanent field offices, existing or proposed.
 - b. Demonstrate an understanding of the different regional markets across New York State.
 - c. Demonstrate that the proposer's staff employed to serve the CGC Program will be able to adequately serve customers and projects located in New York State.
4. Ability to provide services under Section III: Services Required: Proposer should clearly articulate strategies consistent with the required Tasks and Deliverables defined within *Section III: Services Required* of RFP 2647, describe the approach and methodologies, define the rationale for the proposed approach, and describe the actions to be taken to complete each task. For each action identified, the proposer should indicate who will perform it, how it will be performed, when it will be performed, and its anticipated deliverables. In addition to responding to the tasks defined for the requested services, proposers are invited to present additional tasks or to recommend alternatives to the list of tasks as long as they promote, or are consistent with, the goals and objectives of the CGC Program.

Section 4: Rate Structure: The proposer shall use the *Project Personnel and Billing Rates form, Attachment C*, 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. The Implementation Contractor selected under this solicitation shall be awarded a three year contract with the option for NYSERDA to renew for up to three additional years. If applicable, provide an Attachment C for each subcontractor involved in providing services under this RFP.

Please provide rates and a multiplier for services to be provided from date of application until June 2016. These rates shall be independent annual rates. The multiplier stated shall include all overhead, profit, and other costs. **Please do not provide fully burdened rates in the chart.**

Proposers must include supporting documentation to support indirect cost (overhead) rate(s) included in the proposal as follows:

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

NYSERDA shall 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 5: Appendices (Required) – 1) If a team is submitting a proposal, each member organization of the team must submit a letter ensuring the organization's participation in the proposed activities. 2) Resumes of key personnel (limit of one page each.) 3) Letters of support and other supporting documents.

VI. GENERAL CONDITIONS

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

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

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

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

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

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

State Finance Law sections 139-j and 139-k - 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 <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation will disqualify your proposal.

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 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 awarding a single contract under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. 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. 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.

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

VII. Attachments:

- A. Proposal Checklist (Mandatory)
- B. Disclosure of Prior Findings of Non-Responsibility Form (Mandatory)
- C. Project Personnel & Rates Form
- D. Scoring Guide
- E. Intent to Propose (Optional, but encouraged)
- F. Sample Agreement

Note: Please reference [Cleaner, Greener Communities Program](#) for details regarding the CGC Program.
