



# NYSERDA

**ANDREW M. CUOMO**  
Governor

**RICHARD L. KAUFFMAN**  
Chair

**ALICIA BARTON**  
President and CEO

June 1, 2020

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

Dear Governor Cuomo,

Pursuant to the Public Authority Law Section 1867(7), as amended in 2015, attached is NYSERDA's semi-annual report regarding specified contracting actions for the period from October 1, 2019 through March 31, 2020.

The report is broken into sections to meet the statute's reporting requirements, summaries of which are provided below.

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

This semi-annual report for the reporting period is also currently available on NYSERDA's website at:

<https://www.nyserdanyc.gov/-/media/Files/Publications/Annual-Reports-and-Financial-Statements/2020-june-nyserdanyc-semi-annual-report.pdf>. If you have any questions on this information, please contact me.

Sincerely,

Alicia Barton  
President and CEO

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## New York State Energy Research and Development Authority

**Albany**  
17 Columbia Circle, Albany, NY 12203-6399  
(P) 1-866-NYSERDA | (F) 518-862-1091  
nyserdanyc.gov | info@nyserdanyc.gov

**Buffalo**  
726 Exchange Street  
Suite 821  
Buffalo, NY  
14210-1484  
(P) 716-842-1522  
(F) 716-842-0156

**New York City**  
1359 Broadway  
19th Floor  
New York, NY  
10018-7842  
(P) 212-971-5342  
(F) 518-862-1091

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

NYSERDA  
Revenues Collected - October 1, 2019 through March 31, 2020

Revenue Source	Amount (\$000's)
State Appropriation	14,055
Utility Surcharge Assessments	247,243
Clean Energy Standard Proceeds	259,093
Allowance Proceeds	56,588
Third-party reimbursements	18,553
Federal grants	1,269
Interest subsidy	198
Project repayments	68
Rentals from leases	541
Fees and other income	4,760
Loans and financing receivables interest	13,867
Investment income	8,099
<b>Total revenues</b>	<b>624,334</b>

NYSERDA  
Public Authority Law Report  
October 1, 2019 to March 31, 2020

Section Break

## Solicitation Summary October 1, 2019 to March 31, 2020

Solicitation No.	Title of Solicitation	Solicitation Description	Issue Date	Due Date/Round	Funding Available
RFQL 4259	Offshore Wind Port Infrastructure	This Request for Qualifications (RFQL) constitutes Phase 1 of a 2-phased process through which New York State seeks to pre-qualify applicants and then select proposals for public/private investment in port infrastructure that will advance the offshore wind industry in New York State. Through Phase 1, New York State expects to pre-qualify multiple applicants for participation in Phase 2. Phase 2 will consist of a Request for Proposals (RFP) that will be issued in 2020.	10/2/2019	11/15/2019	No value was stated in solicitation
RFP 4146	Clean Energy Standard Support Systems	NYSERDA is seeking to provide a cost effective, secure and accessible software system solution with common web-based data and process management platform to support future land-based renewable procurement activities.	10/8/2019	11/14/2019	\$2,500,000.00
RFP 4188	Rev Campus Challenge - Energy to Lead Competition 2020	The REV Campus Challenge is issuing a third round of the Energy to Lead Competition to challenge higher education institutions across NYS to develop and implement impactful clean energy projects that significantly reduce energy use resulting in decarbonization on their campuses and local communities.	10/15/2019	2/20/2019	\$5,000,000.00
PON 3519 - Revised - Rd 4	NextGen HVAC Innovation Challenges	The NextGen HVAC 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 HVAC systems including new renewable heating and cooling systems and the integration of advanced controls.	10/17/2019	2/27/2020	\$15,000,000.00
RFP 3928	Buildings of Excellence Competition	NYSERDA seeks proposals for projects that reduce their energy consumption and per capita carbon emissions while increasing climate change resilience, including passive survivability, in a manner which can be replicated at scale.	10/29/2019	4/22/2020	\$10,000,000.00
RFP 13	Financing for Energy Storage Projects	NY Green Bank's RFP 13 invites energy storage developers and other storage market participants targeting New York State energy storage projects, to propose transactions to NY Green Bank that contemplate the financing of the purchase and ownership of energy storage projects.	11/6/2019	10/29/2024	No value was stated in solicitation



PON 3923 - Revised	Charge Ready NY	Charge Ready NY Program provides \$4,000 per installed electric vehicle (EV) charging port to applicants who purchase and install qualified Level 2 EV charging equipment at New York State locations. These locations must provide public charging, workplace charging, or charging at a multi-unit dwelling (MUD). Public and private (for-profit and not-for-profit) entities may participate in the Program.	11/15/2019	12/31/2021	\$7,000,000.00
PON 4157	P-12 Schools: Green and Clean Energy Solutions	The P-12 Schools: Green and Clean Energy Solutions Program is available to provide funding for eligible Pre-Kindergarten through Grade 12 (P-12) schools to reduce school energy loads and assist in the conversion to carbon free fuels.	11/18/2019	12/30/2022	\$4,000,000.00
PON 3653 - Revised	Air-Source heat Pump Program	NYSERDA has made funds available to support the installation of air source heat pump (ASHP) systems in residential sites to include single-family and multifamily buildings. Funding is available to ASHP installers that have been approved by NYSERDA and have installed program-qualified ASHP systems	11/21/2019	3/31/2020	\$14,950,000.00
PON 3620 - Revised	Ground Source Heat Pumps Rebate Program	NYSERDA supports the installation of ground source heat pump systems at residential, commercial, institutional, and industrial buildings. Funding is available only to eligible designers and installers of ground source heat pump systems that have been approved by NYSERDA.	11/21/2019	3/31/2020	\$26,500,000.00
PON 4192	Flexible Technical Assistance	The Flexible Technical Assistance (FlexTech) Program supports New York State Commercial, Industrial and Multifamily customers who pay into the Systems Benefit Charge by providing a cost-share for credible, objective technical assistance services.	11/27/2019	12/31/2025	\$15,012,875.00
RFP 4260	Geophysical and Geotechnical Investigations in Support of Offshore Wind Energy	NYSERDA is selecting contractors to undertake geophysical and geotechnical investigations and develop a reconnaissance ground model for areas in the New York Bight identified by the Bureau of Ocean Energy Management as Hudson North and Hudson South draft Wind Energy Areas.	12/19/2019	1/21/2020	\$5,500,000.00
RFP 4301	Property/Liability and Other Insurance	NYSERDA is seeking proposals from insurance brokerage companies to meet NYSERDA's property, liability, and certain other insurance requirements and to advise NYSERDA on addressing risk management requirements that are in the best interest of NYSERDA.	1/2/2020	1/30/2020	\$1,745,000.00

RFQ 3691 - Revised	Real Time Energy Management Qualified Vendor	NYSERDA is accepting applications from vendors, installers, and service providers of Real Time Energy Management (RTEM) to become a RTEM Qualified Vendor. NYSERDA is seeking both RTEM System Providers (installers) and RTEM Energy Management Consultant Providers (monitoring services).	1/9/2020	1/4/2021	No value was stated in solicitation
PON 3982 - Revised	On-the-job Training for Energy Efficiency and Clean Technology	Through this program, NYSERDA will provide funding to advance the goals of the Clean Energy Fund (CEF) by developing a workforce equipped to perform jobs in energy efficiency and clean technology, including training workers with skills and credentials to design, manufacture, specify, sell/distribute, install, operate, maintain, repair, audit, and inspect clean energy technology and systems.	1/10/2020	10/31/2023	\$9,000,000.00
PON 4270	Environmental Research - PV Site Design, Information Gaps, and Mitigation Opportunities	NYSERDA welcomes proposals to conduct research to better understand non-residential (commercial and utility scale) solar photovoltaic (PV) site design implications, mitigation options, and associated costs for addressing the effects of PV on the environment and the community.	1/13/2020	2/26/2020	\$10,000,000.00
RFQL 4234	RetrofitNY NYCHA Design Team	NYSERDA will qualify Design Teams to design a high performance retrofit solution that approaches or achieves net-zero energy performance for one building owned by the New York City Housing Authority (NYCHA).	1/21/2020	3/2/2020	No value was stated in solicitation
PON 3715 - Revised	Workforce Training - Building Operations and Maintenance	NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use, associated carbon emissions, and building operations costs by enhancing the skills of operations and maintenance staff and managers across the State. The Program provides employers and building owners with support to implement workforce development and training projects that create the talent development strategy, corporate culture, on-site training framework, and training tools needed to support building operations and maintenance workers beyond classroom training.	2/24/2020	5/20/2021	\$8,000,000.00

RFP 4254	Operations and Maintenance Services for the SDA and the WNYNSC	NYSERDA seeks proposals for providing the West Valley Site Management Program (WVSMP) with a broad range of operational and maintenance services at the Western New York Nuclear Service Center (WNYNSC) including expertise, equipment, and materials needed to conduct operations, maintenance and emergency response support services at the State-Licensed Radioactive Waste Disposal Area (SDA), and on the undeveloped areas of the WNYNSC.	2/26/2020	4/13/2020	\$700,000.00
RFP 4309	Information Technology Staff Augmentation Services	NYSERDA is seeking consulting services to support Information Technology (IT) projects for both hardware and software systems across the Authority.	2/26/2020	3/24/2020	\$10,000,000.00
PON 4371	Industrial Strategic Energy Management Program	NYSERDA is seeking applications from industrial facilities that are interested in participating in a fully funded, year-long Strategic Energy Management program. By participating in the program, the industrial facility will gain access to training, coaching, and peer-to-peer knowledge sharing to continuously enhance energy efficiency at their facilities.	2/28/2020	7/8/2020	No value was stated in solicitation
PON 3923 - Revised	Charge Ready NY	The Charge Ready PON provides \$4,000 per installed electric vehicle (EV) charging port to applicants who purchase and install qualified Level 2 EV charging equipment at New York State locations. These locations must provide public charging, workplace charging, or charging at a multi-unit dwelling (MUD). Public and private (for-profit and not-for-profit) entities may participate in the Program.	3/3/2020	12/31/2021	\$12,000,000.00
RFQL 4272	Standard and Quality Assurance Services	NYSERDA seeks to establish a pool of qualified service providers to develop and implement quality initiatives in support of several NYSERDA programs and clean energy technologies. Qualified Proposers will work with the NYSERDA Standards and Quality Assurance team to conduct field and/or photo inspections and desk review services, implement existing and upcoming standards (technical, installation, data and quality standards), data collections and data management systems and deliver market-based quality assurance solutions.	3/3/2020	4/14/2020	\$15,231,000.00
RFP 14	Investment Valuation & Financial Advisory Consulting Services	The objective of RFP 14 is to solicit proposals from firms interested in providing investment valuation and financial advisory services to NY Green Bank in connection with its investments in clean energy projects and businesses and in sustainable infrastructure	3/5/2020	3/30/2020	No value was stated in solicitation

RFI 7	Credit Enhancement Product for Tax Equity Providers in LMI-Inclusive CDG Projects	The objective of RFI 7 is to solicit feedback from tax equity providers and other market participants to identify specific ways in which NY Green Bank can be helpful in increasing the availability of tax equity financing for CDG projects in NYS that offer LMI-inclusive subscription terms.	3/12/2020	4/20/2020	No value was stated in solicitation
PON 4230	Energy-Related Air Quality and Health Effects Research	This PON supports research to improve the scientific and technical foundation for addressing key policy-relevant questions related to air quality and health effects research.	3/17/2020	5/20/2020	\$2,000,000.00
RFP 3928 - Rd2 Revised	ish	NYSERDA seeks proposals for projects that reduce their energy consumption and per capita carbon emissions while increasing climate change resilience, including passive survivability, in a manner which can be replicated at scale.	3/18/2020	5/27/2020	\$10,000,000.00
RFQL 3685 Revised	Flexible Energy Technical Analysis	NYSERDA is issuing this solicitation to establish a pool of consulting firms qualified to provide the NYSERDA Energy and Environmental Analysis Department (EEA) with diverse technical, energy, economic, and environmental analytical capacity that can also provide support services on short notice.	3/23/2020	12/30/2022	No value was stated in solicitation

There were 18 new solicitations published during the period of October 1, 2019 to March 31, 2020.

There were 10 revised solicitations with major revision changes during the period of October 1, 2019 to March 31, 2020.

**Energy-Related Air Quality and Health Effects Research**

Program Opportunity Notice/Request for Proposal (PON) 4230

**\$2,000,000 Available**

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

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

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

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

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

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

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

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

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

## I. Introduction

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

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

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

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

Together they have the following goals to be accomplished:

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

Collectively, these objectives will influence energy-related emissions with respect to their spatial and temporal patterns and will also affect ambient concentrations of ozone (O<sub>3</sub>), particulate matter (PM), their precursors, co-

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

Governor Cuomo's 2017 State of the State Address called for "[Health Across All Policies](#)," and directs NYS agencies to consider public health in all decision and policy making. Use of zero and low emissions technologies should promote a healthy and safe environment and may reduce chronic disease in burdened communities in NYS by improving outdoor air quality by reducing exposures to PM<sub>2.5</sub>, O<sub>3</sub>, and air toxics. More information may be found [here](#).

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

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

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

## **II. Program Requirements—Targeted Research Areas**

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

#### Problem Statement

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



Background

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

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

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

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

✓	<p><b>Recommendation #1</b> New York State should develop a more detailed set of activity data, including site- and component-level data, for its CH<sub>4</sub> inventory in order to create an inventory with the detail needed to capture the impacts of CH<sub>4</sub> mitigation strategies targeted at the site- or component-level.</p> <p><b>Implementation in Current Inventory:</b> Applied the best available activity data, using publicly available inputs as well as data provided by New York State agencies.</p> <p><b>Areas for Future Improvement:</b></p> <ul style="list-style-type: none"> <li>• Collect/compile data on the number and location of transmission and storage compressor stations in New York State, including stations that only have electric compressors.</li> <li>• Collect/compile data on the county-level miles of distribution pipeline by pipeline material.</li> <li>• Collect/compile data on the county-level number of residential and commercial/industrial gas meters.</li> </ul>
✓	<p><b>Recommendation #2</b> New York State should estimate and apply EFs for upstream and downstream oil and gas activities in the State using best available data, validated by both bottom-up and top-down studies, and specific to geographic location.</p> <p><b>Implementation in Current Inventory:</b> Applied the best available EFs from the published literature.</p> <p><b>Areas for Future Improvement:</b></p> <ul style="list-style-type: none"> <li>• Develop New York State-specific EFs for well pads during production.</li> <li>• Develop New York State-specific EFs for transmission and storage compressor stations.</li> <li>• Develop an EF for fugitive emissions from storage reservoirs.</li> </ul>



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

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

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

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

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

### Research Focus

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

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

### Problem Statement

Recent trends analyses have demonstrated that SO<sub>2</sub>, NO<sub>x</sub>, PM<sub>2.5</sub> and aerosol sulfate have been decreasing significantly over the past decade across NYS due to state and federal air quality and energy policies and changes in energy markets. In contrast, annual ozone has not shown a significant decrease, however there are fewer extreme-high levels in summer and an elongated ozone season starting in spring. At the local level, NYC has experienced very large decreases in SO<sub>2</sub> emissions due to phasing out of #6 oil. Continued studies are needed to assess how air quality regulatory programs, energy policies, and electricity, heating, and transportation market trends impact air quality and public health. Analyses should include the most recent data available to extend the trends record and include relevant up to date NYS and/or NYC health endpoints.

### Research Focus

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

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

### Problem Statement

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

## Research Focus

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

### **III. Proposal Requirements for Targeted Research Areas**

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

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

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

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

#### **PART 1: Project Summary (Four pages total)**

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

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

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

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

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

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

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

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

A. Management Plan and Qualifications:

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

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

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

	Cash	In-Kind Contribution	Total
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

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

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

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

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

#### IV. Proposal Evaluation

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

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

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

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

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

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

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

## II. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

**Tax Law Section 5-a** – NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .



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

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

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

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

### **III. Attachments:**

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

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

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

<b>Important Dates* by:</b> <b>Rounds 1 &amp; 2: 5:00 pm Eastern Time</b> <b>Rounds 3 &amp; 4: 3:00 pm Eastern Time</b>				
Round	Challenge Areas	Challenge Announcement	Concept Paper Due Date(s)	Full Proposal Due Date(s) (Tentative)
1	Heat Pumps, HVAC Controls, Compressorless HVAC, GHEX	June 29, 2017	August 3, 2017	November 16, 2017
2	Heat Pumps, HVAC Controls, Compressorless HVAC	March 22, 2018	April 26, 2018	August 14, 2018
3	Heat Pumps, Thermal Distribution, Open	December 6, 2018	January 17, 2019	May 9, 2019
4	Heat Pumps, Thermal Distribution, Energy Pod, Technology Transfer	October 17, 2019	December 12, 2019	February 27, 2020
*Dates are subject to change. Proposers should check NYSERDA’s website <a href="https://portal.nyserderda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt0000006nDncAAE">https://portal.nyserderda.ny.gov/CORE_Solicitation_Detail_Page?SolicitationId=a0rt0000006nDncAAE</a> for the latest updates and revisions to PON 3519.				

**I. Introduction**

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

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

Buildings are a large user of energy, a major contributor to greenhouse gas emissions (GHG) and system peak demand, and an important critical infrastructure for New York State (NYS). Heating, ventilation, and air conditioning (HVAC) equipment consumes approximately 40% of the energy used by residential and



commercial buildings, making this end use responsible for approximately 25% of the total energy used and 36% of the GHG emissions in NYS. The cooling requirement for buildings is the primary contributor to the difference between peak electric system demand (>32 GW) and average base-load system demand (<18 GW).

The large capital investment and long asset life of existing HVAC equipment requires new HVAC technologies to have compelling value propositions in order to achieve market adoption. Some innovations have been technically compelling but not commercially successful. Additionally, solutions on the market today do not address New York's diverse climate or dense urban population and are not sufficient to meet New York's aggressive energy and GHG reduction goals.

The NYSERDA NextGen HVAC program seeks to reduce the energy use of NYS consumers through advancements in the performance and capabilities of economically viable HVAC solutions. By supporting HVAC innovations, the program will enable buildings to be more energy efficient, load flexible, and resilient. Additionally, many HVAC innovations have the added benefit of improved indoor air quality and quality of life for consumers, providing not only economic value, but also improved occupant comfort.

This solicitation focuses resources on the successful commercialization of HVAC innovations. In addition to articulating the technical innovation, proposers must describe their commercialization strategy, including: customer discovery and channel strategy, competitive landscape, intellectual property, fundraising needs, manufacturing and scale-up, key partners, and team qualifications and development.

Through this solicitation, NYSERDA will issue a series of innovation challenges over four Rounds and three years (2017-2019). NYSERDA will identify attributes to drive HVAC innovation and challenge innovators to develop solutions that deliver on those attributes. Each Round of this solicitation will begin with the announcement of one or more specific innovation challenges. The areas NYSERDA expects to address through this solicitation include: heat pumps, compressorless HVAC, thermal distribution, advanced HVAC controls, renewable HVAC, integration of renewables/storage with conventional HVAC, solutions for decoupling the sensible and latent cooling requirements, and reductions in peak demand.

NYSERDA will announce the specific innovation challenge(s) for each Round on the tentative dates listed above. Interested proposers should check each Round for the specific innovation challenge areas. NYSERDA reserves the right to add, delete, or modify any of the innovation challenges over the course of this solicitation.

All Concept Papers and Proposals for Round 4 must address one of the following Innovation Challenge Areas: Heat Pumps; Thermal Distribution; Energy Pod, or Technology Transfer. . For detailed discussion of each area, refer to Attachments E1 – E4 respectively.

**A two-step evaluation process will be used.** For each Round of the solicitation, proposers will be required to submit a Concept Paper by the indicated due date. All Concept Papers will be reviewed by a Scoring Committee (SC) based on the evaluation criteria listed in Section IV. NYSERDA may invite proposers whose Concept Papers have been selected for further consideration to submit a Full Proposal. The invitation will include the date by which Full Proposals must be received. Failure to submit a Concept Paper precludes submission of a Full Proposal. Submission of Full Proposals is by **invitation only**.

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



Mailed or hand-delivered Concept Papers or Proposals must be clearly labeled and submitted to:

**Jillina Baxter, Concept Papers, PON 3519; or  
Jillina Baxter, Proposals, PON 3519  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

**Questions?** Please see the list of Designated Contacts below. No communication intended to influence this procurement is permitted except by contacting the Designated Contacts named herein.

- For technology-specific questions and questions on Attachment A1 – Statement of Work, see Section II: Innovation Challenge Areas below for a list of Designated Contacts.
- For commercialization-specific questions and questions on Attachment A2 - TRL/CRL Calculator, contact Erica Iannotti at (518) 862-1090 ext. 3285 or by email [EricaNextGen@nyserda.ny.gov](mailto:EricaNextGen@nyserda.ny.gov).
- For contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or by email [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov).

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

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

## **II. Innovation Challenge Areas**

All submissions for Round 4 must address one of the following Innovation Challenge Areas:

1. **Innovation Challenge Area 1: Heat Pumps** – See Attachment E1  
Technical questions concerning Heat Pumps should be directed to Robert Carver (Designated Contact) at (518) 862-1090 ext. 3242 or by email ([RobertNextGen@nyserda.ny.gov](mailto:RobertNextGen@nyserda.ny.gov)).
2. **Innovation Challenge Area 2: Thermal Distribution** – See Attachment E2  
Technical questions concerning Thermal Distribution should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email ([MichaelNextGen@nyserda.ny.gov](mailto:MichaelNextGen@nyserda.ny.gov)).
3. **Innovation Challenge Area 3: Energy Pod** – See Attachment E3  
Technical questions concerning Energy Pod should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email ([MichaelNextGen@nyserda.ny.gov](mailto:MichaelNextGen@nyserda.ny.gov)) or Saul Brown (Designated Contact) at (518) 862-1090 ext. 3028 or by email ([SaulNextGen@nyserda.ny.gov](mailto:SaulNextGen@nyserda.ny.gov)).
4. **Innovation Challenge Area 4: Technology Transfer**  
Technical questions concerning Technology Transfer should be directed to Michael Genovese (Designated Contact) at (518) 862-1090 ext. 3103 or by email ([Michael.Genovese@nyserda.ny.gov](mailto:Michael.Genovese@nyserda.ny.gov)).

If the Designated Contact for a given technology area is not available, technology-specific questions should be directed to Joseph Borowiec (Designated Contact) at (518) 862-1090 ext. 3381 or by email ([JosephNextGen@nyserda.ny.gov](mailto:JosephNextGen@nyserda.ny.gov)).

### III. Program Requirements

Projects selected for funding must:

1. Show potential to reduce GHG emissions from the building sector in New York State.
2. Demonstrate benefits to electric System Benefits Charge (SBC) ratepayers (<https://www.nyserda.ny.gov/About/Funding>), regardless of the initial stage.
3. Address an opportunity to increase the energy-efficiency and/or advance the energy performance of new and/or existing buildings in the residential, multi-family, commercial, or institutional sector.
4. Provide direct and quantifiable energy, environmental, and economic benefits to New York State such as energy savings, demand response, emissions reductions, job creation, product manufacturing and sales, and/or reduced energy costs.
5. Satisfy the Concept Paper requirements and, if selected, Full Proposal requirements and sufficiently address the evaluation criteria (see Sections IV and V).
6. Complete all necessary attachments, including the Concept Paper Template (Attachment B) and, if selected, the Proposal Narrative (Attachment A), Statement of Work (Attachment A1), TRL/CRL Calculator (Attachment A2) and Budget Form (Attachment C).
7. Agree to pay recoupment to NYSERDA for commercial sales or licensing revenues of new technologies, services, or products developed with NYSERDA funding (see Section VI).
8. Agree to Annual Metrics Reporting terms (see Section VI) and General Conditions (see Section VII).
9. Development activities should describe their commercialization strategy and include other commercialization activities; basic research is ineligible.
10. Demonstration projects must take place within New York State and include a letter of support from the site owner(s)/decision maker(s).
11. Provide a letter of support and commitment from all funding sources.

**Technology Stages** Proposals will consist of one or more of the following stages as defined by Technology Readiness Level (TRL). Only the following three stages will be considered for funding:

Technology Stages	TRL	Proposer Cost Share
Feasibility	1-3	20%
Development	4-7	50%
Demonstration	8-9	40%

**Proposals must articulate a plan to take the technology in its current stage through the Demonstration Stage.** In other words, if the initial technology stage is Feasibility, the proposal should also include schedules and budgets for the Development Stage and Demonstration Stage. If the initial technology stage is Development, the proposal should also include a schedule and budget for the Demonstration Stage.

All activities with a **stage** budget in excess of \$350,000 may be broken down into **phases** at NYSERDA's discretion. Funding may be awarded for multiple phases with funding for each phase beyond the initial phase conditional upon meeting predefined goals of prior phases and contingent upon the availability of funds. An additional review will be required for projects to move between **stages**. For more information regarding the stage gating process, please refer to section 3 of 'Project Schedule, Staging, and Teaming' below.

Proposers should allocate 10-25% of the project budget for commercialization-related tasks, such as customer discovery, IP protection, business plan development, and design for manufacturing.



1. **Feasibility Stage** (Proposer cost share of 20% or greater)
  - a. Applied research aimed at early development of a new product or technology, policy, business, and/or regulatory model.
  - b. The Feasibility Stage of any proposed project will be limited to \$350,000 total.
  - c. Projects beginning in this stage should have a TRL of 1-3. If the TRL is of a greater value, the proposer should apply under the Development or Demonstration Stage.
  - d. After completing the Feasibility Stage, the sub-components should be validated and testing of the complete system should be underway.
  - e. After completing the Feasibility Stage, the innovation should be validated as commercially viable through discussions with potential customers and/or users.
2. **Development Stage** (Proposer cost share of 50% or greater)
  - a. Development and commercialization of products/services for improving the energy performance of new or existing buildings in NYS. Technical and commercial feasibility of the innovation should have been demonstrated prior to submitting to this stage. If feasibility has not yet been shown, the proposer may apply under the Feasibility Stage.
  - b. Development activities may include field testing to help improve the product/service or expected performance and value proposition.
  - c. Projects beginning in this stage should have a TRL of 4-7. If the TRL is less than 4, the proposer should submit under the Feasibility Stage. If the TRL is over 7, the proposer should submit under the Demonstration stage.
  - d. After completing the Development Stage, a prototype that can reliably perform all functions that would be required in an operational system should exist.
  - e. After completing the Development Stage, the team should have a strong, market-validated commercialization strategy that addresses commercialization activities.
3. **Demonstration Stage** (Proposer cost share of 40% or greater)
  - a. Demonstrations of new or under-utilized technologies or practices that advance the energy performance of either new or existing buildings in NYS.
  - b. Proposals beginning in the Demonstration Stage should not include technology or product development activities. If technology or product development activities are appropriate, the proposer may propose under the Feasibility Stage or Development Stage.
  - c. Demonstration proposals should clearly identify how the project will bring the product, technology, or practice closer to commercial success and how the demonstration will lead to increased use of the technology or practice in NYS.
  - d. Demonstration proposals should include a detailed plan for disseminating project results to a wide audience.
  - e. Evaluation of the demonstration should be conducted by a recognized and independent third-party evaluator (i.e., evaluator has no financial interest in the outcome of the demonstration).
  - f. The demonstration must take place at a site that pays into the Clean Energy Fund (<https://www.nyserda.ny.gov/About/Funding>) through the electric SBC unless significant statewide benefits are demonstrated.
  - g. Projects submitted under the Demonstration Stage should have a TRL of 8-9. If the TRL is less than 8, the proposer should submit under the Feasibility Stage or Development Stage.
  - h. After completing the Demonstration Stage, the product should be in its final form and ready for market.
  - i. After completing the Demonstration Stage, the team should have a strong, market-validated commercialization strategy.

**Project Schedule, Staging, and Teaming:** All proposers should consider the following guidelines when developing their submissions:

1. Proposers must select an initial stage and indicate it in their proposal. Unless the initial stage selected is Demonstration, the proposal will be a multi-stage proposal with commercialization as the end goal.

- a. The proposer should describe how they will complete their initial stage and any following stage along with significant milestones, total cost, and schedule for each stage.
- b. For example, if the initial stage is Feasibility, the proposal should also include separate tasks, schedules, and budgets for the Development Stage and Demonstration Stage. If the initial stage is Development, the proposal should also include separate tasks, schedule, and budget for the Demonstration Stage.
- c. NYSERDA reserves the right to modify a project's Statement of Work and may offer to fund part of the proposal or stage therein at a level lower than that requested, such as offering to fund only a single **stage** of a multi-stage proposal rather than a full development effort.



2. A project is expected to begin within nine months of the proposal due date. No project schedule should exceed a total of 36 months, except to indicate commercialization activities beyond those of the proposed project.
3. For multi-stage proposals:
  - a. Any contract awarded to fund one or more stage(s) of a multi-stage project does not in any way obligate NYSERDA to fund the later stages.
    - i. NYSERDA anticipates awarding contracts for either a single stage of a multi-stage project, or for multiple stages. In the case of a multi-stage award, NYSERDA anticipates issuing a contract with a maximum, "not-to-exceed" amount with subsequent stages only being awarded on a contingent basis as described below.
    - ii. NYSERDA reserves the right not to move forward with subsequent stages of a multi-stage award, dependent on project success and availability of funding.
    - iii. Later stages may be funded at NYSERDA's sole discretion, using a stage gating review process: at the completion of each stage, project outcomes will be evaluated to determine if the project will continue to be funded. The evaluation criteria will include: probability of technical and commercial success, potential market impact, leverage of resources, strategic fit within the program portfolio, and the availability of program funds.
    - iv. NYSERDA expects it may award more contingent funding than is available for this program.
  - b. The proposal must meet the minimum proposer cost share for each stage (20% feasibility, 50% development, 40% demonstration).
4. A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section IV, or the General Conditions of Section VIII.
5. Prior to an award being made, proposers may be required to demonstrate confirmation of cost share, participation of key individuals and team, commitment from demonstration site, and the ability to qualify for an award under applicable laws and regulations.
6. Preference will be given to proposers that provide attractive leverage (cash co-funding, partnerships) opportunities for NYSERDA, and proposers who have a strong path to commercialization.

A payment based on the final deliverable will be reserved until project completion. If awarded, NYSERDA may choose to negotiate the amount of such payment. If the project is a multi-stage project, a report should be delivered following the completion of each stage.

NYSERDA seeks teaming arrangements that increase probability of success and commercialization of technologies that yield NYS benefits. Teams may include commercial firms, manufacturers, large original equipment manufacturers (OEM), industry associations, research organizations, universities, government agencies, corporate strategic partners, strategic investors, end-users, and other stakeholders. **Include letters of commitment or interest from each identified team member in the appendix to the proposal.**

**Letters of Commitment or Interest** - If you are relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. However, in the instance that a proposal is beginning in the Feasibility Stage, a letter of commitment from a Host Site may be difficult to secure. In this instance, a proposer should indicate their intention to secure the commitment and that more time is necessary to do so. Letters should not be solicited from NYSERDA personnel.

#### IV. Concept Paper & Full Proposal Requirements

1. **Concept Paper:** Submission of a Concept Paper is required for initial consideration under this solicitation. Failure to submit a Concept Paper precludes submission of a Full Proposal. Concept Papers must conform to the following requirements:
  - The Concept Paper Template (Attachment B) must be complete. If a required question is not answered, the Concept Paper may be deemed unresponsive and may be returned;
  - Concept Paper submitters are required to use the format of the Concept Paper Template. The intent of the template is to lead the proposer through the requirements in an organized manner without repeating or restating necessary information. **Concept Papers using a different format may be deemed unresponsive;**
  - Concept Papers must be submitted in Adobe PDF format, be written in English, be single spaced, use black 11 point Times New Roman font (except in Figures and Tables), and be formatted to fit on 8.5 inch by 11-inch paper with margins no less than 1 inch;
  - Concept Papers shall not exceed four (4) pages in length including graphics, figures, and/or tables; and
  - Concept Papers must prominently display on each page the Principle Investigator's Last Name and be completed in accordance with the Submittal Instructions.
  
2. **Full Proposal:** If notified by NYSERDA of a favorable Concept Paper review, the proposer will be invited to submit a Full Proposal. Full Proposals must include the following:
  - The Proposal Narrative (Attachment A) form-fillable document must be complete. The Innovation Challenge Area and initial Technology Stage must be clearly indicated. **The Proposal Narrative must have all the required questions/sections answered. If a required question is not answered, the proposal could be deemed non-responsive.**
  - The Statement of Work (Attachment A1), TRL/CRL Calculator (Attachment A2), and Budget Form (Attachment C) must be completed.
  - Proposals should not be submitted in an elaborate format. Unnecessary appendices beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the PON number, and the page number.
  - **Cost Sharing:** The proposal should show non-NYSERDA funding of at least 20% of the Feasibility Stage, 50% of the Development Stage, and 40% of the Demonstration Stage. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for



efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred.

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

## V. Proposal Evaluation

1. **Concept Papers:** Concept Papers determined compliant with application procedures and eligible and responsive to PON 3519 will be subject to NYSERDA review. Eligible Concept Papers will be reviewed and scored per the criteria and point system below. A score of 65 points is the minimum threshold of 100 possible points. No proposal with a score of less than 65 will be considered for an invitation to submit a Full Proposal.

### Evaluation Criteria in Order of Importance:

- **New York State Impact (20 points)**
  - Is the proposed approach an advancement over existing solutions which, if successful, will result in truly significant improvements in energy technology and in energy utilization, GHG emission reductions, building resiliency and utilization in New York State?
  - Is the proposed approach likely to enable benefits at scale, that is, if developed, could supplant existing technology and/or create entirely new marketplaces in New York State, stimulating clean technology manufacturing and business growth and improving consumer choice?
  - Is the proposed concept consistent with the innovation challenge, and NYSERDA programmatic goals and mission?
- **Innovation (20 Points)**
  - Is the proposed approach unique and innovative?
  - Is the proposed approach technically sound?
  - Is the proposed approach aimed at the development of technology or innovative business practice, as opposed to basic research aimed at discovery and fundamental knowledge generation?
  - Does the proposal have a market-based approach? Is the proposed commercialization strategy comprehensive and practical?
- **Competitive Landscape and Market Barriers (20 Points)**
  - Does the proposer demonstrate an understanding of existing and other emerging solutions?
  - Has the market been identified and characterized and are there sufficient markets or needs for the concept/technology, project, or study?
  - To what extent has the proposer engaged the market? To what extent does the proposer understand the market?
  - How significant are the barriers to market entry or adoption of the concept, product, or technology?
  - Is the value proposition sufficient that the concept or technology will likely be successful in the target market?
- **Risks and Challenges (15 Points)**
  - Does the proposal clearly identify the technical and commercial risks and challenges?
  - Have key technical and commercial challenges been identified and prioritized?
  - Is there an understanding of competitive options being developed by others?
- **Team (15 Points)**
  - Who are the key team members on the proposed effort?

- What organizations will be involved with the proposed effort and what will each contribute?
  - Does the proposed team have the necessary expertise and resources to carry out the proposed work?
- **Project Plan (10 Points)**
    - Does the proposal clearly outline how the key risks and challenges will be addressed?
    - Do the proposed project objectives, if achieved, validate the proposed concept?
    - Do the proposed project objectives, if achieved, outline a clear path to market?
    - Can the proposed work be reasonably accomplished for the amount of time, effort, and resources proposed?
2. **Review and Selection Process:** Selected Concept Paper applicants will be invited to submit Full Proposals. Only those demonstrating significant and clear technical merit and market viability will result in an invitation from NYSERDA to submit a Full Proposal.
3. **Full Proposal:** Full Proposals will be reviewed by a Scoring Committee (SC) and will be scored and ranked according to the following criteria, **listed in order of importance**. After the Full Proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations may be invited to enter into contract negotiations with NYSERDA. The proposer may be required to submit additional details for the Statement of Work, budget, and schedule, and may also be asked to address specific questions or recommendations of the SC before contract award.

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

**Evaluation Criteria in Order of Importance:**

- **Proposed Solution/Scope.** Does the proposed project specifically address a problem or opportunity identified in an Innovation Challenge Area and sub-category in the PON and does it show potential to make significant progress in support of the Innovation Challenge Area? Is the proposed project likely to solve the problem or exploit the opportunity? Is the proposed work technically feasible, innovative, and superior to alternatives? Is the work strategy sound? Is there a clear commercialization strategy that is market-based and likely to be successful? Can the technical and commercial strategies be tested, measured, and adjusted with ease?
- **Project Benefits.** How significant are the potential reductions in GHG emissions or energy use resulting from the project? Will there be economic benefits in New York State in the form of subsequent manufacturing or technical service activity, intellectual property creation, revenue-generation, or job creation? Are there additional significant benefits, such as improvement in the building sector's resiliency to disasters? Will a significant part of the work on the project take place in New York State?
- **Market Potential.** Does the proposed project address a current challenge or opportunity that is not being addressed by others? Is the implementation or commercialization strategy well-conceived and appropriate for the stage(s) of development? Has the proposer adequately and correctly described the target customer, defined their value proposition, and identified a real demand for the proposed solution? Does the proposed solution have the potential for wide-scale replication? Is there a process or strategy in place to measure progress and success?
- **Project Value.** Is the overall project cost justified based on the expected benefits? Relative to the project cost, how significant is the potential market or deployment opportunity? How appropriate are the proposer's co-funding contributions (sources and amounts) in view of the proposer's overall financial resources, degree of risk exposure, and potential to benefit from

the work? Does the proposer have a reasonable plan for pursuing any additional funding necessary for full commercialization?

- **Project Team and Support.** To what degree does the team have relevant and necessary technical and commercial background and experience? Has the proposer previously commercialized any products? How firm are the commitments and support from essential participants, co-funders, and other organizations? Has the proposer demonstrated support from necessary market actors and potential customers?

**Other Considerations.** Proposals and concept papers will be reviewed to determine if they meet all Program Requirements, fit well within the selected Innovation Challenge Area and have been submitted under the proper Stage. The proposal and concept paper's fit with NYSERDA's overall objectives will also be considered, including: risk/reward relationships; similar ongoing or completed projects; the general distribution of projects among innovation challenges, industries, and other organizations and locations in New York State; and, the degree to which there is a diversity of technologies, approaches, time-to-market, geographic locations, methods, and institutions in the existing portfolio of projects funded by NYSERDA. NYSERDA reserves the right to accept or reject proposals based on the degree to which pricing and hourly rates are in line with the rest of the market.

## VI. Recoupment and Metrics

**Recoupment** - For any new projects exceeding \$100,000 that involve product development, including business development, NYSERDA will require a royalty based on sales and/or licensing of the new product developed (Please see Attachment F – Sample Agreement for specific recoupment obligations). Recoupment is not required for demonstration projects. Please see the definitions below to determine if your project will be subject to recoupment. Please note that NYSERDA will make final determinations as to whether proposals fit within the demonstration or product development categories.

1. **Product Development:** the method of bringing a new or improved product or service to market, including technical feasibility, business case feasibility, market analysis, proof of concept, product design, engineering, scale up, and field testing. Field testing is the stage in which a technology, not yet commercially available with a warranty, is operated in real world conditions with results used for product iteration, market validation, or customer engagement.
2. **Demonstration:** a project intended to increase sales or usage of a commercialized product already in the marketplace, with results used to generate objective performance information for customers or policymakers. At this stage, the product is available for commercial sale and warranted. While incremental improvements may be incorporated based on the demonstration results, the final product design is essentially complete.

Projects where NYSERDA's share of funding is \$100,000 or less will not require recoupment. However, should subsequent funds be awarded for further product development of the same or a substantially similar product, any funds previously received under the \$100,000 threshold will be added to the future recoupment obligation. Please note: NYSERDA may decline to contract with awardees that are delinquent with respect to recoupment payments or sales reporting for any previous NYSERDA agreement.

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

## VII. General Conditions

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

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making one or multiple awards under this solicitation. NYSERDA anticipates a contract duration of a maximum of 3 years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 7 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

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

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

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



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

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

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

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



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

**Recoupment** - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA's standard royalty terms are 1% of sales/ten percent (10%) of all license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

### **VIII. Attachments**

- Attachment A – Proposal Narrative
  - Attachment A1 – Statement of Work
  - Attachment A2 – TRL/CRL Calculator
- Attachment B – Concept Paper Template
- Attachment C – Budget Form and Instructions
- Attachment D – Metrics Reporting Guide
- Attachment E1 – Heat Pumps
- Attachment E2 – Thermal Distribution
- Attachment E3 – Energy Pod
  - Attachment E3a – Appendix 2
  - Attachment E3b – Appendix 3
- Attachment E4 – Technology Transfer
- Attachment F – Sample Agreement



**Ground Source Heat Pumps Rebate Program<sup>1</sup>  
Program Opportunity Notice (PON) 3620  
\$ 26,500,000 Available**

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

Applications accepted through March 31, 2020<sup>2</sup> by 3:00 PM Eastern Time, or until funds are fully committed, whichever occurs first.

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

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

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

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

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

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

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

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

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



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

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

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

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

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

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

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

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

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

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

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

All Contractual questions should be directed to: Nancy Marucci at [Nancy.Marucci@nyserdera.ny.gov](mailto:Nancy.Marucci@nyserdera.ny.gov) or 518-8621090 ext. 3335.

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

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

## **I. Introduction**

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

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

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

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

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

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

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

subject to the following incentive caps:

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

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

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

Additional Program descriptions and requirements are provided in the Manual.

## **II. Program Requirements**

### **Eligible Applicants for Program Participation and Rebates**

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

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

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

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

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

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

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

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

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

### **Eligible Project Requirements**

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

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

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

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

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

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

## **How to participate in the Program**

### **Becoming a Participating Designer, Installer or Driller**

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

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

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

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

### **Submitting Rebate Applications**

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

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

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

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

**Step 4-Receive Award:**

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

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

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

**For large systems** ( $> 10$  tons capacity):

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

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

**General Conditions**

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

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

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

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-



220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

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

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

Attachments:

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



**Air-Source Heat Pump Program<sup>1</sup>**  
Program Opportunity Notice (PON) 3653  
**\$ 14,950,000 Available**

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

Applications accepted through March 31, 2020<sup>2</sup> by 5:00 PM Eastern Time, or until funds are fully committed, whichever occurs first.

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

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

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

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

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

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

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

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

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

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

## **I. Introduction**

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

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

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

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

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

## II. Program Requirements

### Eligible Applicants for Program Participation and Incentives

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

### Eligible Project Requirements

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

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

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

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

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

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

## Becoming a Participating Installer

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

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

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

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

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

## Submitting Incentive Applications

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

**Step 2 – Install the ASHP.**

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

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

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

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

### **III. General Conditions**

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

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

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

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

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

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

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



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

**IV. Attachments:**

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



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

**IMPLEMENTATION MANUAL**

**Last Updated: November 13, 2019**

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## 1.0 BACKGROUND

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

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

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

### 1.1 PROGRAM OVERVIEW

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

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

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

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

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

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

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

## 1.2 PROGRAM CONTACTS

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

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

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

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

## 2.0 DEFINITIONS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### **3.0 PROGRAM ELIGIBILITY**

#### **3.1 CHARGING EQUIPMENT AND NETWORK SERVICE ELIGIBILITY**

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

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

#### **3.2 EQUIPMENT OWNER ELIGIBILITY**

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

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



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

### 3.3 SITE ELIGIBILITY RULES

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

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

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

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

#### **4. INCENTIVE AMOUNTS**

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

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

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

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

#### **5. INCENTIVE APPLICATION PROCESS**

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

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

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

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

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

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

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

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

Equipment Owners shall submit incentive applications through NYSERDA's web portal ([nyserda-portal.force.com](http://nyserda-portal.force.com)).

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

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

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

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

## 6. PROGRAM REQUIREMENTS

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

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

## 7. REQUIRED DOCUMENTS

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

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

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

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

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

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

## 8. OPERATION OF EQUIPMENT AND DATA PROVISION

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

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

## **9. INCENTIVE DISTRIBUTION PROCESS**

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

## **10. APPEALS PROCESS**

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

## **11. RESEARCH PARTICIPATION**

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

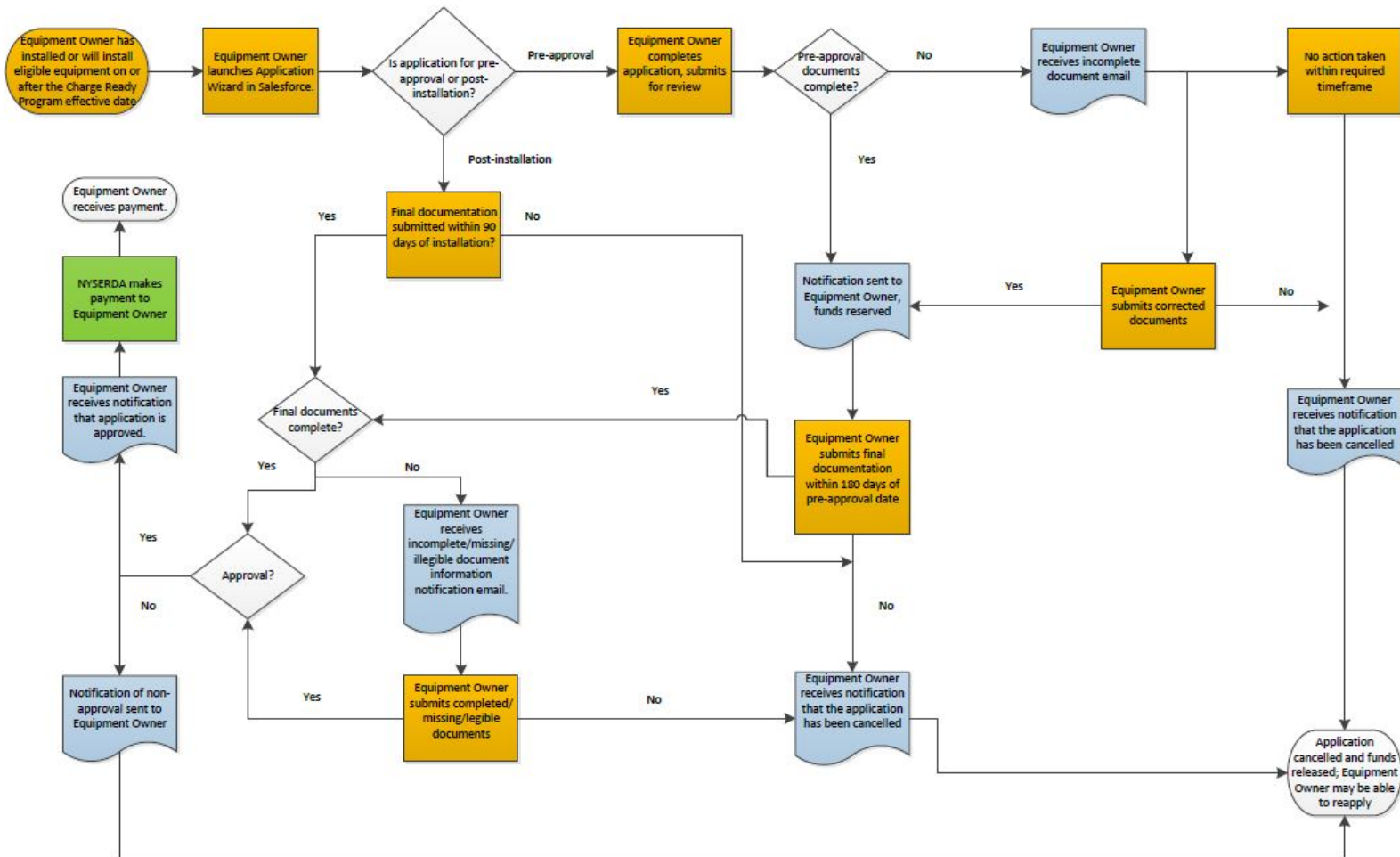
## **12. PUBLICITY**

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

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

Appendix A

Incentive Application Process Flow Chart







**P-12 Schools: Green and Clean Energy Solutions**

Program Opportunity Notice (PON) 4157

**\$4,000,000 Available**

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

Applications will be accepted on a first-come, first-served basis dependent on resource availability until December 30, 2022 by 3:00 PM Eastern Time\*

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

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

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

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

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

**Questions:** For program questions, please contact [P12Schools@nyserda.ny.gov](mailto:P12Schools@nyserda.ny.gov). No communication intended to influence this procurement is permitted except by contacting [P12Schools@nyserda.ny.gov](mailto:P12Schools@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or [ElsydaSolicitations@nyserda.ny.gov](mailto:ElsydaSolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All Applications must be received by 3 p.m. Eastern Time on the date noted above. Late or faxed Applications will not be accepted.** Incomplete Applications may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the Application. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## I. INTRODUCTION

NYSERDA's [P-12 Schools Initiative](#) promotes clean energy efforts by educating, guiding, and assisting school staff with clean energy projects and encouraging sustainability principles at facilities and in classrooms. As part of the P-12 Schools Initiative, this Program provides cost-sharing for energy studies to assist schools with analyzing energy load reduction measures and conversion to carbon free fuels, cost-sharing for clean heating and cooling and net zero design, and direct incentives for eligible energy load reduction projects. The Program will also provide complimentary services that include free clean heating and cooling technology screenings and registration for free [benchmarking through the P-12 Benchmarking Program](#).

### ***Complimentary Services***

#### Clean Heating and Cooling Technology Screenings

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

#### Benchmarking

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

### ***Cost-Sharing***

NYSERDA will cost-share eligible [Energy and Carbon Saving Studies](#) as well as [Clean Heating and Cooling and Net Zero Design](#) projects up to 75%. Schools categorized as High-Need<sup>1</sup> may receive up to 100%. For full project eligibility requirements, please see [Section IV. Cost-Sharing](#). Cost-sharing for each of these efforts is capped at \$250,000 per project.

### ***Direct Incentives***

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

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<sup>1</sup> For the Program definition of High-Need please see section II. Program Definitions.

## II. PROGRAM DEFINITIONS

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

## III. PROGRAM ELIGIBILITY

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

## IV. COST-SHARING

### ***Energy Studies***

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

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

## Incentive

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

## Consultant Requirements

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

## Scope of Work Requirements

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

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

## Deliverable Requirements

The energy study final deliverable shall include the following:

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

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

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

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

### ***Clean Heating and Cooling and Net Zero Design***

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

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

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

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

### Incentive

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

### Consultant Requirements

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

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

Please contact the [P12Schools@nyserda.ny.gov](mailto:P12Schools@nyserda.ny.gov) with specific consultant qualification questions.

### Scope of Work Requirements

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

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

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

### Deliverable Requirements

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

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

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

### **Application Requirements**

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

### **Deliverables Submission**

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



## ***Payment***

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

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

## ***Eligibility***

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

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

## **V. DIRECT INCENTIVES**

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

### ***Incentive***

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

### ***Application Requirements***

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

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



### ***Payment***

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

### ***Project Eligibility***

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

## **VI. PARTICIPATION PROCESS**

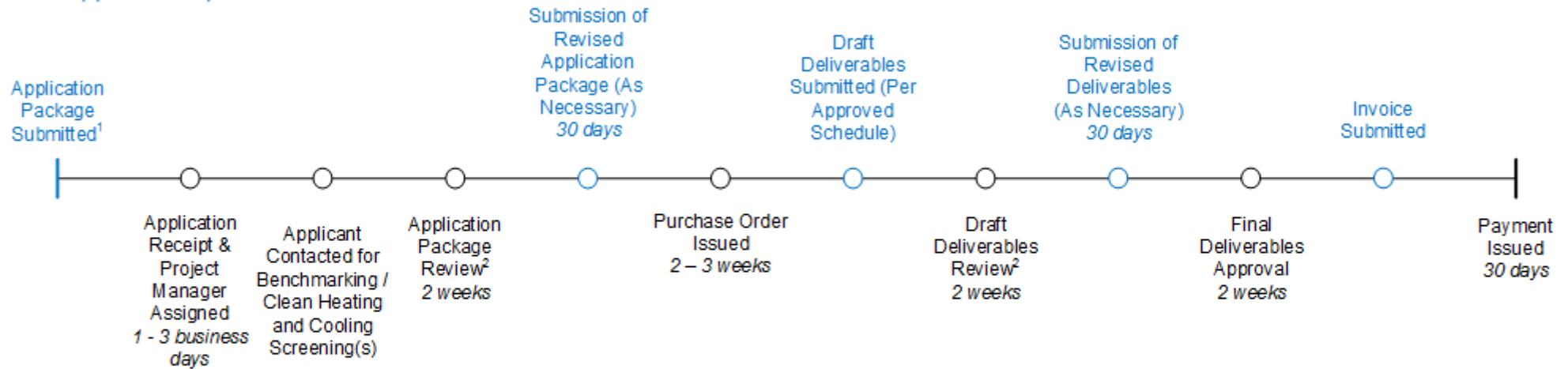
### ***Application***

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

**Participation Process and Timeline:**

Energy Studies and Design Cost-Sharing

Applicant Responsibilities

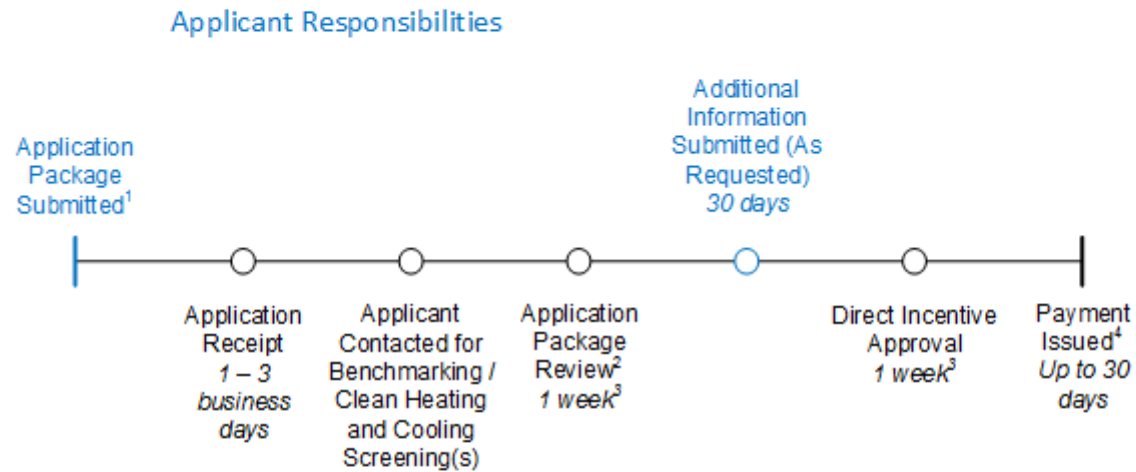


NYSERDA Responsibilities

Footnotes:

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

## Direct Incentive Participation Timeline



### NYSERDA Responsibilities

#### Footnotes:

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

## VII. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

Applications received. A contract may be awarded based on initial Applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each Application should be submitted using the most favorable cost and technical terms. NYSEERDA may request additional data or material to support Applications. NYSEERDA will use the Sample Agreement to contract successful Applications. NYSEERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEERDA expects to notify applicants in approximately 2 weeks from the receipt of an Application whether your Application has been selected to receive an award. NYSEERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEERDA agreement.

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

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

#### **VIII. LIST OF ATTACHMENTS**

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



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

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

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

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

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

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

### Program Summary:

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

### How to Apply:

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

### Program Questions:

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

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

# I. INTRODUCTION

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This solicitation is divided into the following Sections:

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

## PROGRAM TERMINOLOGY

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

## II. PROGRAM COST-SHARE

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

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

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

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

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



### III. ELIGIBILITY

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

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

### IV. PROGRAM PARAMETERS

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

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

The following are **ineligible** for funding:

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

## **V. PROGRAM PARTICIPATION**

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### **APPLYING TO THE PROGRAM**

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

A FlexTech program application **must** be submitted to [FlexTech@nyserda.ny.gov](mailto:FlexTech@nyserda.ny.gov), consisting of the following documentation:

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

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

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

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

## SCOPE OF WORK REQUIREMENTS

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

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

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

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

**PARTICIPATION PROCESS**

**Complete Application Package Received**

**1 Week**

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

**1 Week**

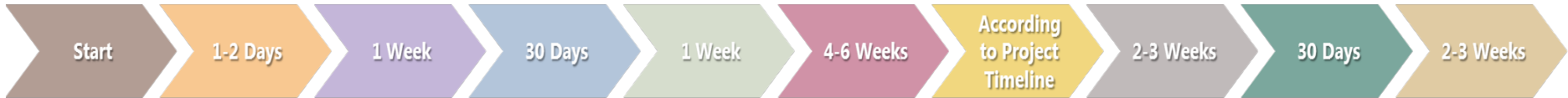
- PM Reviews & Approves Revised Scope of Work

**According to Project Timeline**

- Draft Report Submitted

**30 Days**

- Deadline to Submit Revised Draft Report



Start

1-2 Days

1 Week

30 Days

1 Week

4-6 Weeks

According to Project Timeline

2-3 Weeks

30 Days

2-3 Weeks

**1-2 Days**

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

**30 Days**

- Deadline to Submit Revised Scope of Work

**4-6 Weeks**

- NYSDERDA Issues Purchase Order

**2-3 Weeks**

- PM Issues Draft Report Comments

**2-3 Weeks**

- PM Reviews & Approves Revised Report

**Please note:**

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

## PROJECT PAYMENTS

### **For customers using a NYSERDA FlexTech Consultant**

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

#### ***Required Documentation:***

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

### **For customers using their own independent service provider**

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

#### ***Required Documentation:***

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

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

## **VI. CHP STUDIES (Traditional and Premium)**

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

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

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

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

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

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

#### *CHP SCOPE OF WORK REQUIREMENTS*

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

Scopes of work must:

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



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

## VII. ENERGY STORAGE STUDIES

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

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

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

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

### *ENERGY STORAGE SCOPE OF WORK REQUIREMENTS*

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

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

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



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

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

## VIII. GENERAL CONDITIONS

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### *PROPRIETARY INFORMATION*

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

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

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

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

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

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

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and

compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See*, ST-220-TD (available at [https://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](https://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at [https://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](https://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). The Department has developed guidance for contractors which is available at [https://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](https://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

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

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

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

#### *CONTRACT AWARDS*

NYSERDA may request additional data or material to support submissions including Scope of Work modifications or negotiations before issuing a Purchase Order. Each application should be submitted using the most favorable cost and technical terms. NYSERDA will use the FlexTech Program Application (Attachment A) and Scope of Work and Budget Template (<https://www.nyserda.ny.gov/flextech-documents>) to contract successful applications. A sample Purchase Order is available on request.

NYSERDA expects to notify customers in approximately three (3) weeks from the receipt of a complete project package whether the submission has been selected to receive an award. NYSERDA may notify the customer's utility of participation in the FlexTech Program in order to facilitate information sharing about potential utility implementation incentives available.

## **IX. ATTACHMENTS**

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



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

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

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

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

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

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

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

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

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

## I. Introduction

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

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

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

## II. Program Requirements

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

All proposals must include the following three components:

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

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

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

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

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

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

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

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

### **III. Proposal Requirements**

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

All responses submitted as part of this solicitation process become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with the preparation of their proposals. Approximately \$1,000,000 is available to support the efforts of this PON. Each project budget is limited to a maximum of \$200,000 to cover staffing costs and project expenses for the duration of the project, which is estimated to be up to three years. Proposers may elect to submit a proposal to:

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

#### **Proposal Submittal**

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

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

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

### **Proposal Format**

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

### **Project Summary (two to three pages total)**

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

### **Statement of Work (three to five pages total)**

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



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

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

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

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

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



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

	Cash	In-Kind Contribution	Total
<b>NYSERDA</b>	\$	\$	\$
<b>Proposer</b>	\$	\$	\$
<b>Others (list individually)</b>	\$	\$	\$
<b>Total</b>	\$	\$	\$

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

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

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

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

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

#### IV. Proposal Evaluation

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

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

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

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

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

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

- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.
- The degree to which there is diversity in topics, approaches, and methods for best achieving the overall goals and objectives of NYSERDA's programs.
- The degree to which the proposed project, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives.
- The ways in which the proposed project fits with currently funded projects.
- The ease of measuring project success in quantifiable ways.
- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work.

## V. GENERAL CONDITIONS

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

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

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

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

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

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

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

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

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

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

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

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

**VI. Attachments:**

Attachment A – Budget

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

Attachment C – Sample Metrics Reporting Guide





**NYSERDA**

**ANDREW M. CUOMO**  
Governor

**RICHARD L. KAUFFMAN**  
Chair

**ALICIA BARTON**  
President and CEO

**Industrial Strategic Energy Management  
Program Opportunity Notice (PON) 4371**

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

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

**Application Submission:**

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

All Program questions should be directed to Kathleen Dooley, 518-862-1090 x3475,  
[Energymanagement@nyserdera.ny.gov](mailto:Energymanagement@nyserdera.ny.gov).

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

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



## I. INTRODUCTION

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This solicitation is divided into the following components:

1. Section I: Introduction
2. Section II: Definitions
3. Section III: Program Description
4. Section IV: Eligibility
5. Section V: Application Requirements
6. Section VI: General Considerations
7. Section VII: Attachments

Strategic Energy Management (SEM) is a long-term systematic approach to managing energy use which goes beyond the sporadic implementation of energy-related capital project improvements. This Program works with Participants to implement SEM at their facilities; demonstrating that integrating energy management as a core business practice and applying principles of continuous improvement will foster substantial, long-term savings. Industrial facilities that participate will, among other things, receive and develop tools for continuous SEM integration including:

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

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

NYSERDA funds the Program, which consists of cohorts of up to eleven industrial facilities, to guide manufacturers through the process of establishing and implementing a SEM system. Participants will receive this training at no cost to them. NYSERDA reserves the right to determine number of cohorts and cohort size based on applications received.

## II. DEFINITIONS

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**Participant:** The entity participating in an Industrial SEM Cohort. If desired, Participants may partner with a consultant who may participate in the trainings with them and support the implementation of SEM at their facility.

**Energy Champion:** The Participant staff member responsible for attending the cohort sessions, receiving training from the Energy Coach, sharing information with the Energy Team, and leading the SEM effort at their facility. Should understand the manufacturing process and is empowered to reduce energy intensity and transfer the knowledge to the wider organization.

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

**Energy Coach:** The firm under contract with NYSERDA through RFP 3352 to provide SEM training at each cohort session and technical assistance to Participants throughout the Program. At the time of this solicitation, Vermont Energy Investment Corporation (VEIC) and Cascade Energy are under contract with NYSERDA to perform Energy Coach duties.

**Energy Team:** Successful Energy Teams generally are comprised of individuals from multiple levels of the organization who have knowledge about existing systems (production, capital project planning, facilities and maintenance, financial, etc.) and management support to participate in this effort. The Energy Team includes the

Energy Champion, Executive Sponsor, and key facility and operational staff. Finance, marketing, and other areas are also important to consider to ensure that the Energy Team understands the Participant's financial decision-making requirements for any projects requiring capital, as well as the elements of behavioral initiatives. The Energy Team is expected to continue beyond the Participant's involvement with the NYSERDA Program.

**Executive Sponsor:** A member of the Participant's executive management (President, CEO, COO, CFO, etc.) who has the authority to commit to undergoing SEM at the facility, commit to devoting staff time to this endeavor, and support projects and trainings that are critical to implementation of SEM.

### III. PROGRAM DESCRIPTION

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

The training session curriculum covers the topics indicated in the outline below. This outline also includes the schedule for the program as well as the session type. Please note that travel is required for the group workshops. The group workshops gather all Participants in the cohort and will be held either at Participant facilities or in meeting spaces across the state. The individual training sessions occur on-site for each Participant and are tailored for each specific Participant's needs and goals. It is required that the identified Energy Champion attend all training sessions. The Executive Sponsor and Energy Team members are invited to attend all the training sessions and are strongly encouraged to attend the webinar sessions as well as the individual training sessions.

Month	Training Session	Session Type	Objective
1	Establishing an SEM Program	Full Day Group Workshop	Introduction to SEM and how to get started at your company How to jumpstart organizational change through quick wins
2	Saving Energy	Full Day Group Workshop	Provide strategies for achieving quick wins and organizational buy-in Explore systems basics and common opportunities for energy savings Develop near-term technical opportunities using straight-forward concepts, processes and tools
2	Metering Toolkit	Webinar	Develop skillset needed to utilize temporary data metering hardware to identify energy-saving opportunities Introduction to energy intensity modeling
2-4	Energy Map	Individual Training	Learn how to increase awareness and visibility of where and how energy is consumed in participant facilities How to prioritize energy efficiency opportunities
2-4	Treasure Hunt		Training on the Treasure Hunt process

			Jumpstart SEM adoption through a list of actionable energy savings opportunities
5	Tracking Energy Performance	Full Day Group Workshop	Learn to quantify the value energy efficiency activities generate as quick wins are achieved Use customized energy intensity models and other analytical tools to assess and measure energy performance
7	Engaging Employees	Half Day Group Workshop	Learn organizational development strategies Learn to manage culture change through employee engagement and recognition
7-9	Employee Engagement Toolkit	Webinar	Learn to translate employee engagement strategies into actions for each participant
8-9	Onsite Energy Management Assessment	Individual Training	Explore existing energy management practices for participants Identify strengths and weaknesses in current energy management practices, organizational barriers, and baseline performance to measure progress Motivate leadership to address gaps
8-9	Onsite Employee Engagement		The Energy Team receives assistance with at least one initiative from the Employee Engagement Toolkit at their facilities
10	Making it Stick	Half Day Group Workshop	Teach participants how to create enduring management systems Learn from fellow participants through a series of collaborative exercises
12	Celebrating Accomplishments	Half Day Group Workshop	Celebrate and recognize accomplishments and generate enthusiasm for continued focus on energy Work with the Energy Coach to prepare a presentation of participants' SEM story

**Program Deliverables:**

*Year 1*

- Participation in all 10 training sessions over 12 months;
- Deliverables as assigned during cohort training sessions including:
  - The completion of Energy Management Assessments to benchmark and track progress;
  - The development of facility goals and metrics;
  - The creation and maintenance of an Energy Performance Model;
  - The identification of energy drivers and energy savings opportunities; and
  - The development and execution of employee engagement activities
- Annual energy savings report documenting results from efficiency projects; and
- Peer-to-peer sharing with other cohort members.

*Year 2*

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

- Quarterly submission to NYSERDA of the site's opportunity register with energy savings results from implemented energy projects for the length of the Participation Agreement;
- Support development of case study, including savings metrics; and
- Future sharing of information as needed for evaluation.

#### **IV. ELIGIBILITY**

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Eligible Participants include NYS industrial facilities with annual energy costs that exceed \$500,000, all fuels, and that contribute to the System Benefits Charge (SBC) on their electric utility bills. In addition, Energy Champions must have the ability to travel to cohort meetings to receive the SEM trainings.

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

Customers may participate in both NYSERDA's Industrial On-site Energy Manager and SEM at the same time.

#### **V. APPLICATION REQUIREMENTS**

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Strategic Energy Management Application package, required documentation:

1. Current, complete electric utility bill documenting payment into SBC
2. Attachment A: Industrial Strategic Energy Management Application
3. Attachment B: NYSERDA Participation Agreement, signed by the Facility
4. Attachment C: Letter of Commitment from the Executive Sponsor

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

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

#### **VI. GENERAL CONSIDERATIONS**

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

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

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**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing an application, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all applications received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest.

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

## **VII. ATTACHMENTS**

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Attachment A: Strategic Energy Management Cohort Participant Application

Attachment B: Participation Agreement

Attachment C: Letter of Commitment Requirements



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

**IMPLEMENTATION MANUAL**

**Last Updated: March 3, 2020**

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## 1.0 BACKGROUND

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

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

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

### 1.1 PROGRAM OVERVIEW

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

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

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

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

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

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

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

## 1.2 PROGRAM CONTACTS

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

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

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

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

## 2.0 DEFINITIONS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## **3.0 PROGRAM ELIGIBILITY**

### **3.1 CHARGING EQUIPMENT AND NETWORK SERVICE ELIGIBILITY**

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

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

### **3.2 EQUIPMENT OWNER ELIGIBILITY**

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

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

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

### 3.3 SITE ELIGIBILITY RULES

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

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

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

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

#### **4. INCENTIVE AMOUNTS**

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

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

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

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

#### **5. INCENTIVE APPLICATION PROCESS**

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

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

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

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

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

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

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

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

Equipment Owners shall submit incentive applications through NYSERDA's web portal ([nyserda-portal.force.com](http://nyserda-portal.force.com)).

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

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

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

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

## 6. PROGRAM REQUIREMENTS

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

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

## 7. REQUIRED DOCUMENTS

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

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



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

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

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

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

## 8. OPERATION OF EQUIPMENT AND DATA PROVISION

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

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

## **9. INCENTIVE DISTRIBUTION PROCESS**

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

## **10. APPEALS PROCESS**

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

## **11. RESEARCH PARTICIPATION**

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

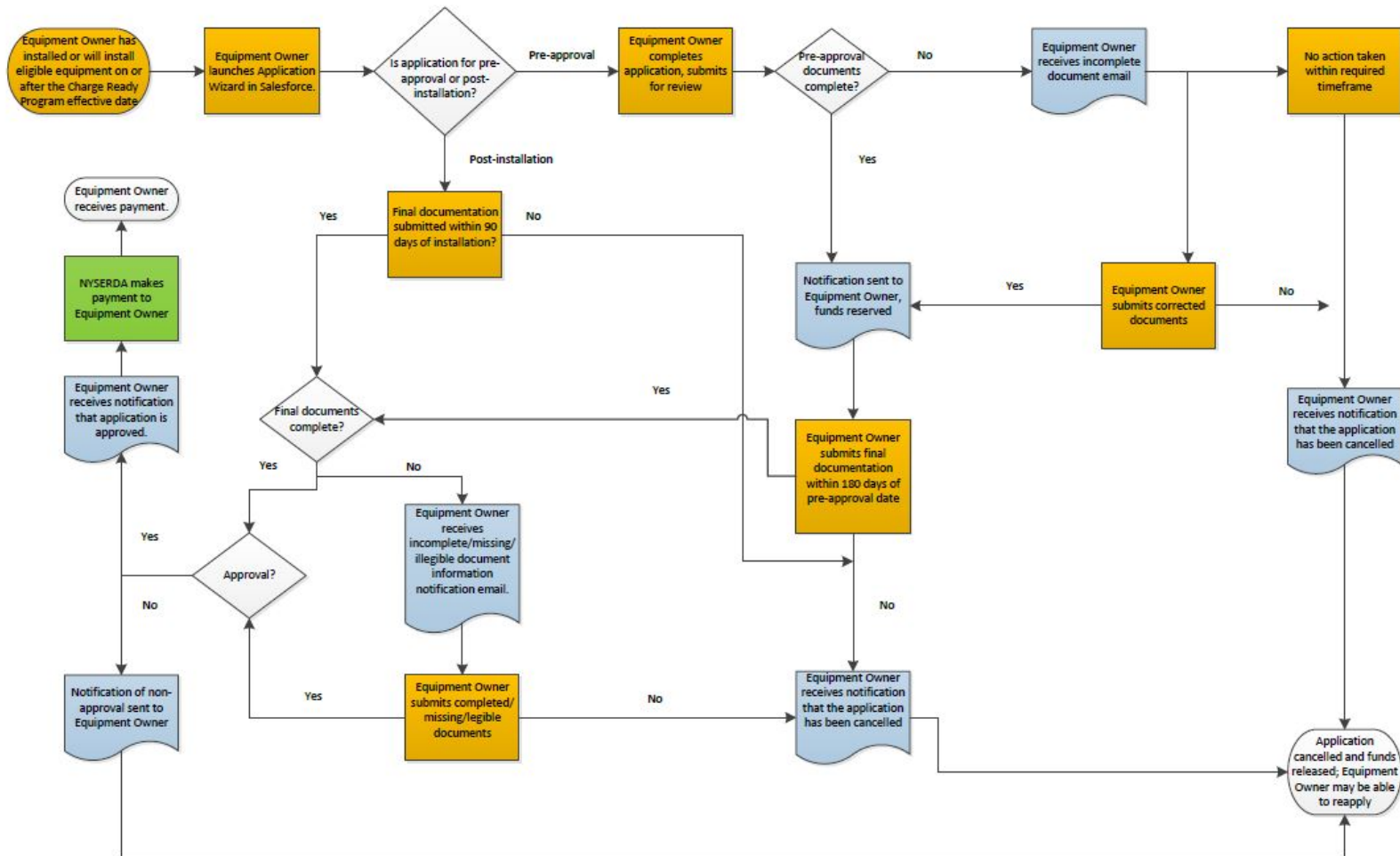
## **12. PUBLICITY**

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

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

Appendix A

Incentive Application Process Flow Chart





**ANDREW M. CUOMO**  
Governor

**NYSERDA**

**RICHARD L. KAUFFMAN**  
Chair

**ALICIA BARTON**  
President and CEO

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

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

### **Program Summary**

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

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

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

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

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

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

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

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

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

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

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

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

## I. Introduction

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

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

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

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

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

### **Eligibility**

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

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

## Funding

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

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

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

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

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

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

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

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

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

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

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

## **II. Application and Evaluation Process**

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



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

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

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

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

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



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

### III. Requirements and Assurances

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

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<sup>2</sup> Information on WARN notices can be found here:

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

The Applicant must be willing to assure the following:

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

### **Reporting**

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

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

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

#### IV. GENERAL CONDITIONS

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

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

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

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

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

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

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

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

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

[http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

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

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

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

**V. Attachments:**

Attachment A: Business Application

Attachment B: Sample Agreement

Real Time Energy Management Qualified Vendor  
Request for Qualifications (RFQ) 3691

**Applications accepted through January 4, 2021 at 5:00 PM Eastern Time**

New York State Energy Research and Development Authority (“NYSERDA”) is accepting Applications from vendors, installers, portfolio owners and managers and service providers of Real Time Energy Management (“RTEM”) to become a RTEM Qualified Vendor. NYSERDA is seeking installers (“RTEM System Providers”), energy management consultants (“RTEM Service Providers”) and stakeholders (“RTEM Portfolio Owners and Managers”). Applicants can choose to apply to serve commercial, industrial, and multi-family facilities. NYSERDA offers the following benefits to RTEM Qualified Vendors:

- Access to RTEM project cost-share funding as available through Program Opportunity Notice (“PON”) 3689
- Access to Technical Guidance Documents
  - Compiled using empirical data from projects identifying:
    - New technologies
    - Installation and maintenance strategies
    - Energy efficient savings
    - Non-energy benefits
- Promotional materials such as RTEM literature and advertising templates
- Publicity through NYSERDA’s website at [www.nyserdera.ny.gov](http://www.nyserdera.ny.gov), case studies and other materials, as available.

**Application Submission:** Applicants for RTEM system and/or service qualifications must submit an online RTEM Qualified Vendor Application via:

[https://portal.nyserdera.ny.gov/CORE\\_CONAPP\\_Program\\_Page?programFamily=Commercial&programName=Commercial\\_Real\\_Time\\_Energy\\_Management](https://portal.nyserdera.ny.gov/CORE_CONAPP_Program_Page?programFamily=Commercial&programName=Commercial_Real_Time_Energy_Management)

If you have questions concerning this solicitation, contact Alexander Jahn at [rtem@nyserdera.ny.gov](mailto:rtem@nyserdera.ny.gov).

Applications will be accepted on a continuous basis until January 4, 2021 at 5:00 PM Eastern Time. If changes are made to this solicitation, notification will be posted on NYSERDA’s website at [www.nyserdera.ny.gov](http://www.nyserdera.ny.gov).

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

## Introduction

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This RFQ contains the following sections:

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

### I. RTEM Initiatives Overview

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The NYSERDA RTEM effort promotes effective, energy-efficient solutions for commercial, multifamily, and industrial sites and processes for practitioners in the energy management software and services sector. NYSERDA hopes to demonstrate the value proposition of comprehensive monitoring and metering analytics, and how it provides building owners with system level energy usage data. These valuable insights can maximize energy performance, prevent operational stray, improve equipment/building optimization, and better inform capital investment recommendations.

To accelerate the adoption of RTEM practices, NYSERDA is offering cost-shared support for integrating RTEM systems and services into existing buildings and facilities through NYSERDA PON 3689 Real Time Energy Management Program.

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

Within the Industrial sector, RTEM technologies are often referred to as Energy Management Information Systems (EMIS) – software systems that store, analyze, and display energy consumption data collected from sensors, equipment feeds, and meters. EMIS for the industrial market offers entities the means to monitor energy consumption data in real-time and to identify operational changes and capital projects that will increase efficiency. EMIS incorporate environmental and production variables for a more thorough, holistic analysis of efficiency opportunities than energy consumption data alone.

### II: Eligibility

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NYSERDA is seeking to qualify RTEM vendors, installers, portfolio owners and managers, and service providers that demonstrate the ability to meet the following RTEM Eligibility Requirements. Firms interested in applying to be on the NYSERDA RTEM Qualified Vendors List may include, but are not limited to system providers, Energy Service

Companies (ESCOs), energy consultants, engineering companies, portfolio owners and managers. Applicants must provide proof of potential and demonstrate they can successfully provide customers with ways to monitor energy usage, provide optimization, and deliver energy efficiency services. Potential vendors will be evaluated qualitatively and quantitatively on past RTEM projects that have been implemented within 24 months of submitting to this RFQ. Potential vendors will be asked to specify if they are applying to serve commercial, industrial, multi-family or a combination thereof.

### **RTEM System Providers Eligibility Requirements**

Proposers must demonstrate that they use a RTEM System meeting all of NYSERDA's requirements. RTEM Systems are defined as the monitoring hardware and software used to extract, process, and store energy usage data. The capabilities below will need to be validated firsthand by NYSERDA. This will be done using multiple methods, including, but not limited to, accessing a live system, witnessing operational capabilities, and document review. System validation will need to be conducted on a live data system, in the same fashion as it is intended for the system's users.

The proposed RTEM System must be capable of the following:

1. Energy consumption tracking
2. Energy performance analysis
3. System integration
4. External data integration
5. Reporting and data export
6. Data capacity
7. Interface capabilities
8. Networking capabilities

### **RTEM Service Providers Eligibility Requirements**

Proposers must demonstrate that they can provide all the RTEM Services as required by NYSERDA. RTEM Services are defined as consulting services that customers contract with to analyze energy usage data and provide, enable, and/or implement actionable items based on the data. RTEM Services does not refer to software as a service (SaaS). If RTEM Services use SaaS as a tool to provide, enable, and/or implement actionable items, and is incorporated into the contract, SaaS can be included in the RTEM project cost share. The capabilities below will need to be validated by NYSERDA. This will be done by reviewing current and past projects, project results of existing or past projects/portfolios.

1. RTEM site profiling and benchmarking
2. RTEM analytic and forecasting capabilities
3. RTEM evaluation and implementation

## RTEM Portfolio Owners and Managers Eligibility Requirements

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

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

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

### III. Qualified Vendor Responsibilities

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1. RTEM Qualified Vendors are responsible for promoting the use of effective, energy efficient products, services and designs, as defined by this RFQ.
2. RTEM Qualified Vendors are responsible for abiding by the terms and conditions in this RFQ.
3. RTEM Qualified Vendors are responsible for completing at least one approved RTEM project within one year of becoming a RTEM Qualified Vendor; and two approved projects per year thereafter to maintain active status as a NYSERDA RTEM qualified vendor. If the Qualified Vendor does not meet the minimum project responsibilities, their Qualified Vendor status will be suspended until they bring a project into the program.
4. If NYSERDA identifies an instance where these rules have not been followed, the Qualified Vendor is responsible for fully cooperating in any investigation of a possible violation. Failure to comply may result in the Qualified Vendor losing its active status.



Becoming a Qualified Vendor is completely voluntary and NYSERDA can remove a Vendor from the list at any time for any reason. NYSERDA may revoke the status of the Qualified Vendor and remove them from the website if the Qualified Vendor does not meet all Program requirements. Vendors may also request to be removed from RTEM Qualified Vendor list.

#### IV. Application and Evaluation Process

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***To submit to this solicitation today:***

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

[https://portal.nyserda.ny.gov/CORE\\_CONAPP\\_Program\\_Page?programFamily=Commercial&programName=Commercial\\_Real\\_Time\\_Energy\\_Management](https://portal.nyserda.ny.gov/CORE_CONAPP_Program_Page?programFamily=Commercial&programName=Commercial_Real_Time_Energy_Management)

The Application will gather information on the capabilities of the RTEM system and/or RTEM services you are applying to provide and the preferred method for NYSERDA to verify the capability. Verification options include supplying NYSERDA with marketing and sales literature, operating manuals, screenshots, case studies, or live demonstrations depending on the capability being reviewed.

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

2. Interview: After review of the completed Application, NYSERDA will schedule an interview to discuss verifying the capabilities listed in the survey. The interview may take the form of a phone call, face-to-face meeting, webinar with remote viewing of the RTEM capabilities or all the above. The Applicant must be prepared to provide information on its RTEM capabilities. These capabilities will need to be validated firsthand by NYSERDA, including, but not limited to, accessing a live system, witnessing operational capabilities, and document review. System validation will need to be conducted on a live data system, in the same fashion as it is intended for the system's users.

## V. Required Information

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The following will also be reviewed at the scheduled interview:

**Overview of Firm:** The Applicant must provide a description of its organizational structure and the office(s) that serve RTEM systems and/or services to customers.

**RTEM Project Examples:** The Applicant must provide proof of capabilities through an RTEM Sample Project Report. If applicable, provide documentation of any RTEM related work performed in New York State. A minimum of two (2) RTEM projects must be submitted for review. The report shall demonstrate the quality of the Applicant's work, methodology, and results. It shall also show the various types of analyses and reports that are delivered to the customer. The associated scope of work and itemized budget must be included. The RTEM projects must have been completed within two years of Application submission date. The projects must include, but are not limited to, the following:

- Description of RTEM systems
- Description of RTEM services
- Description of benefits and costs
- Description of realized energy savings
- Equipment specifications
- Installation lead time
- Customer contact information

NYSERDA may request additional materials as reasonably necessary to facilitate review.



New York State Flexible Energy Technical Analysis  
Request for Qualifications (RFQL) 3685  
**No Funding is Associated with this Solicitation**

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

The New York State Energy Research and Development Authority (NYSDERDA) is issuing this solicitation (RFQL 3685) to establish a pool of consulting firms qualified to provide NYSDERDA 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). NYSDERDA’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 NYSDERDA’s expertise when undertaking individual, discrete projects with firm timelines. These retained resources will be made available to all NYSDERDA Programs, providing technical expertise when such services are needed and appropriate.

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

NYSDERDA 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, Prices, and Greenhouse Gas Emissions
- E. Benefit Cost Analysis
- F. Transportation Systems Analysis
- G. Health and Environmental Impacts
- H. Fossil Fuel Infrastructure
- I. Nuclear Safety
- J. Policy Analysis and Technology Assessment
- K. Facilitation Services
- L. Workforce Assessment and Labor Economics
- M. Climate Change Impacts and Adaptation Analysis
- N. Large Scale Renewables Technical Review

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

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

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

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

## Introduction

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

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

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

## Program Requirements

### Services Requested

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

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

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

### Support Areas<sup>1</sup>

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

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

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

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

Network Reliability

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

Production Cost (Unit Commitment and Dispatch)

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

Capacity Expansion Models

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

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

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

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

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

Macroeconomic Modeling

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

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

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

- G. Health and Environmental Impacts: Assistance may be requested to perform environmental and health impact assessments related to energy policy options in support of a multi-pollutant policy analysis framework. This may include but not be limited to emissions measurements, emission inventory estimates, regional or micro-scale air quality modeling, or health impacts analysis. An example could be the use of the U.S. Environmental Protection Agency (U.S. EPA) Benefits Modeling and Analysis Program (BenMAP) or the use of health data for NYS populations. Activities may include compiling and analyzing best practices for energy technology deployment; development of realistic test-methods for technology energy efficiency and emissions performance characterization and developing representative emissions inventories; measuring or modeling air quality with high time resolutions or performing health impact assessments due to emissions from existing and emerging energy technologies. Successful proposers may be requested to conduct analyses of environmental issues associated with energy policy and planning and development including:
- Technology operational duty-cycle characterization;
  - Emissions estimates (e.g., PM<sub>2.5</sub> and precursors, SO<sub>2</sub>, CO, NO<sub>x</sub>, CO<sub>2</sub>, CH<sub>4</sub> and other greenhouse gases, NH<sub>3</sub>, mercury, particulate number, size, and composition, volatile organic compounds, particulate matter, ozone precursors, and air toxics);
  - Air quality monitoring or modeling using various existing and emerging tools for ozone, secondary PM, and the pollutants listed above;
  - Estimates of the direct and indirect effects of energy production, use, transport, and storage on:
    - o local, regional, national, or global air quality including climate
    - o human exposure health effects, and public health impacts
    - o wildlife,
    - o performance and costs of technologies,
    - o water quality,
    - o changes in ecosystems, and
    - o economic impacts of ecosystem degradation and recovery
  - Impacts of climate change;
  - Costs and benefits of mitigation of environmental impacts; and
  - Costs and benefits of incumbent and emerging energy technologies on health impacts.
- Activities could also include reviewing and commenting on draft environmental or energy regulations; draft environmental impact assessments and statements, as well as State and federal licensing and permitting actions; providing technical analysis to support the review and development of studies related to such actions; and identifying viable alternatives to proposed activities addressed in the assessments and categorizing and developing responses to public comments; and any other similar activities.
- H. Fossil Fuel Infrastructure: Assistance may be requested to undertake projects analyzing fuel supply and associated infrastructure in New York. These projects may include, but are not limited to, assessments of current and possible future supply and demand of natural gas, petroleum products, coal, renewable fuels (e.g. gaseous and liquid biofuels as well as solid biomass), and



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

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

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

Natural Gas Infrastructure Analysis

Gregg Engineering's WinFlow and Gregg Engineering's WinTran

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

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

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

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

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

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

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

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

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

## **Task Work Order Agreements & Task Work Orders**

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

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

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

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

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

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

## **Funding & Schedule**

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

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

## **Contractor Responsibilities & Compensation**

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

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

NYSERDA;

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

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

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

## Proposal Requirements

### Identified Support Areas

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

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

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

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

## **Length & Format**

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

## **Outline**

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

### **Document 1: Cover Letter and Main Body of Proposal**

#### **Cover Letter(s)** (1 page suggested)

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 3685
- Specifies the Support Area, by name and letter, where services are being offered
- Summarizes the proposer's ability to perform such services
- Is signed by a person with authority to enter into a contract with NYSERDA

Letters from subcontractors included in the proposal must be included in each Support Area proposal and include the same information included in the proposer's cover letter.

#### **Table of Contents** (1 page)

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

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

### **Support Area Proposal(s)**

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

Each Support Area proposal must include the following subsections:

- a) **Overall Experience, Capabilities, and References (2-4 pages)**  
Proposers must describe their expertise and ability as a team/firm to deliver services in the proposed Support Area(s). This should include the aggregate number of years working in this Support Area(s) and a brief summary of at least one, and no more than three, similar projects. The project descriptions should specify the level of involvement of the proposing firm and subcontractors and the results/deliverables of the project. For at least one of the projects mentioned, proposers must include customer contact names and phone numbers. Proposers with specialized capabilities are encouraged to articulate those capabilities in the proposal to assist NYSERDA's understanding of them and the capabilities that may be available to address specific needs identified among broader support areas. Proposers can reference Support Area section of this RFQL for further explanation.
  
- b) **Personnel and Qualifications Summary (2 pages)** Proposers must: identify and describe the company or organization that will be the prime contractor under this RFQL and identify all staff members, teams, and subcontractors that are to be involved in providing services in the Support Area(s), with descriptions of qualifications and past working relationships among team members and subcontractors. Proposals should include an organizational chart, if necessary. Proposers must identify the project manager who will serve as the single point of contact under this RFQL. Proposals must describe the accomplishments, experiences, and expertise of the individuals comprising the proposing team relevant to the Support Area and reference one-page résumés (provided as an attachment) that highlight recent experiences of all individuals who would be directly involved in providing services.
  
- c) **Conflicts (1 page)** The firm, its principals, subcontractors, and any personnel of the firm must

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

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

### **Document 2: Attachment A: Project Personnel and Rates Form**

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

### **Indirect Cost**

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

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

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

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



### **Document 3: Attachment B: Sample Agreement**

Self-explanatory.

## **Proposal Materials & Effort**

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

## **Proposal Evaluation**

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

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

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

### **Overall Experience, Capabilities, and References**

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

### **Personnel and Qualifications**

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

### **Other Considerations**

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

**Fee Schedule**

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

**General Conditions**

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

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

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

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

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

Empire State Development  
 Minority and Women's Business Development Division

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

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

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

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

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

## **Attachments**

Attachment A: Project Personnel and Rates Form

Attachment B: Sample Agreement



**NYSERDA**

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

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

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

NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use and associated carbon emissions while saving building operators and owners money by building the skills of operations and maintenance staff and managers across the state. The goal is to provide support to help employers and building owners with workforce development and training projects that create the talent development strategy, corporate culture, on-site training framework, and training tools needed to support building operations and maintenance workers beyond classroom training. NYSERDA will support eligible projects by providing funding for activities such as, but not limited to, on-site training laboratories, curriculum development, career pathways training, coaching/mentorships, apprenticeships, internships, training trainers within a company, and partnerships with manufacturers. Projects submitted to this PON should be designed to help employers build upon their employees' technical skills and reduce facility energy use, while realizing other corporate benefits such as reduced equipment downtimes, increased occupant comfort, reduced occupant complaints and tenant turnover, increased numbers of staff with national certifications, and opportunities for employee retention, promotion and career advancement.

This program targets the operations and maintenance workforce employed in the following building types: multifamily housing, office buildings, retail, colleges and universities, hospitals and health care facilities, state and local governments, not-for-profit and private institutions, industrial facilities, and public and private K-12 schools. Other building types will be evaluated on a case-by-case basis. While a training organization may be the lead proposer, they must partner with a specified entity or entities employing building operations and maintenance workers. Such entities must be New York State electricity customers of a participating utility company and paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF). Proposals must be for buildings or groups of buildings - including partnerships of businesses with common training needs and skills gaps - that have total annual energy expenditures of \$1 million or more. Building operations and maintenance occupations or job titles that are targeted for hands-on and on-site training under this program may include, but are not limited to, the following: facilities and property managers; operating and stationary engineers; technicians; building superintendents; maintenance workers; mechanics and supervisors; electricians;

plumbers; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers. Potential cost reduction and efficiency improvements achieved through training could target, but are not limited to HVAC systems and controls; building envelope; mechanical systems; building diagnostics; pneumatic systems and controls; building set points and temperature standards; and lighting and lighting controls, motors, etc.

NYSERDA will provide cost share of up to 50% with a cap of \$400,000 per application.

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

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

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

If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserdera.ny.gov/>.

## I. INTRODUCTION

NYSERDA's Building Operations and Maintenance Workforce Development and Training Program seeks to reduce energy use and associated carbon emissions while saving building operators and owners money by building the skills of operations and maintenance staff and managers across the state. The goal is to provide support to help employers and building owners with workforce development and training projects that create the talent development strategy, corporate culture, on-site training framework, and training tools needed to support building operations and maintenance workers beyond classroom training. NYSERDA will support eligible projects by providing funding for activities such as, but not limited to, on-site training laboratories, curriculum development, career pathways training, coaching/mentorships, apprenticeships, internships, training trainers within a company, and partnerships with manufacturers. Projects submitted to this PON should be designed to help employers build upon their employees' technical skills and reduce facility energy use, while realizing other corporate benefits such as reduced equipment downtimes, increased occupant comfort, reduced occupant complaints and tenant turnover, increased numbers of staff with national certifications, and opportunities for employee retention, promotion and career advancement.

This program targets the operations and maintenance workforce employed in the following building types: multifamily housing, office buildings, retail, colleges and universities, hospitals and health care facilities, state and local governments, not-for-profit and private institutions, industrial facilities, and public and private K-12 schools. Other building types will be evaluated on a case-by-case basis. While a training organization may be the lead proposer, they must partner with a specified entity or entities employing building operations and maintenance workers. Such entities must be New York State electricity customers of a participating utility company and paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF). Proposals must be for buildings or groups of buildings - including partnerships of businesses with common training needs and skills gaps - that have total annual energy expenditures of \$1 million or more. Building operations and maintenance occupations or job titles that are targeted for hands-on and on-site training under this program may include, but are not limited to, the following: facilities and property managers; operating and stationary engineers; technicians; building superintendents; maintenance workers; mechanics and supervisors; electricians; plumbers; HVAC technicians; procurement staff; facility coordinators; and energy/sustainability managers.

Proposals should be aimed at developing comprehensive workforce development and training initiatives to train new workers and advance the skills of existing workers. It is anticipated that **eligible training initiatives** funded under this PON will be equipment based or operations and maintenance based.

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

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

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

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

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

A proposal should be aimed at continuously advancing the skills of new or existing building operations and maintenance workers beyond typical training or beyond training that is currently available within the proposing facilities or in the market. Following are a few examples of areas eligible for funding:

- Developing and implementing a new, New York State-registered apprenticeship program or modifying an existing registered apprenticeship program, including developing or modifying curriculum and training trainers.
- Developing a training lab at a building site, supported by other training elements like those mentioned below.
- Developing a job mentoring program that includes training mentors, classroom training,



on-the-job training with a defined training plan, and/or developing operations and maintenance manuals as training tools.

- Partnerships between employers with job openings and technical high schools and/or colleges to introduce students with basic skills training to career opportunities through a plan that may include internships, pre-apprenticeships, mentoring, advanced training, and/or job shadowing.
- Initiatives to support advanced training that leads to national certifications, including activities to recognize employees that achieve training milestones.

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

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

Proposers may be able to complete proposed tasks on their own, or proposals can include partnerships with other organizations to carry out the Scope of Work (i.e., to develop curriculum, develop and implement a plan to measure the energy and non-energy benefits associated with the project, train trainers). NYSERDA will also support measurement and verification of project impacts; foster employer partnerships with training organizations; share project results and outcomes with similar organizations through the NYSERDA website and case studies; and facilitate industry partnerships to help in addressing common barriers.

## **II. PROGRAM REQUIREMENTS**

### **Eligibility Requirements:**

- Eligible participants include facilities that are New York State electricity customers of a participating utility company and are paying into the System Benefits Charge (SBC)/Clean Energy Fund (CEF). Such entities may include, but are not limited to multifamily housing, office buildings, retail, colleges and universities, hospitals and health care facilities, state and local governments, not-for-profit and private institutions, industrial, and public and private K-12 schools. Other building types will be evaluated on a case-by-case basis.
- While a training organization may be the lead proposer, they must partner with a specified entity or entities employing building operations and maintenance workers. Such entities may include, but are not limited to, building owners, facility managers, property management companies, or business associations/trade groups that represent or are comprised of employers. The majority of the cost share must be provided by the entity employing building operations and maintenance workers.
- Participating employers of building operations and maintenance workers must have buildings, campuses, or groups of participating buildings that have total energy expenditures of \$1 million or more annually (all fuels and all uses).
- Preference will be given to proposals that exceed the minimum requirements outlined below and funding requests should be commensurate with the project's impact.

## **Program Budget:**

Total funding currently available for this solicitation is \$8,000,000. Additional funds may be added to the PON if funds become available, and it is anticipated that the PON could be reissued with or without modifications. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov>.

NYSERDA anticipates awarding multiple contracts under this solicitation, with a maximum initial award of \$400,000 per contract. Contracts may be modified/extended, and additional funds may be added, if justified and if additional funds are available. NYSERDA may partially fund proposals.

Proposers will be required to provide 50% cost share, which can include cash or in-kind services. Some examples of eligible cost share, for example, could include employees' wages during training, equipment from manufacturers that will be used exclusively for training purposes, training fees offset by a third party, etc. Should the project require the purchase of laptops, tablets, or cell phones, these should be designated as proposer cost share.

Examples of approved uses of NYSERDA funds include, but are not limited to, classroom training and certification costs; hands-on training equipment; development and implementation of internship programs; on-the-job training wage support for new hires (consistent with the duration of typical on-the-job training programs and when supported by other activities in a training plan) and; curriculum development.

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

## **Programmatic Considerations:**

NYSERDA reserves the right to ensure the distribution of participants across multiple sectors and geographically across New York State and to ensure that projects selected for funding optimize the use of available funding to achieve programmatic objectives. NYSERDA also reserves the right to limit the number of awards per applicant and interview applicants.

## **III. PROPOSAL REQUIREMENTS**

Successful Proposals will include or address the following:

- Include a list of buildings, their square footage, and annual energy costs.
- Identify the job titles and numbers of workers being training in each training task and overall.
- Identify and explore opportunities to hire and advance the skills of workers that need special assistance entering the clean energy labor market such as, but not limited to, unemployed, under-employed, transitioning, or displaced workers. Partnerships could include working with a community-based organization to develop job placement and career pathway steps for workers needing special assistance to enter the job market.

- Identify measurable impacts on the workers trained, including advancing the skills of existing workers and providing applicable skills to new workers.
- Clearly define the skills gaps being addressed, the training initiatives to address those gaps, and how those training initiatives will be integrated into standard business procedures.
- Demonstrate how the proposer(s) will leverage existing training materials available in-house or in the marketplace. If it can be demonstrated that necessary training is not available in the market, new curriculum can be developed, ideally combined with one or more of the other hands-on, on-site training components mentioned above.
- Include a workforce development and training plan which will contain specific tasks and deliverables to develop an in-house energy training culture, infrastructure, and activities that result in continuous, organization-wide training to provide skills to new workers and/or advance the skills of existing workers.
- Result in a training program that will be self-sustaining (within the facilities of the participating employers) after NYSERDA support has ended.
- Result in training initiatives and outcomes that can be replicated and sustained beyond the project scope and shared across the portfolio of building in the proposer's portfolio, as well as with NYSERDA and, as appropriate, with similar organizations or building types.
- Include energy savings targets and tasks to measure and verify savings. Projects must identify energy savings goals based on their specific building(s) and training activities (basic estimates are acceptable in applications, but more detailed estimates will be viewed more favorably). Projects must outline plans to monitor and verify energy savings during the project and for a minimum of one year following project completion. Depending on the scope and scale of the project, energy savings may be verified through bill analyses or data monitoring equipment.
- Include a plan to identify non-energy goals and benefits and a strategy for measuring or monitoring such impacts (i.e., reduced staff turnover, increased occupant satisfaction and reduced tenant turnover, reduced equipment downtime, and increased number of worker certifications).
- Include partnerships to leverage existing or other resources, and share results, where appropriate, either between employers, across multiple properties, or with training providers. For example, a business could partner with a training provider to develop curriculum or develop training protocols for job shadowing; or a business could partner with a manufacturer to develop customized training modules or develop operations and maintenance manuals.

### **Scope of Work Requirements**

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

Scope of Work tasks related to specific training initiatives, for example, COULD include one or more of the following:

- **Curriculum Development:** If new curriculum is proposed, the Scope of Work should identify the market gap that the curriculum will address; describe the proposed curriculum; and identify who will develop the curriculum (e.g., it could be a training organization identified in the proposal). How will the curriculum fill a current gap in the market? How is it different from curriculum already available?
- **Train-the-Trainer:** The Scope of Work should address how the program will develop internal capacity and the roles of trainers for training new or existing staff. What training will they need and how will it be provided/accessed? What skills gaps are being addressed?
- **Employee Training:** Provide details on who will be trained, how, and on what skills. Will training lead to or prepare workers for national certifications and if so, which ones? What happens after staff are trained?
- **Career Pathways Training:** If your proposal includes activities to develop career paths for new or existing employees, the Scope of Work should identify the training needs, skills, and job titles along each career path. Will efforts include activities to hire workers that need special assistance entering the clean energy labor market?
- **Internships/Pre-Apprenticeships/Apprenticeships/On-the-Job Training:** Provide training and task details and indicate the number of hours for the initiative once implemented. For example, how many training hours, including classroom hours, would an on-the-job training plan or internship include?
- **Partnerships with Manufacturers:** Describe the roles and expectations of manufacturers in any training activities. How will you work with manufacturers to leverage existing training or training equipment, support the development of training and maintenance manuals, etc.?
- **Build a Hands-On Training Laboratory On-Site:** Tasks should detail what a training laboratory will include (equipment), where it will be located, who will have access to it, who the trainers will be at the laboratory, how it fits into a training plan, and why it is needed on-site. How will the lab be staffed and maintained after the project is complete?

**Proposals that include and integrate several of the activities mentioned above, as examples, are more likely to have an impact on addressing skills gaps and be sustainable. As a result, such proposals are more likely to be funded than projects that only include one discrete element.**

### **Schedule Requirements**

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

## **Budget Requirements**

Include a detailed budget for the proposal that shows hours, hourly rates and dollars allocated to each task of the Scope of Work. Proposers will be required to use the budget template provided in Attachment D. The budget must be reasonable and must show the portion being requested from NYSERDA and the portion that is the proposer's or proposing team's responsibility. The majority of the cost share must be provided by the entity employing building operations and maintenance workers. Work completed or costs incurred prior to NYSERDA's execution of a contract are ineligible for funding or for consideration as cost share.

## **IV. PROPOSAL EVALUATION**

### **Evaluation Process**

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

**After the proposals are reviewed, NYSERDA will inform each proposer of the results within approximately eight weeks. Applicants receiving favorable evaluations may be asked to address specific questions or recommendations of the Scoring Committee or make modifications to the Scope of Work before being awarded funding. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel the PON in part or in its entirety when it is in NYSERDA's best interest.**

### **Successful Proposals:**

After review by the Scoring Committee, NYSERDA will make a final decision and will notify applicants whether the proposal has been selected to receive an award. An award under this PON will result in a contract. NYSERDA may award a contract based on applications without discussion or following limited discussion.

### **Denied Applications:**

Proposers whose applications are denied may request a debriefing and may reapply under the Program Opportunity Notice as long as funding is available.

**Evaluation Criteria (72 points is the minimum threshold of 100 possible points. No proposal with a score of less than 72 will be considered for contract negotiations.)**

- Cost Effectiveness of the Proposal – 20 points
  - Are the costs reasonable?
  - Is the funding requested commensurate with the impact a project will have (number trained, energy savings, non-energy benefits)?
- Energy Savings Goals and Verified Energy Savings – 17 points

- Is the project likely to have a measurable impact on energy use?
  - Does the project identify energy savings goals? (Well identified and detailed goals will be viewed more favorably than citations of industry standards.)
  - Does the project include a plan (and a Scope of Work task) to monitor and verify energy savings for 12 months after the conclusion of training activities?
- Self-sustaining After NYSERDA Support Has Ended; Training Integrated into Corporate Culture - 15 points
  - Is the impact on building operations and maintenance staff within an organization or across partnering organizations clearly identified during the project and after it has been completed?
  - Does the project address sustainability after the project is completed and integrate or leverage complementary training elements into a comprehensive plan to continuously advance the skills of existing workers or provide a career path for new workers?
- Scope of Work – 12 points
  - Does the Scope of Work have well-defined tasks and deliverables to develop an in-house energy training culture, infrastructure, and activities that result in continuous, organization-wide training to provide targeted skills to new workers and/or advance the skills of existing workers?
  - Does the Scope of Work clearly identify skills gaps being addressed and the training initiatives to address those gaps?
  - Are the type and number of workers being trained specified in each training task and overall?
  - Is there a task that outlines steps that will be taken to ensure the project results in a sustainable effort that is incorporated into the corporate culture?
- Replicable – 10 points
  - To what extent will the project be replicated throughout the proposing organization that employs building operation and maintenance workers?
  - Will the project result in deliverables that can be used to share project results and lessons learned with other similar organizations or building types?
- Efforts to Hire Workers that Need Assistance Entering the Clean Energy Labor Market – 10 points
  - Is there a component to identify and explore opportunities to hire and advance the skills of unemployed, under-employed, transitioning, or displaced workers?
- Plan to Identify and Measure Non-Energy Benefits – 8 points
  - Is there a reasonable strategy for measuring or monitoring non-energy benefits and impacts (i.e., cost savings, reduced staff turnover, increased occupant satisfaction, reduced tenant turnover, reduced equipment downtime, and/or increased number of worker certifications)?
- Maximize Impact and Leverage Existing Resources - 8 points

- Is there leveraging of available resources, such as subject matter experts, curriculum and training tools, equipment, training facilities, etc.)?
- Are there teaming arrangements between employers, across multiple properties, or with training providers?

## V. GENERAL CONDITIONS

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

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

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

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

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

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>.

Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify applicants in approximately four (4) weeks from the receipt of an application whether your application has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA



reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

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

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

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

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

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

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

#### **XI. ATTACHMENTS:**

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

**Buildings of Excellence Competition**

Request for Proposal (RFP) 3928 Rd2

**Up to \$10,000,000**

*NYSERDA reserves the right to extend or add funding at its sole discretion.*

Proposals Due: May 27, 2020 by 3:00 p.m. Eastern Time (ET)\*

The Buildings of Excellence Competition (the Competition) aims to accelerate the design, development, construction, and operation of very low or zero carbon emitting buildings that are capable of withstanding increased risks and impacts from future climate change. NYSERDA seeks proposals for projects that reduce their energy consumption and per capita carbon emissions while increasing climate change resilience, including passive survivability, in a manner which can be replicated at scale. Selected projects are eligible to receive up to \$1,000,000 in direct funding as well as support for initiatives focused on broad marketing and public awareness. Technical and performance validation support services are also provided. Proposers must demonstrate (1) how the project will generate interest in and demand for the construction of low carbon and climate-resilient advanced clean energy buildings, (2) their commitment to share information related to the project's design, costs, and performance, which is expected to support decision-making processes employed to achieve the desired outcomes, and (3) architectural and urban design quality and innovation. The Competition intends to identify and select proposals for projects that demonstrate the greatest potential for success and replication. This second issuance of the Competition focuses on multifamily projects. The Competition is approved for three rounds of funding.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or pdf files (file formats include the following: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100 MB or less in file size. Proposal pdfs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA also accepts proposals by mail or hand delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), go to NYSERDA's Funding and Opportunities web page and follow the [Application Instructions and Portal Training Guide](#) [PDF] located in NYSERDA's [Current Opportunities](#).

**Informational webinar:** NYSERDA will host informational webinars on Wednesday March 18, April 15, and May 20, 2020 starting at 10 am. [Fill out this form](#) to be notified of additional these and other informational webinars that may be scheduled; or when each round of the Competition is launched, are about to close, and when the winners of each round are announced.

**Contact Information:** For technical questions, contact Patrick Fitzgerald (designated contact) at [PatrickNC@nyserda.ny.gov](mailto:PatrickNC@nyserda.ny.gov) or (518) 862-1090 ext. 3385; or Matt Brown (designated contact) at [MatthewNC@nyserda.ny.gov](mailto:MatthewNC@nyserda.ny.gov) or (518) 862-1090 ext. 3336. For contractual questions concerning this solicitation, contact Elsyda Ahmed (designated contact) at [ElsydaSolicitations@nyserda.ny.gov](mailto:ElsydaSolicitations@nyserda.ny.gov) or (518) 862-1090 ext. 3444.

No communication with NYSERDA staff intended to influence this procurement is permitted. Contacting anyone other than the designated personnel (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement may disqualify the proposer from consideration.

**\* All proposals must be received by 3 p.m. (ET) on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all submission requirements have been met. Please note the following: for electronic submissions, there are required questions that need to be answered in addition to uploading attachments. Be sure to allot at least 60 minutes to enter and submit proposals. The electronic proposal system closes promptly, and files in process or attempted edits or submission after 3 p.m. (ET) on the date above will not be accepted.

If changes are made to this solicitation before the due date, notification specific to this solicitation will be posted on NYSERDA's [Current Opportunities](#) section.

## **I. Introduction**

The purpose of the Competition is to stimulate the design, construction, and operation of very low or zero carbon emitting buildings that are capable of withstanding increased risks and impacts from future climate change. Burning fossil fuels such as natural gas, oil, and coal releases carbon dioxide into the atmosphere. Reductions in the amount of fossil fuels burned to support building operations can result in decreased carbon emissions. Buildings designed to use low-carbon fuels or electrification, renewable energy systems, higher density occupancy, or transit-oriented development can further result in reduced per capita carbon emissions. Buildings and their systems may be vulnerable to future climate hazards such as flooding, sea level rise, increased temperatures, and extreme storms. Excellent buildings will be designed in ways that make both the structures and their occupants resilient to future climate change, allowing emissions reductions goals to be achieved for the duration of a buildings' expected lifetime.

NYSERDA seeks proposals for multifamily buildings being designed to achieve very low energy consumption and per capita carbon emissions as compared to a code compliant building, as well as have resilience attributes that limit exposure to increased risks and impacts from future climate change. Proposers must demonstrate that the design and construction strategies are replicable and have the potential to achieve broad-based adoption by both developers and consumers. Proposers must also demonstrate how their projects provide superior financial benefits for owners, and attractive, healthy, safe, climate-resilient, and otherwise outstanding living environments for occupants. Proposers are encouraged to submit projects that enhance age-friendly characteristics. This Competition's goals include proactive design and planning, access to recreation, building complete streets, improving the existing built environment, and encouraging compact, multiple-use development; all of which enhance age-friendly community livability. NYSERDA recognizes that demographics are shifting toward older age-ranges, and that the economic and social contributions from older residents are vital. To incorporate the economic and civic strengths of the aging population, the needs and desires of aging New Yorkers must be included in the domains of outdoor spaces, transportation, housing, social activity, civics/employment, communication/information and health services. Proposers are encouraged to describe how their proposal addresses age-friendly inclusion in these domains.

This round of the Competition will accept proposals for projects that are, as of the date of the proposal's submission to NYSERDA, in an early or late design status as defined and detailed in Section II of this RFP. The funding provided through the Competition may be used in conjunction with other funding offered by NYSERDA and utilities service providers. However, proposers must review the rules of the other programs to determine if those funds are accessible in combination with funds offered by this Competition.

## **II. Eligibility**

NYSERDA, at its sole discretion, determines a proposal's eligibility for the Competition.

### **General Eligibility**

For a submission to be eligible, the project identified in the proposal must incorporate multifamily occupancy as the primary use. The project must be, or intend to be, located in one of the six investor-owned New York State electricity distribution companies and pay into the System Benefits Charge (SBC) at that site. Project eligibility is fuel-neutral; however, projects must demonstrate low-carbon attributes. The proposer must be the owner or developer and have the authority to select and direct all other members of the project team. The proposer must demonstrate their project team has the capabilities to perform and successfully complete the proposed project as a multidisciplinary and integrated project delivery team.

While not encouraged, a proposer may elect to submit more than one proposal to the Competition for different projects. Members of a proposer's team are welcome to participate in more than one proposal. Multiple, alternative proposals submitted for a single project will result in the disqualification of both proposals, as it is the responsibility of the proposer to determine the more appropriate set of solutions for their project. As part of their submission, the proposer must select and indicate who will serve as the design team lead in support of their project.

A project can encompass one multifamily building or a portfolio of similar or related multifamily buildings of any height located on the same site, or adjacent and associated sites. One- and two-family homes, or

townhomes as defined within the Definitions section of the 2015 International Building Code, are not eligible for inclusion as part of a proposal's fundable project. Eligible multifamily projects are as follows:

- a. New Construction: A new building, buildings, or an addition, where a licensed professional architect or engineer has prepared and certified the building plans.
- b. Gut Rehabilitation: Substantial renovation for one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:
  - Change of use and reconstruction of an existing building, buildings, or space within.
  - Construction work of a nature requiring that the building, buildings, or space(s) within to be out of service and unoccupied for a minimum of thirty days.
  - Reconstruction of a vacant structure, or structures, or space within.
  - The addition to or expansion of a building, in combination with any of the above.

Projects may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.

All proposers must submit the Attachment A-Data Collection Form, and include the modeled or predicted energy use, fuel types, project costs and design drawings, when available. Proposals must include wall sections of the building envelope and related design details, and detailed descriptions of the energy systems utilized, when available.

Proposers selected through this Competition must agree to:

1. Update the information initially provided in the Data Collection Form; and assist NYSERDA in promoting their project and to sharing information that will help the industry accelerate the design, construction, and operation of high-performance buildings. All of which may be shared publicly unless otherwise noted.
2. Provide NYSERDA with actual monthly energy use and generation by fuel type for all fuels and from all meters for sixty months after project completion, for the residential portion of the building as well as for the whole building. Directly metered tenant use may be aggregated by fuel type.
3. Populate the U.S. Environmental Protection Agency (EPA) Portfolio Manager or equivalent, for a minimum of sixty months post-occupancy and as directed by NYSERDA, submitting the benchmarking tool's output data to NYSERDA. Disclosure of the benchmarking data on websites, in publications, in presentations or other venues may occur, in whole or in part, in a form attributable to their project.
4. Provide or secure Data Release Authorization Forms from both building owners and a representative sample of tenants, as required for benchmarking of the whole building's energy use, generation, and related utility consumption, as well as to provide additional performance information obtained through monitoring and controls systems, utility metering or submetering systems, or Smart Buildings systems.
5. Provide updated information related to the project's as-built design, costs, and price, as per the Data Collection Form.
6. Allow their projects to be part of NYSERDA's promotional efforts and to cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to exhibitions, articles, books, electronic media including a Competition website, and lectures promoting the Buildings of Excellence Competition and its outcomes.

**Project Status** [The proposer must select one of the following statuses and meet the stated requirements]

1. **Early Design:** Projects in the schematic design or design development phase are considered to be in the early design status. The proposer may be eligible for an award of \$20 per gross square foot up to \$1,000,000. Proposers must commit to designing and constructing a project that will achieve a minimum modeled source (primary) energy savings<sup>1</sup> of 20% when compared with a project design that complies with the relevant Energy Conservation Construction Code of New York State (ECCC of NYS), excluding the impacts of any proposed renewable energy generation. Proposers must identify strategies to achieve low per capita carbon impacts including, but not limited to, cutting edge architectural and design approaches, the use of renewable energy solutions, advanced clean energy technologies integration, or other essential characteristics to ensure the Competition's goals are met. Proposals should also describe how these strategies address future climate conditions in their design and implementation. Proposers must demonstrate the replicability of the project by detailing its financial viability and how the building will provide an enhanced, climate-resilient living environment.
2. **Late Design:** If the project's design development phase is complete and the construction documents are in development, but the building permit has not yet been issued, the project is considered to be in the late design status. The proposer may be eligible for an award of \$15 per gross square foot up to \$750,000. Proposers must commit to completing the design and constructing a project that achieves a minimum modeled source (primary) energy savings<sup>1</sup> of 20% when compared with a project design that complies with the relevant ECCC of NYS), excluding the impacts of any proposed renewable energy generation. Proposers must identify strategies to achieve low per occupant carbon impacts to meet the Competition's goals including, but not limited to, cutting edge architectural and design approaches, the use of renewable energy solutions, advanced clean energy technologies integration, or other essential characteristics. Proposals should also describe how these low-carbon strategies address future climate conditions in their design and implementation. Proposers must demonstrate the replicability of the project by detailing its financial viability and how the resulting building will provide an enhanced, climate-resilient living environment.

### **Modeled Energy Performance**

The proposer must rely on one of the following Standards to establish that the minimum modeled source (primary) energy savings for the project's residential associated space<sup>1</sup> will be met:

- Appendix G of ASHRAE Standard 90.1. Projects permitted under ECCC of NYS (2014) should follow Appendix G of ASHRAE 90.1-2010 to determine the modeled energy performance<sup>1</sup>; and projects that were or will be permitted under ECCC of NYS (2016) should follow Appendix G of ASHRAE 90.1-2013 with Addenda, in accordance with ECCC of NYS (2016). Modeled energy performance must first be calculated without the inclusion of any renewable or distributed energy generation to confirm the energy efficiency performance threshold has been met, and then again calculated after renewable or distributed energy generation has been included in the energy model and submitted by the proposer for comparison with other proposals. Comprehensive energy performance will be compared against other proposers, using a 2.55 source-to-site conversion factor to compare the imported electricity to the source energy required to generate that electricity.
- The Passive House Standard as published by the Passive House Institute (PHI), or PHIUS+ for Multifamily Buildings as published by the Passive House Institute U.S. (PHIUS). Projects intending to meet PHIUS+ certification requirements must identify the building(s)' modeled source (primary) energy use<sup>1</sup> in terms of kWh/person/year; and projects intending to meet PHI certification requirements must identify the building(s)' modeled source (primary) energy use in terms of

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<sup>1</sup> For projects that include mixed use space, only the energy use associated with the project's residential square footage should be included when determining the modeled energy performance of the residential portion of the project. The modeled energy performance shall incorporate the square footage used for residential occupancy, inclusive of all residential-associated space such as hallways, stairwells, elevators, trash, utility and exercise rooms, entrance lobbies, as well as shared laundry facilities exclusively available to the building's residential occupants.

kBtu/total-floor-area/year. Proposers committing to achieving certification to either passive house standard are deemed as meeting the minimum modeled source energy savings<sup>1</sup> requirements. Modeled energy performance must be calculated both with and without use of renewable energy generation and submitted by the proposer for comparison with other proposals. Alternative energy modeling will not be expected of proposers committing to achieving certification to either passive house standard to support their predicted energy performance. Comprehensive energy performance will be compared against other proposers based on the [Comparison Evaluation of ASHRAE 90.1 Appendix G vs. Passive House published by NYSERDA](#).

- The average Energy Rating Index (ERI) for all residential dwelling units, calculated in accordance with the 2014 edition of Standard ANSI / RESNET / ICC 301, entitled “Standard for the Calculation and Labeling of the Energy-Efficiency of Low-Rise Residential Buildings Using an Energy Rating Index” or the relevant version of this standard as updated in accordance with the ANSI/RESNET protocols. The proposer should identify the Standard followed to produce the average ERI. To meet the minimum energy performance<sup>1</sup> threshold of 20% source energy savings, the average ERI must, at minimum, meet the U.S. Environmental Protection Agency (EPA) ENERGY STAR® Certified Homes Program v3.1 requirement and achieve an ERI of less than 60 without inclusion of renewable energy generation. The proposers should also submit the average ERI calculated with the inclusion of on-site renewable energy generation to allow for comparison with other proposals.

### III. Proposal Requirements and Format

The proposer must identify their project’s status as of the date of submission, as defined and detailed in Section II of this RFP. The proposer’s name, the RFP number, and page number should be recorded on every page of the proposal, including attachments. The proposer must submit the following:

#### 1. Executive Summary

The proposer must submit brief description (~400 words) summarizing how the proposer’s approach will stimulate interest in and a demand for the construction of advanced clean energy and climate-resilient buildings, identifying the intended strategies to reduce energy use and carbon emissions—both on a per gross square foot and per capita basis—as well as strategies that will increase the likelihood that both the structures and their occupants are resilient to future climate change. Proposers must demonstrate the replicability of the project by addressing the project’s financial viability and how the resulting building will provide an enhanced living environment. In addition, proposals should include an abbreviated description (~100 words) for use in the presentation and promotion of selected projects.

#### 2. Project Description

Proposers should provide a clear and concise description of the project, addressing each category detailed in the scoring tables. The quality and rigor of the proposal will impact its evaluation and scoring, in part as a reflection of the likelihood the proposer will be successful in reaching their stated goals. The description should address:

- a. Energy efficiency and building performance, including expected performance under future climate conditions.
- b. Low per capita carbon emissions reduction strategies including densification, electrification of HVAC, or other non-fossil fuel-based heating and cooling, renewable energy generation; advanced clean energy technologies. The description should address how these strategies are designed to be climate resilient for the life of the strategy/system; and how the building systems will effectively and efficiently perform under future climate conditions.
- c. Strategies to ensure the low-carbon building strategies, the building itself, and its occupants are resilient to future climate impacts; including strategies such as raising critical system components above flood levels; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (i.e., the building will maintain safe thermal conditions in the event of an extended

power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The specific climate risk should be identified (e.g., more-intense heat waves), and how the proposed strategy will increase resilience by addressing that risk should be described in detail. For any buildings in the 500-year flood zone or that are otherwise at risk of current or future flooding, flood-mitigation measures should be incorporated into the design; at a minimum, critical system components should be raised above the 500-year flood elevation unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the awarded project's contracting process, at NYSERDA's sole discretion.

For guidance on managing future flood risk, refer to the draft (or the forthcoming final) [State Flood Risk Management Guidance](#). For guidance on climate change and climate resilience, refer to [the ClimAID climate projections for New York State](#), the New York [Adapting Buildings for a Changing Climate](#) website, and the [NYC Climate Resiliency Design Guidelines](#).

- d. Design features to address occupant comfort and health and safety; durability, and sustainability. Additionally, features related to the project's embodied carbon and global warming potential such as the proposed building materials, construction methods or refrigerant gases intended to be used in mechanical systems shall be described and detailed in the Data Collection Form.
- e. Architectural and urban design quality.
- f. How energy efficiency solutions and other characteristics of the project are expected to impact total costs, strategies to reduce total costs, the trade-offs and avoidance of cost increases, and how the overall costs of the project compare with similar projects (e.g., low- to moderate-income, mixed-income, market-rate, or luxury homes) in the same basic locale.
- g. How costs associated with improvements can be recouped in terms of higher rents or sales prices, the drivers for those increased values, and whether energy savings and benefits will accrue to the project's owner, each apartment's owner, or tenants.
- h. The project's viability and replicability, as demonstrated by expected ease or efficiency of construction, economic viability for the market served, unique financing solutions, or other factors that would make the project a model for future projects.
- i. Why and how the high-performance features of the building provide both enhanced financial benefits to the owner/developer as well as attributes that lead to an improved or optimal living environment (e.g., thermal comfort, indoor air and environmental qualities, improved acoustics, climate resilience).
- j. The business model intended to achieve their goals and their approach for following an integrated project delivery process.
- k. To establish the project's viability, the known or expected sources of capital should be identified and described, including whether those sources have been secured or are anticipated. If access to the necessary capital has not yet been secured, the proposer must identify the underwriting being sought and explain why the project's proposed underwriting approach is likely to be successful. Any financial support that has been secured or is expected to be secured from regulatory or other funding agencies for low- to moderate-income (LMI) occupancies must be identified.
- l. How lower operating costs related to the improvements to the project's energy and ongoing operational performance will be leveraged as part of the underwriting; or if any unique utility metering arrangements are expected to contribute to the underwriting approach; and how the proposed approach can ensure the project's ultimate success and replicability.
- m. How the project, as constructed, will meet the intent of the design, including the intent to rely on third-party progress inspections and performance testing during the construction process.
- n. Whether the commissioning of energy using systems, including the envelope, will be executed and relied on to create as-built drawings and energy model(s) to reflect changes in design, including those made during construction.



### **3. Collaboration with NYSERDA, Transparency, and Promotion of Projects**

The proposer should describe how they intend to market and promote the project, including the sharing of information that could be useful to the industry. Additional and relevant information may include but should not be limited to information about the project design, the construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned. In accordance with the Proprietary provisions located in Section VIII General Provisions, the proposer should indicate which aspects of this additional information can be publicly shared by NYSERDA in its promotional activities and should stipulate if any portion or portions of the information should be reserved for NYSERDA's internal use and/or for anonymized analysis, and not publicly shared as project-specific information. The extent to which the proposer commits to sharing additional data, as well as the quality of the proposer's marketing plan intended to showcase the project's low-energy and low-carbon strategies, are considered during evaluation of the proposal.

Proposers are encouraged to identify any additional information not requested in the Attachment A-Data Collection Form that they intend to share with NYSERDA, including but not limited to the strategies that ultimately proved most effective, comparative costs or savings, how marketability was impacted, and the decision-making approach during the design process to ensure the intended and successful outcome. NYSERDA may elect to disclose unprotected information, in whole or in part, on websites, in publications, in presentations, or other venues. In addition, applicants should outline their proposed methods or mechanisms for sharing this information through their marketing plan.

Proposers should submit a marketing plan that will be implemented by the proposer, if selected, and explain how the plan will generate public interest in and demand for advanced clean energy and climate-resilient buildings beyond and in addition to NYSERDA's promotional activities. Selected proposers are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website, magazine articles, books, blogs, or videos. NYSERDA credits the project name, developer, and design team lead in all promotional material. Awardees are expected to participate in presentations. NYSERDA reserves the right to brand and market the winning projects as NYS Buildings of Excellence projects or a similar reference.

### **4. Supplementary Documents**

- Attachment A-Data Collection Form, with all data required of the proposer populated in submitted form.
- Energy modeling files and report(s) summarizing energy performance-related design strategies should be submitted for all projects, if available.
- Project rendering(s), at least one and up to three.
- Architectural plans, including at least one section and elevation, with the completion of each architectural plan or detail appropriate in relation to the Project Status.
- Design details that address energy efficient design, based on Project Status.
- Site plan (encouraged).
- Design details that explain all proposed climate-resilience strategies.
- Diagram of building showing or explaining low-energy/low-carbon features, including how they are climate-resilient for their lifespan.
- Diagram(s) of quality of building characteristics and design features are encouraged.
- Scorecard(s) or checklist(s) for proposed, submitted, or achieved certifications.

#### **Notes:**

- 1) Submitted materials may be used for the presentation of winning projects in various forums.
- 2) Photographs and other images must be high-resolution image files at 24 inches wide and 300 dpi.
- 3) Updates to the initially submitted materials may be requested for projects selected by the Competition.

## V. Proposal Evaluation

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

The General Eligibility requirements to be considered prior to review by a scoring committee include the following:

- The project is a current or future distribution customer of a participating electric utility company that pays into the System Benefits Charge.
- The project identified in the proposal reflects multifamily occupancy as the primary use. The project may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.
- The project must demonstrate it aligns with a Project Status listed in Section II of this RFP.
- The project meets the minimum source energy savings<sup>1</sup> requirements as detailed in Section II of this RFP.

Following the initial review, proposals to the Competition will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the Scoring Criteria table. Evaluation and scoring of each proposal will ultimately be determined in comparison with and relative to the other proposals submitted to the Competition.

### SCORING CRITERIA

<b>Category</b>	<b>Category Description</b>	<b>Points</b>
Building(s) Energy Efficiency and Performance	Predicted building energy efficiency and performance <sup>1</sup> , with points only awarded for performance improvement above the minimum threshold. Modeled energy performance must first be calculated without the inclusion of any renewable or distributed energy generation to confirm the energy efficiency performance, and then again calculated after renewable or distributed energy generation has been included in the energy model. Both energy efficiency and comprehensive energy performance will be compared against other proposers.	15
Low Carbon and Renewable Energy	Strategies to achieve low-carbon emissions per occupant, including but not limited to densification, electrification, low-carbon fuels, on-site electric vehicle charging, transit-oriented development, and renewable energy systems, either on-site or through a durable contractual relationship between the project's owner(s) and the generation systems' owner(s).	20
Advanced Clean Energy Technologies	Proposed use of advanced clean energy technologies, including but not limited to high-performance building envelopes, advanced space conditioning and domestic hot water systems, energy recovery ventilation systems, smart building technologies or advanced controls systems, tenant metering or submetering, demand response, energy storage systems, or other innovative solutions.	15
Replicability, Transparency, and Marketing	Replicability is considered based on ease of construction, construction cost savings, lower operation and maintenance costs, economic viability for the market served, including financing structure, incorporating savings into the cost structure, integrated project delivery, or other factors that would make the project an economically viable model for future projects. Replicability must also demonstrate how the resulting building will provide an enhanced living environment. Transparency is also a consideration as demonstrated by a plan to share with NYSERDA and/or to share with the public any information beyond the minimum required by NYSERDA, including but not limited to design and construction details, granular data on energy use, financial information, and lessons learned. Marketing considerations are demonstrated by a plan to validate performance above the prescribed threshold and an advertising plan to showcase and promote the project's low-energy and low-carbon emissions strategies to the market served and/or to a broader audience.	20
Climate Change Resilience and Passive Survivability	Strategies that increase the resilience of the building and its occupants to future climate change will be considered under this category. Examples include, but are not limited to, raising critical system components above flood level; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (i.e., the building will maintain safe thermal conditions in the event of an extended power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The benefits of on-site low-carbon, renewable, and advanced clean energy strategies designed to be climate resilient for the lifespan of the strategy or system will be additionally considered under this category. For buildings at risk of current or future flooding, flood-mitigation measures require raising critical system components above the 500-year flood elevation to be considered under this category.	15
Quality of Building Characteristics and Design	Sustainability, durability; occupant comfort, health, and safety; architectural and urban design quality.	15
Bonus Category	Available to projects located in a Clean Energy Community; or in a NYS DEC potential environmental justice area; or in a jurisdiction that has committed to adopting NYStretch Energy Code 2019; or for projects committed to having a majority of low- to moderate-income (LMI) households based on household income of no more than 80% of the State or Area Median Income (whichever is greater); or for projects that meet the gut rehabilitation criteria as detailed in the Eligibility Section II.b. of this RFP.	5 points for any category, up to 15 points maximum.

## **Program Policy Factors**

NYSERDA reserves the right to accept or reject proposals based on the following program policy factors:

- Diversity of building typology, geography, proposed solutions, or other critical elements.
- Geographic, demographic, economic, or population distribution or diversity.
- Contractual commitment to low- to moderate-income (LMI) occupancy, post-completion.

## **VI. Selected Projects, Subsequent Submissions, and Required Updates**

Selected proposers are required to execute an agreement (see Attachment B – Sample Agreement) with NYSERDA and deliver completed projects that meet the requirements detailed in this solicitation. The project deliverables and associated payments will be as detailed in this solicitation and the agreement executed between the selected proposer and NYSERDA.

At any point during the design or construction process, NYSERDA must be notified and provided associated details if significant deviation from the original proposal is expected, including whether the project is expected to fall short of the building performance and related goals as detailed in the original proposal, including the proposer's commitment to achieving the source energy savings in their original proposal to NYSERDA. Projects selected through this Competition must ensure that the cumulative changes during design or construction won't increase the predicted source energy use or carbon emissions in comparison to the project as originally submitted. Continuation of any project that deviates from the original proposal will be subject to NYSERDA's discretion. NYSERDA reserves the right to terminate any project should it fall below the originally committed source energy savings, regardless of whether the revised energy savings are above the 20% source energy savings minimum.

Additionally, the following submissions and updates are required:

Immediately following selection and award:

- One-page summary of major changes from initial proposal
- Schedule of construction

At receipt of building permit or at completion of design of modifications for projects already in construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form
- One-page summary of major changes from initial proposal
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal
- Copy of valid building permit, including all aspects of design
- Updated schedule of construction

At 50% completion of construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form
- One-page summary of major changes from initial proposal
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal
- Updated schedule of construction

Following completion of construction:

- Copy of Certificate of Occupancy (C of O) or Temporary C of O for newly constructed projects, or documentation that confirms completion of construction for projects proposing to the post-completion Project Status
- Any updates to original proposal descriptions and related documents, including Attachment A–Data Collection Form, to reflect any changes not yet documented to NYSERDA
- As-built drawings and as-built energy models
- Construction photos, suitable for presentation (minimum of 5)
- Photographs of final project, suitable for presentation (minimum of 5)

- One- to two-page discussion of any reduction in projected performance from initial submission,
- One-page summary of lessons learned

After year one and year two of building occupancy:

- Document the energy data and related information:
  - Energy use following one year and again following two years of building occupancy, reflecting all energy used or produced on site, with energy use provided upon request for up to sixty months following building occupancy
  - Whole building benchmarking through use of the EPA Portfolio Manager
  - Additional data or updates to the original proposal to the Competition, including Attachment A–Data Collection Form, to reflect the as-built condition of the project
  - Comparison between actual and predicted energy data
  - One-page narrative discussing why project did or did not achieve predicted performance
- One-page summary of lessons learned

## VII. Schedule of Payments

	Milestone	% of Total Award
1	At Approval of Building Permit	15% to developer
		10% to design team lead
2	At 50% Completion of Construction	25% to developer
3	At Completion of Construction	35% to developer
		5% to design team lead
4	One and Two Years after Occupancy	10% to developer after second submission, with two years of occupancy and energy use data.

NYSERDA anticipates executing two separate agreements associated with each selected proposal, one each with the developer and the design team lead. NYSERDA reserves the right to negotiate the amount or schedule of payments for a selected project. At its sole discretion, NYSERDA may reduce or withhold payments for a project that falls short of the proposed level of performance, or that has not met this solicitation’s minimum submission requirements.

## VIII. NYSERDA Responsibilities

NYSERDA provides funding and support to projects in accordance with the Competition, as detailed in this solicitation.

## IX. GENERAL CONDITIONS

**Proprietary Information:** Careful consideration should be given before confidential information is submitted to NYSERDA as part of the proposal. Review should include whether the information is critical for evaluation and whether general, non-confidential information, would suffice for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure of records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which, if disclosed, would cause substantial injury to the competitive position of the subject

enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to excluding it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in [21 NYCRR Part 501](#). However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

**State Finance Law sections 139-j and 139-k:** NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found on the [Office of General Services' website](#). Proposers are required to answer questions during proposal submission, make required certification under the State Finance Law, and disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a:** NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor with a monetary value in excess of \$100,000, prior to entering an agreement with NYSERDA, to certify to the Department of Taxation and Finance (DTF) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the DTF to collect New York State and local sales and compensating use taxes. The DTF has created [ST-220-TD](#) to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA that such certification with the DTF has been filed. The DTF has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor and filed with NYSERDA, prior to contracting. [Guidance for contractors](#) can found on the [DTF's website](#).

**Contract Award:** NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion, or following negotiations pertaining to the statement of work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA uses the sample agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Attachment B–Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions generally results in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 12 weeks from the proposal due date whether the proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements:** If awardees from this solicitation post anything on the web, or if the awardee produces a final report that NYSERDA posts to the web, the following language must be included. NYSERDA

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

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

**X. Attachments:**

Attachment A–Data Collection Form Rd2  
Attachment B–Sample Agreement Rd2



**NY Green Bank**  
A Division of NYSERDA

# NY Green Bank

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Credit Enhancement Product for Tax Equity  
Providers in LMI-Inclusive CDG Projects

Request for Information

Responses Due:

April 20, 2020 by 3:00 p.m. EST

RFI No. 7  
Version 1.0 – March 2020



## 1. Opportunity & Overview

As part of the Green New Deal, Governor Andrew M. Cuomo announced a statutory mandate that New York State's ("NYS" or "State") power be 100 percent carbon-free by 2040.<sup>1</sup> Meeting this aggressive and nation-leading goal will involve, among other initiatives, doubling distributed solar deployment in the State to 6,000 megawatts by 2025 (up from 3,000 megawatts by 2023). To support these new goals, the New York State Energy Research and Development Authority ("NYSERDA") announced the redesign of NY-Sun's Megawatt Block Program.<sup>2</sup> NY-Sun estimates that it will deploy at least three gigawatts of capacity by 2023 with the redesign presenting solar companies and financiers with a large development and investment opportunity in NYS.

As of December 31, 2019, NYGB has committed over \$200 million to Community Distributed Generation ("CDG") solar projects, including those with Low and Moderate Income-inclusive ("LMI") characteristics. In addition, to expand its LMI-inclusive CDG financing activity, and in response to the Public Service Commission ("PSC") *Order Adopting Low-Income Community Distributed Generation ("CDG") Initiatives*,<sup>3</sup> NY Green Bank ("NYGB") has used Requests for Information and convenings to engage with and seek feedback from market participants on how it can assist in accelerating the deployment of community solar projects in the State. On April 12, 2019, NYGB and NYSEERDA hosted a LMI Stakeholder meeting to follow up on NYGB's RFI 5: *Low and Moderate-Income Participation in CDG Projects in New York State* and discuss how NYGB can be helpful in increasing the LMI community's access to clean energy and specifically increase participation in CDG projects. In this meeting and through additional feedback from stakeholders, NYGB and NYSEERDA determined that credit enhancement products for tax equity investors in LMI-inclusive CDG projects could be impactful, particularly given that NYGB cannot directly provide tax equity financing. The products would aim to address barriers outlined by market participants, which include, but are not limited to:

- (a) Subscriber credit quality underwriting approaches (such as pulling FICO scores);
- (b) Subscriber lock-in or termination payment requirements;
- (c) Challenges in forecasting the value stack;
- (d) Uncertainty around (and costs of) aggregating and maintaining sufficient subscriber volume within a limited geographic area;
- (e) Small project sizes and challenges aggregating sufficient numbers of smaller projects to attract investor interest in undertaking diligence;
- (f) Limited developer track record given relative novelty of CDG;
- (g) Uncertainty regarding the fair market value/tax basis of a project for U.S. federal income tax purposes (not otherwise mitigated by tax insurance or indemnity);
- (h) Uncertainty regarding equipment costs and delivery timelines;
- (i) Reduced portion of project costs that can be financed with tax equity due to tax law changes;
- (j) Regulatory regimes governing potential tax equity providers;
- (k) Length of term for sale-leasebacks; and
- (l) Making project economics work given margin requirement and any/all of the above-listed items.

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<sup>1</sup> See: [www.governor.ny.gov/news/governor-cuomo-announces-green-new-deal-included-2019-executive-budget](http://www.governor.ny.gov/news/governor-cuomo-announces-green-new-deal-included-2019-executive-budget).

<sup>2</sup> See: [www.nyserda.ny.gov/About/Newsroom/2018-Announcements/2018-06-18-NYSERDA-Announces-Redesign-of-NY-Suns-Megawatt-Block-Program](http://www.nyserda.ny.gov/About/Newsroom/2018-Announcements/2018-06-18-NYSERDA-Announces-Redesign-of-NY-Suns-Megawatt-Block-Program).

<sup>3</sup> See: <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={B154D4F0-C6EC-49BE-8B51-A4E87DB2E00B}>.

To address this feedback and assess broader market interest in a NYGB credit enhancement product for tax equity investors in CDG products, NYGB has issued this RFI 7: *Credit Enhancement Product for Tax Equity Providers in LMI-Inclusive CDG Projects*.

## 2. RFI Objective

The objective of this RFI is to identify specific ways in which NYGB can be helpful in increasing the availability of tax equity financing for CDG projects in NYS that offer LMI-inclusive subscription terms (short term contracts, indexed contracts, non-FICO approval customer credit approval approaches, etc.) by addressing existing market barriers and financing gaps that could impede project development. Respondents will be invited to participate in conversations with NYGB in the form of one-on-one meetings and/or broader stakeholder convenings.

The focus of these conversations will be to: (a) inform NYGB of barriers preventing tax equity investors from committing capital to LMI-inclusive business models and (b) understand ways in which NYGB may structure credit enhancement that would accelerate tax equity investment in LMI-inclusive approaches to CDG. NYGB seeks input from tax equity investors, developers utilizing LMI-inclusive approaches to CDG that are in conversations with tax equity, and other market participants with a relevant perspective.

NYGB will use the information received in response to this RFI to develop standardized tax equity credit enhancement structures for CDG projects or portfolios of projects. Additionally, responses will broadly help inform NYGB's financing strategy for CDG projects outlined in [RFP 10: Financing for CDG Solar Projects Including Projects Paired with Energy Storage](#). All input will help NYGB facilitate the construction of LMI-inclusive CDG projects in NYS, the development of a well-functioning tax equity finance market for such projects and increased energy choices and lower energy costs for all New Yorkers.

Stakeholders from the development community, financing community and contractors/service providers who expect to invest in or deploy CDG projects in NYS are encouraged to respond.

## 3. Content of Responses

To respond to this RFI, please complete the Attachment A - [RFI 7 Questionnaire](#).

Responses are due to NYGB by **3:00 p.m. EST** on April 20, 2020 and should be submitted by email to [solicitations@greenbank.ny.gov](mailto:solicitations@greenbank.ny.gov). Please include "RFI No. 7" in the subject line.

Our expectation is that NYGB will engage in one-on-one conversations and broader convenings with industry participants to further the LMI-inclusive financing of this integral asset class in New York State. Respondents should contact [info@greenbank.ny.gov](mailto:info@greenbank.ny.gov) with any questions about the RFI.

## 4. NYGB Background

NYGB is a division of NYSERDA, acting as a \$1.0 billion State-sponsored specialized financial entity focused on mobilizing greater clean energy investment and projects within NYS. NYGB is structured and operated in a manner comparable to private investment funds and financing entities, including with respect to being self-sustaining, covering its own costs of operation and entering transactions on market terms. NYGB is a key component of New York's Clean Energy Fund ("CEF").<sup>4</sup> The CEF is a \$5.3 billion commitment, and part of Governor Cuomo's Reforming the Energy Vision ("REV") strategy to advance clean energy growth and innovation, and drive economic development across the State, while reducing ratepayer collections. For more information on the CEF and REV strategy, see [www.nyserdera.ny.gov/About/Clean-Energy-Fund](http://www.nyserdera.ny.gov/About/Clean-Energy-Fund) and [rev.ny.gov/](http://rev.ny.gov/).

<sup>4</sup> Created pursuant to the "Order Authorizing the Clean Energy Fund Framework", issued and effective January 21, 2016, Cases 14-M-0094 et al. (the "CEF Order").

The key elements of NYGB's mission are collaborating with private sector participants, implementing structures that overcome market barriers and address financing gaps in current clean energy financing markets and transforming those markets by enabling greater scale, new and expanded asset classes and increased liquidity. Consistent with this mission and its investment criteria, NYGB's key goals are to:

- (a) Attract private sector capital into clean energy markets in NYS;
- (b) Be self-sustaining; and
- (c) Reduce greenhouse gas ("GHG") emissions.

NYGB's activities in pursuit of its goals are specifically aimed at motivating faster and more extensive implementation of clean energy investments within NYS, fostering greater energy choices, reducing environmental impacts, and delivering more clean energy benefits per public dollar spent for all New Yorkers.

NYGB can be flexible in terms of transaction roles. Examples of the types of facilities NYGB provides include: project equity, warehousing/aggregation facilities (with an expectation of being taken out by private sector third parties within prescribed time periods and upon certain events – e.g., the aggregation of an agreed upon amount of assets fitting certain credit and other parameters), construction and post-construction finance and a variety of credit enhancement products (e.g., guarantees of third-party capital, letters of credit, etc.).

NYGB operates as a self-sustaining entity, pricing investments to cover its operating expenses and portfolio default risk and preserve its capital base. NYGB intends to serve as both a prudent custodian of ratepayer and other investor funds and an agent for greater private investment in the clean energy and sustainable infrastructure sector in NYS. Pricing will reflect the underlying transaction credit quality, risk, position in the capital structure and the level of standardization and scale NYGB seeks to facilitate with the goal of creating investments in which private sector lenders will ultimately be willing to participate at the agreed pricing levels. NYGB investment terms will be determined by credit risk and exposure assumed by NYGB and other investment participants. For NYGB products, upfront and ongoing fees generally apply.

More information about NYGB can be found at [greenbank.ny.gov/](http://greenbank.ny.gov/).

## 5. General Conditions

**Proprietary Information** – Among NYGB's goals is the promotion of standardization of material contract terms and structures and the collection of project performance data across NYGB transactions. NYGB is keenly aware that commercial markets and their incumbents' value non-disclosure extremely highly to protect confidential transaction terms and other competitive information and NYGB remains highly sensitized to usual and customary confidentiality practices. Nevertheless, as a division of NYSERDA, certain State laws specifically apply to NYGB and it is recommended that careful consideration be given before confidential information is submitted to NYGB.

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

Section 89(5) and the procedures set out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.

**Limitation** – This RFI does not commit NYGB to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a response or to procure or contract for services or supplies. NYGB reserves the right to cancel in part or in its entirety this RFI when it is in NYGB's best interest.

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

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

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

**Attachments:**

Attachment A – RFI 7 Questionnaire



**NY Green Bank**  
A Division of NYSERDA

# NY Green Bank

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Financing for Energy Storage Projects

Request for Proposals

(Ongoing Solicitation)

RFP No. 13

Version 1.0 – November 2019

# 1. Introduction

## 1.1 Opportunity & Overview

In June 2018, NY Green Bank (“**NYGB**”) released Request for Information (“**RFI**”) 4: Financing Arrangements for Energy Storage projects in New York State in conjunction with the release of the New York State (“**NYS**” or the “**State**”) Energy Storage Roadmap.<sup>1</sup>

Although market participants are always welcome to propose transactions through NYGB’s open solicitation, Request for Proposals (“**RFP**”) 1: Clean Energy Financing Arrangements, NYGB developed this RFP 13: Financing for Energy Storage Projects, to invite market participants to propose energy storage projects (a “**Project**” or “**Projects**”). NYGB invites energy storage developers and other storage market participants targeting NYS energy storage projects (“**Proposers**”), to propose transactions to NYGB that contemplate the financing of the purchase and ownership of energy storage projects.

Through this RFP, NYGB seeks to:

- (a) Accelerate the deployment of energy storage projects; and
- (b) Provide a financing framework that may be utilized in the future by equity investors and private sector lenders.

A series of actions have been taken to accelerate the energy storage sector in New York State. On June 21, 2018, Governor Andrew M. Cuomo released the State’s Energy Storage Roadmap, which identified recommendations to enable New York to meet its then target of 1,500 megawatts of energy storage deployed by 2025 and reap the benefits from this valuable solution. NYGB supported Governor Cuomo’s energy storage target by committing at least \$200.0 million to finance storage-related investments and to drive down costs of the strategic deployment of energy storage where the grid needs it most.<sup>2</sup> In December 2018, the Public Service Commission (the “**Commission**”) issued its Order Establishing Energy Storage Goal and Deployment Policy, which increased targets and approved the use of the incentive funds. In January 2019, Governor Cuomo announced a secondary target of 3,000 megawatts by 2030, the largest in the country, which will deliver more than \$3.0 billion in gross benefits to New Yorkers and will avoid two million metric tons of carbon dioxide emissions. In July 2019, Governor Andrew M. Cuomo signed the New York State Climate Leadership and Community Protection Act (CLCPA). This piece of legislation puts the State on a path to reach an entirely carbon-neutral economy by 2050.<sup>3</sup>

In 2019, the New York State Energy Research and Development Authority (“**NYSERDA**”) announced the release of its Market Acceleration Bridge Incentive Program totaling \$405 million, which will help incentivize approximately two-thirds of the State’s 1,500-megawatt target of energy storage by 2025 and support a self-sustaining market for the State.<sup>4</sup> Funding is currently available in two categories statewide, with another \$51 million of additional funding unallocated:

- a) \$150.0 million for bulk energy storage projects<sup>5</sup> systems larger than 5.0 MW that primarily provide wholesale market energy or distribution services; and
- b) \$149.0 million for retail energy storage projects<sup>6</sup>: customer-sited or distribution sited systems below 5.0 MW and installed alone or paired with onsite generation such as solar.

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<sup>1</sup> See [www.ethree.com/wp-content/uploads/2018/06/NYS-Energy-Storage-Roadmap-6.21.2018.pdf](http://www.ethree.com/wp-content/uploads/2018/06/NYS-Energy-Storage-Roadmap-6.21.2018.pdf).

<sup>2</sup> See [www.governor.ny.gov/news/governor-cuomo-announces-new-york-energy-storage-roadmap-achieve-nation-leading-target-1500](http://www.governor.ny.gov/news/governor-cuomo-announces-new-york-energy-storage-roadmap-achieve-nation-leading-target-1500).

<sup>3</sup> See [www.nyasassembly.gov/leg/?default\\_fld=&leg\\_video=&bn=A08429&term=2019&Summary=Y&Memo=Y&Text=Y](http://www.nyasassembly.gov/leg/?default_fld=&leg_video=&bn=A08429&term=2019&Summary=Y&Memo=Y&Text=Y).

<sup>4</sup> For more information on how NYSERDA is supporting Energy Storage projects visit: [www.nyserda.ny.gov/All-Programs/Programs/Energy-Storage/](http://www.nyserda.ny.gov/All-Programs/Programs/Energy-Storage/).

<sup>5</sup> See [www.nyserda.ny.gov/All-Programs/Programs/Energy-Storage/Developers-Contractors-and-Vendors/Bulk-Storage-Incentives](http://www.nyserda.ny.gov/All-Programs/Programs/Energy-Storage/Developers-Contractors-and-Vendors/Bulk-Storage-Incentives).

<sup>6</sup> See [www.nyserda.ny.gov/All-Programs/Programs/Energy-Storage/Developers-Contractors-and-Vendors/Retail-Incentive-Offer](http://www.nyserda.ny.gov/All-Programs/Programs/Energy-Storage/Developers-Contractors-and-Vendors/Retail-Incentive-Offer).

- c) An additional \$55.0 million is allocated to support storage incentives on Long Island.

Electronic submission of responses to this RFP (each, a “**Proposal**”) is required. [Instructions to Submit Proposals](#) can be found on the “**RFP Resources**” page on our website. This RFP will remain open, and Proposals will be evaluated on a rolling basis, as received. The purpose of this ongoing RFP process is to ensure that all potential NYGB clients and counterparties have an opportunity to propose transactions and financing arrangements, as market needs develop and change over time. Each Proposal will be reviewed in accordance with the objective evaluation criteria described in [Section 5 \(Proposal Evaluation\)](#).

This competitive selection process will be applied consistently to all complete RFP submissions. As an ongoing solicitation, Proposers may resubmit Proposals if circumstances change or if the initial Proposal does not address this RFP in a complete manner. Any commonly used formats (e.g., Microsoft Word, PowerPoint and Excel, and Adobe PDF) in commercial submissions are welcome. Proposers can expect the initial response following NYGB’s receipt of a Proposal generally within two weeks from the date of such receipt.

Direct communication and engagement between NYGB and potential clients and counterparties is permitted prior to Proposal submission and after NYGB’s evaluation of a Proposal. If you have questions or seek further engagement, please email us at [solicitations@greenbank.ny.gov](mailto:solicitations@greenbank.ny.gov) (including “RFP No. 13” in the subject line). If you have questions regarding the Securities and Exchange Commission Municipal Advisor Rules, please see [Section 6.3 \(General Conditions – Municipal Advisor Rules\)](#).

## 1.2 Background

NYGB is a division of NYSERDA, acting as a \$1.0 billion State-sponsored specialized financial entity focused on mobilizing greater clean energy investment and projects within NYS. NYGB is structured and operated in a manner comparable to private investment funds and financing entities, including with respect to entering into transactions on market terms, being self-sustaining and covering its own costs of operation. NYGB is a key component of New York’s Clean Energy Fund (“**CEF**”). The CEF is a \$5.3 billion commitment and part of Governor Cuomo’s Reforming the Energy Vision (“**REV**”) strategy to advance clean energy growth and innovation and drive economic development across the State, while reducing ratepayer collections. For more information on the CEF and REV strategy, see [nyserdanyny.gov/About/Clean-Energy-Fund](http://nyserdanyny.gov/About/Clean-Energy-Fund) and [rev.ny.gov/](http://rev.ny.gov/).

The key elements of NYGB’s mission are collaborating with private sector participants, implementing structures that overcome market barriers and addressing financing gaps in current clean energy financing markets and transforming those markets by enabling greater scale, new and expanded asset classes and increased liquidity. Consistent with this mission and its investment criteria, NYGB’s key goals are to:

- (a) Attract private sector capital into clean energy markets in NYS;
- (b) Be self-sustaining; and
- (c) Reduce greenhouse gas (“**GHG**”) emissions.

NYGB’s activities in pursuit of its goals are specifically aimed at motivating faster and more extensive implementation of clean energy investments within NYS, fostering greater energy choices, reducing environmental impacts and delivering more clean energy benefits per public dollar spent for all New Yorkers.

More information about NYGB can be found at [greenbank.ny.gov](http://greenbank.ny.gov).



## 2. NYGB Approach to Financing Structure & Pricing

NYGB operates as a self-sustaining entity, pricing investments to cover its operating expenses and portfolio default risk and preserve its capital base. NYGB intends to serve as both a prudent custodian of ratepayer and other investor funds and an agent for greater private investment in the NYS clean energy and sustainable infrastructure sectors. Pricing will reflect the underlying transaction credit quality, risk, position in the capital structure and level of standardization and scale NYGB seeks to facilitate, with the goal of creating investments in which private sector lenders will ultimately be willing to participate at the agreed pricing levels. NYGB investment terms will be determined by credit risk and exposure assumed by NYGB and other investment participants. For NYGB products, upfront and ongoing fees generally apply.

## 3. Eligibility Requirements

Proposers are welcome to submit more than one Project as part of a portfolio of Projects (“**Portfolio**”). All Projects within any proposed Portfolio must be identified. NYGB must be able to determine eligibility based on evaluation of the following criteria for at least one Project in the portfolio. Subsequent Projects within the Portfolio will be evaluated on the same basis as described in this RFP. To ensure all eligible Projects are reviewed under the same criteria, all Projects that meet the eligibility requirements below should submit under this RFP and not [RFP 1: Clean Energy Financing Arrangements](#).

Eligible Projects include:

- (a) Standalone energy storage or storage paired with on-site generation, such as solar PV, behind a New York customer’s electric meter (“**BTM**”);
- (b) Standalone energy storage systems that are physically located in NYS and interconnected to New York’s bulk transmission system or an Investor Owned Utility’s (“**IOU**”) transmission or distribution system;
- (c) Energy storage paired with an eligible generation source, such as solar PV, or installed as a standalone energy storage system connected directly into the transmission or distribution system in NYS; and
- (d) Projects that have received an award under NYSERDA’s Market Acceleration Bridge Incentive Program.

## 4. Proposal Contents

The Proposal Contents should be as complete as possible, however, NYGB understands that many of the items listed below may still be under consideration. The Proposer should include as much relevant detail as possible to allow NYGB to get a full understanding of the Proposal. Proposal should include the following:

- (a) Description of the Project, including its features, structure and all associated risks and mitigants;
- (b) Clear demonstration of the development of each Project and the readiness for financing;
- (c) Clear description of the status of each aspect of the Project as part of the description of each component;
- (d) Clear articulation of Project development items that need to be completed before financing can occur. Identification of any expected issues that may prevent or materially delay the identified steps from being completed; and

- (e) Presentation of a Project schedule that identifies major development milestones (separated out for individual Projects where a Portfolio is being proposed).

#### 4.1 Summary

The Proposer should provide a concise summary of all proposed Projects/the Portfolio that:

- (a) Identifies the Proposer and provides contact information;
- (b) Introduces salient features of the Project(s) including the address(es), capital costs, project size(s) (power and energy), storage medium and revenue streams; and
- (c) Describes the key components of the requested NYGB Loan (e.g., commitment amount, term, and method of amortization).

#### 4.2 Transaction Credit, Financial, Technical & Risk/Return Considerations

##### 4.2.1 Financing/Investment Structure & Proposed Terms

The Proposer should provide a description of the financing that it is seeking from NYGB under this RFP. The information should be provided on a Project basis. The topics addressed should at least include, to the extent relevant:

- (a) Loan amount for each Project and aggregate commitment amount for any Portfolio;
- (b) Debt-to-equity ratio(s);
- (c) Term;
- (d) Amortization schedule including discussion of any requested sculpting or refinancing requirements;
- (e) Minimum and average DSCRs over the term portion of the NYGB Loan; and
- (f) Debt Service, O&M, and major equipment replacement reserves.

##### 4.2.2 Equity, Tax Equity & Other Financial Support

The Proposal should address, at a minimum, the following topics and the proposed capitalization amounts, equity participants and equity amounts by source:

- (a) Equity and tax equity source(s), as applicable, amount(s) and the status of the equity and tax equity raise with an indication of expected timing to complete key milestones (all as applicable);
- (b) The dollar amount(s) and corresponding percentage(s) of Proposer equity to be invested in the Portfolio, including the amount of Proposer equity during construction and the amount remaining during the balance of the financing term post-COD; and
- (c) All Market Acceleration Bridge Incentive Program incentives that will be applied to the Portfolio including any incentives received during construction and operation, including corresponding incentive amounts and timing of expected receipt thereof.

#### 4.3 Financial Model & Contractual Arrangements

#### 4.3.1 Pro Forma Model

NYGB will review the single Project model and the portfolio model (which should include a model for each Project in the Portfolio) prepared by the Proposer or a third party. The model should include sources and uses of funds, key assumptions, and financial projections outlining a duration at least equal to the requested term of NYGB's participation.

#### 4.3.2 Revenue Contracts

Provide a detailed description of the Revenue Contracts. Include a description with sufficient detail for NYGB to evaluate the revenue arrangements. Also, include a description of the counterparties, status of the contractual negotiations, the steps necessary to complete and the schedule for doing so. Examples include long term power purchase agreements with a NYS utility or energy savings agreements with a commercial customer. In addition to the Revenue Contracts, quantify any incentive being received.

#### 4.3.3 Uncontracted Revenue

Provide a detailed description of uncontracted revenue streams, including the storage services that the Project(s) will provide, the counterparties, and proposed prices. Please provide analytical support for the proposed prices both in the short and long terms. Examples include Capacity, Energy, or Ancillary service revenue earned by participating in NYISO Wholesale Markets.

#### 4.3.4 Billing & Collection Servicing Arrangements

Provide information on the party that will be providing billing and collections servicing arrangements for the Project(s), including their qualifications for, and experience in, this role. These costs should be clearly reflected, along with other operating expenses, in requested financial models;

#### 4.3.5 Project Construction Arrangements

Provide the following information:

- (a) A description of the contractual arrangements for the procurement of all major equipment and the status of the contracts;
- (b) Identification of the installation, EPC and/or BOP contractors, including their qualifications to perform their respective roles on the Project(s);
- (c) A description of the contractual arrangements for the installation, EPC and/or BOP activities including the status of the contracts; and
- (d) A projected construction budget showing sources and uses, a draw schedule for both debt and equity and a detailed construction budget with all expenditures prior to Project completion (including usual and customary contingencies).

### 4.4 Technical Considerations

#### 4.4.1 Technology

Provide a description of the technology utilized by each Project including:

- (a) Storage equipment components, configuration, and suppliers for, at a minimum, the ancillary equipment, pumps, thermal management and power electronics;

- (b) A description of warranties and performance guarantees (including as to provider, amounts, term, caps and other key terms), if any;
- (c) If paired with solar, equipment components, configuration, and suppliers for, at a minimum, the panels, inverters and racking and confirmation that the panels are Tier 1; and
- (d) Proof that the Project meets applicable minimum product safety test standards, such as UL 9540.

#### 4.4.2 Interconnection

- (a) The Proposer must provide confirmation that Coordinated Electric System Interconnection Review(s) (“**CESIR**”) have been completed by the respective utilities, or a NYISO System Reliability Impact Study (SRIS) if interconnecting into the bulk electric system. NYGB will not evaluate Projects yet to complete Step 6 of the NYS Standardized Interconnection Requirements and Application Process or a NYISO SRIS.<sup>7</sup>
- (b) Detail any necessary interconnection arrangements including equipment upgrades, if any, and their status; and
- (c) Provide projected costs and timeline for completion.

#### 4.4.3 Site Control

Please provide a description of how the Proposer will control each Project site for the life of the Project. Include in this description details of the necessary contractual arrangements. If there are any steps remaining to fully control the site, such as conditions precedent in contractual arrangements, please identify them and describe the process and schedule for completing these steps. If the site has not yet been purchased or leased, provide confirmation that the party currently in control of the site has clear authority to enter into sale or lease arrangements.

If the site is not currently owned by a tax-paying entity (e.g., public land or tax-exempt institution), detail the expected tax treatment of the Project(s) including expected exemptions, if any.

#### 4.4.4 Permits & Environmental

Proposer is requested to describe the following:

- (a) The status of permit acquisition including permits received, significant outstanding permits and the permitting schedule to support transaction closing;
- (b) Please indicate the status of the SEQRA process with respect to the Project(s). Provide confirmation that the EAF has been fully completed and submitted to relevant agencies;
- (c) Describe any special site characteristics such as being a former landfill or if another kind of brownfield, previous site uses. If there are special site characteristics, describe how they are being addressed in the design and development process for the Project(s) along with any special permitting or consultation with environmental agencies, which is required;

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<sup>7</sup> As described in “New York State Standardized Interconnection Requirements and Application Process for New Distributed Generators 5 MW or Less Connected in Parallel with Utility Distribution Systems” issued by the Commission in August 2017, as published on the NYS Department of Public Service website. (Since the URL is complex, Google search for “Updated NYS Standardized Interconnection Requirements (August 2017)” to be directed to the appropriate page).

- (d) Describe any identified environmental issues such as hazardous waste contamination on the Project sites. Note that NYGB will require at least a Phase 1 environmental assessment;
- (e) Indicate whether any Project has attracted any environmental or other opposition and the extent and nature of such opposition including a description of the opposing parties. Include any steps taken to address such opposition; and
- (f) If paired with solar, indicate whether any of the sites in which the Project(s) will be located are subject to solar moratoriums and provide details on any such moratoriums.

#### 4.4.5 O&M Arrangements

In relation to operation and maintenance arrangements, provide:

- (a) Information on the party that will be providing the O&M for the Project(s) including their qualifications for, and experience in, this role;
- (b) A summary of basic terms of the O&M arrangements, including pricing and the source for determining such pricing; and
- (c) A description of the status of the O&M arrangements.

#### 4.4.6 Insurance

Provide a description of the contemplated insurance program including proposed limits for the construction, operation and liability cover, key sub-limits and deductibles.

#### 4.4.7 Remaining Development Requirements

This section of the Proposal should clearly articulate the remaining major steps requiring completion before financing, any issues expected in their completion and the schedule for completing the outstanding steps.

### 4.5 Prevailing Wages

If a Project is considered a public work covered by Article 8 of the NY Labor Law or a building service agreement covered by Article 9 thereof by reason of the involvement of a public entity as host or Revenue Contract Counterparty, then the borrower, project company and sponsor will, during the construction of the Project, comply (and cause each contractor and subcontractor to comply), and will certify compliance with all NYS prevailing wage and hours laws and regulations. Proposer will be required to address the applicability of prevailing wage requirements.

### 4.6 Expected Clean Energy Outcomes & Ongoing Tracking/Reporting Capability

The Proposal should address the following areas:

- (a) Mobilization of NYGB capital in terms of the ratio of the amount of NYGB's proposed investment to the amount of total project costs in NYS;
- (b) If paired with solar, the magnitude of estimated clean energy generation resulting from the solar arrays and Project(s); and

- (c) Methodology that the Proposer (or designated third party) plans to employ to track, record and monitor energy-related impacts, greenhouse gas emissions reductions delivered, customers served and clean energy measures supported.

Refer to Section 6.2 (Impact Metrics – Estimates, Reporting & Evaluation) for more information about the ongoing reporting and evaluation requirements for all investments closed with NYGB.

#### **4.7 Qualifications & Experience; Officers & Staffing**

- (a) Identify the officers and management of the Proposer. If the proposed borrower is different, then include the officers and managers of the proposed borrower as well;
- (b) Provide a structure diagram showing all organizational entities from the Project companies and the borrower to the ultimate parent(s) including ownership percentages. If there are options or other instruments that may be exercised, include structure diagrams for both pre-exercise and post-exercise of the options, showing the structure on a fully diluted basis (as applicable);
- (c) Confirm that the owners of the borrower are prepared to proceed toward closing in accordance with the NYGB process described in this RFP. Owners should agree on the structure of the proposed NYGB investment terms;
- (d) Detail the qualifications of the Proposer for undertaking the Projects including its experience with similar projects; and
- (e) Provide summary biographies and resumes for key personnel.

### **5. Proposal Evaluation**

Eligible Proposals (see Section 3 (Eligibility Requirements)) that include all applicable proposal contents (set out in Section 4 (Proposal Contents)) will be evaluated by NYGB against the criteria set out below.

#### **5.1 Evaluation of Transaction Credit, Financial, Technical & Risk/Return Considerations**

Proposals are evaluated with focus on the following key areas:

- (a) Financing structure and NYGB's financing support;
- (b) Creditworthiness (e.g., counterparties, underlying technologies, EPC provider(s), O&M, servicer(s), etc. as applicable) of the Project(s) and the terms of the financing expected to be provided by NYGB;
- (c) All terms and conditions established under the Proposer's Revenue Contracts. NYGB will evaluate all forward price forecasts related to Uncontracted Revenue streams to support appropriate distributions to the borrower and control debt servicing;
- (d) Pricing levels on a risk-adjusted basis, including projected ROI and IRR at the Project level and specific return expectations for NYGB and other transaction participants;
- (e) Direct or indirect private market comparable transactions (including pricing) as relates to counterparty credit and/or project risks;
- (f) Level of financial commitment of the Proposer and any other parties included (e.g., sponsor, tax equity investor(s), NYSERDA, or other incentive provider(s), etc. as applicable); and

- (g) Consistency with the principle that NYGB prices its financial products based on usual commercial approaches to credit quality and risk, earning a return of/on investment to both preserve and grow its capital base, and transform financing markets.

## **5.2 Evaluation of Clean Energy Outcomes & Ongoing Tracking/Reporting Capability**

NYGB will consider the number of Projects to be financed, expected aggregate annual energy production (MWh), expected installed capacity (MW), expected useful life of proposed technologies, expected total amount of project costs and economic benefits (such as job creation) in NYS in its evaluation.

In addition, NYGB will evaluate the strength of the plan pursuant to which the Proposer (or designated third party) will track and record performance data on an ongoing basis and report that information to NYGB (at a minimum within 30 days after the end of every quarter), in all cases for at least the term of the investment.

## **5.3 Other Considerations**

Finally, NYGB will also assess the following items:

- (a) Summary and structure of the overall Proposal;
- (b) Overall fit as it relates to NYGB's mission and key investment criteria as well as, without limitation, contribution to aggregate financial risks and returns, technological diversity and geographic distribution; and
- (c) Attributes of the Proposal including but not limited to cohesiveness, conciseness and clarity of response.

## **6. General Conditions**

### **6.1 Costs & Expenses**

Once a Proposal has been submitted to NYGB and evaluated as meeting the requirements of this RFP, the proposed transaction will move into NYGB's active pipeline. The borrower/investee and/or sponsor of each transaction in the active pipeline shall pay all reasonable costs and expenses of NYGB associated with the preparation, due diligence, development, and administration of all investment-related documentation (including the fees, disbursements and other charges of outside counsel to NYGB, independent engineers, background investigators or other consultants, as described in the engagement letter to be executed between sponsor and NYGB) regardless of whether or not the proposed investment is closed. In addition, Proposers may be required to provide a cash deposit for NYGB's third-party expenses in advance of substantive work on the part of NYGB and its advisors. Borrower/anticipated investee will also pay third-party fees and expenses incurred by NYGB in connection with the administration, amendment, waiver, modification or enforcement of any of the investment-related documentation.

### **6.2 Impact Metrics – Estimates, Reporting & Evaluation**

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. As NYGB finalizes and executes documentation for each investment, Proposers will be required to assist NYGB in its efforts to estimate the energy, environmental and economic impact the transaction will deliver in NYS throughout the tenor of the term. This will involve the provision of data collection that supports estimated energy savings or installed capacity assumptions and agreed upon provisions to evaluate the impact the transaction has had on the

clean energy finance markets. Some examples of evaluation methodologies may include: technologies deployed, technology performance, site visits, scale of projects, financial performance, access to capital, costs of capital and project costs.

After the transaction is executed, Proposers will be required to deliver impact-related data (e.g., energy, environmental and economic development-related data) as determined by NYGB and the Proposer, to be delivered no less frequently than quarterly (and within 30 days following the end of each calendar quarter), for at least the duration of the investment. An [Illustrative Quarterly Impact Reporting Template](#) of such data as relates to energy and environmental impacts can be found on the RFP Resources page on NYGB's website. Data submitted will be aggregated and anonymized and included in requisite public or other reports and may be used otherwise in accordance with regulatory requirements to which NYGB is subject.

NYGB will also seek periodic information relating to additional impact data, such as economic development, including job creation, use of contractors or other transaction counterparties based in New York or impacts on New York's economy resulting through supply chain development.

### 6.3 Municipal Advisor Rules

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential Proposers and the review of Proposals to be arm's-length negotiations. NYGB recognizes that Proposers have financial and other interests that differ from NYGB; as such, NYGB does not consider a fiduciary relationship to arise 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 Proposers 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](http://www.greenbank.ny.gov/IRMA), and the IRMA is available to respond to any questions a Proposer may have with respect to the IRMA's independence.

### 6.4 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 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 out in 21 NYCRR Part 501. The confidentiality of any information submitted cannot be guaranteed.



## **6.5 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 negotiate with all qualified parties or to cancel in part or in its entirety this RFP when it is in NYGB's best interest.

## **6.6 Disclosure Requirement**

The Proposer shall disclose, for any team member, any indictment for 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 relevant circumstances. When a Proposer is an association, partnership, corporation or other organization, this disclosure requirement includes the organization and its officers, partners and directors or members of any similar governing body. If an indictment or conviction comes to the attention of NYGB or NYSERDA after NYGB has indicated its interest to, or has agreed to enter into or participate in, any transaction NYGB may terminate the agreement and the Proposer may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if any team members have ever been disbarred or suspended by any agency of the United States Government or the NYS Department of Labor.



**NY Green Bank**  
A Division of NYSERDA

# NY Green Bank

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Investment Valuation & Financial Advisory  
Consulting Services

Request for Proposals

RFP No. 14

Version 1.0 – March 2020

**Investment Valuation & Financial Advisory Consulting Services for  
NY Green Bank, a Division of the New York State Energy Research and Development Authority**

**Request for Proposal (RFP) 14**

**Proposals Due: March 30, 2020 by 3:00 PM Eastern Time\***

NY Green Bank (“**NYGB**”), a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), invites proposals from firms interested in providing investment valuation and financial advisory services to NYGB in connection with its portfolio of illiquid structured investments in clean energy projects and businesses and in sustainable infrastructure. As further described in Section 2.1, services may include, but will not be necessarily limited to: (a) reviewing existing valuation policies and procedures and providing a gap assessment with industry best practices; (b) reviewing the reasonableness of the valuation methodology and input assumptions underlying a specific NYGB portfolio transaction<sup>1</sup>; (c) providing an independent assessment whether a specific portfolio transaction should be impaired or written up for financial accounting purposes; (d) providing an independent assessment whether a specific potential portfolio transaction is on arms-length terms; and (e) providing other financial advisory services (including, without limitation, restructuring advice) regarding a specific NYGB portfolio transaction.

**Proposal Submission:**

Firms wishing to submit a proposal for review must do so by 3:00 p.m. Eastern Time on the date noted above. Late proposals will not be accepted, nor will proposals that are substantially incomplete. It is the proposer’s responsibility to ensure that all pages have been included in the submission. Proposal documents should not exceed 15 pages, plus attachments. Unnecessary attachments beyond those sufficient to present a complete, comprehensive and effective response will not positively influence evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number and the page number.

Proposals must be submitted electronically via the online proposal submission system portal. (Faxed, mailed or e-mailed proposals will not be accepted). Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. For detailed instructions on how to submit a proposal online, follow the instructions on NYGB’s website ([www.greenbank.ny.gov](http://www.greenbank.ny.gov)) under “Work with Us;” “RFP Resources;” “Instructions to Submit Service Provider Proposals.”

Please note that, as part of the online submission process, proposers will be required to answer questions in addition to uploading attachments. NYGB suggests allotting at least 60 minutes to enter/submit proposals. The online proposal system will close promptly at 3:00 p.m. Eastern Time, and files in process or attempted edits or submissions after this time will not be accepted. If changes are made to this solicitation, an e-mail will be sent to the proposer’s contact as listed in the Proposer Contact Information section of the NY Green Bank portal as part of the online submission process, and any modified documents will be posted on NYGB’s website ([www.greenbank.ny.gov](http://www.greenbank.ny.gov)) under “Work with Us;” “Open Solicitations;” “RFP 14: Investment Valuation & Financial Advisory Consulting Services.” NYGB anticipates executing a Final Agreement (as defined below) by the end of May 2020 with one or more of the proposers who have been selected to enter into contract negotiation.

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<sup>1</sup> NYGB investments are highly structured transactions (including letters of credit, senior and subordinated debt, preferred stock, common equity, etc.) that are valued using internal models. As these investments rarely trade, prices are not directly observable, and assumptions, which can be subject to wide variances, are made to model and value the investments.

If you have technical questions concerning this solicitation, contact (i) [info@greenbank.ny.gov](mailto:info@greenbank.ny.gov) (Designated Contact 1); (ii) Brian Lee (Designated Contact 2) at (212) 379-6263; or (iii) Mike Fagan (Designated Contact 3) at (212) 379-4107. (Designated Contact 1, Designated Contact 2 and Designated Contact 3 are collectively referred to as the “**Designated Contacts**”). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507, or [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov). Please include RFP 14 in the subject line of all e-mail communications.

No communication intended to influence this procurement is permitted except by contacting the Designated Contacts. Contacting anyone other than these Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement may result in a proposer: (1) being deemed a non-responsible offerer, and (2) not being awarded a contract.

**Late or incomplete proposals will be returned and not accepted. Faxed or e-mailed proposals will not be accepted. If changes are made to this solicitation, notification will be posted on NYGB’s website at [www.greenbank.ny.gov](http://www.greenbank.ny.gov).**

# 1. Introduction

## 1.1 Opportunity & Overview

NY Green Bank invites proposals from firms interested in providing investment valuation and financial advisory services to NYGB in connection with its portfolio of illiquid structured investments in clean energy projects and businesses and in sustainable infrastructure. As further described in Section 2.1, services may include, but will not necessarily be limited to: (a) reviewing existing valuation policies and procedures and providing a gap assessment with industry best practices; (b) reviewing the reasonableness of the valuation methodology and input assumptions underlying a specific NYGB portfolio transaction; (c) providing an independent assessment whether a specific portfolio transaction should be impaired or written up for financial accounting purposes; (d) providing an independent assessment whether a specific potential portfolio transaction is on arms-length terms and (e) providing other investment valuation and financial advisory services (including, without limitation, restructuring advice) regarding a specific NYGB portfolio transaction.

## 1.2 NYGB Background

In his January 2013 State of the State address, Governor Andrew M. Cuomo announced the formation of a \$1.0 billion NY Green Bank (“**NYGB**”) to alleviate financial market barriers that currently impede the flow of private capital to clean energy projects. NYGB is a division of the New York State Energy Research and Development Authority (“**NYSERDA**”), a public benefit corporation of the State of New York (“**NYS**” or the “**State**”).

NYGB acts as a \$1.0 billion State-sponsored specialized financial entity focused on mobilizing greater investment in clean energy and sustainable infrastructure projects within NYS. NYGB is structured and operated in a similar manner to private investment funds and financing entities, including with respect to entering into transactions on market terms, being self-sustaining and covering its own costs of operation. NYGB is a key component of the State’s Clean Energy Fund (“**CEF**”), a \$5.3 billion commitment, and part of Governor Cuomo’s Reforming the Energy Vision (“**REV**”) strategy to advance clean energy growth and innovation and drive economic development across the State while reducing ratepayer collections. For more information on the CEF and REV strategy, see [nyserdanyny.gov/About/Clean-Energy-Fund](http://nyserdanyny.gov/About/Clean-Energy-Fund) and [rev.ny.gov/](http://rev.ny.gov/).

In July 2019, NYS took a historic step in advancing the most ambitious and comprehensive climate and clean energy legislation in the country with Governor Cuomo’s signing of the Climate Leadership and Community Protection Act (“**CLCPA**”) which mandates the NYS Green New Deal’s nation-leading clean energy targets: nine gigawatts of offshore wind by 2035, six gigawatts of distributed solar by 2025, and three gigawatts of energy storage by 2030, while calling for an orderly and just transition to clean energy that creates jobs and continues fostering a green economy. The CLCPA also directs NYS agencies and authorities to collaborate with stakeholders to develop a plan to reduce greenhouse gas emissions by 85 percent from 1990 levels by 2050 and aim to invest 40 percent of clean energy and energy efficiency program resources to benefit disadvantaged communities.

The State’s leadership in clean energy and sustainable infrastructure and ambitious goals position NYS for substantial growth and transformation – all requiring material financing. Given that meeting these State goals involves the creation of new asset classes and the building of liquidity in those asset classes at scale and across technologies, geographies and end-users, NYGB is well positioned to successfully continue its investment activities and materially contribute to the achievement of State goals, for the benefit of all New Yorkers.

The key elements of NYGB’s mission are collaborating with private sector participants, implementing structures that overcome market barriers and addressing financing gaps in current clean energy financing markets, and transforming those markets by enabling greater scale, new and expanded asset classes and increased liquidity.

Consistent with this mission and its investment criteria, NYGB’s key goals are to:

- (a) Attract private sector capital into clean energy markets in NYS;
- (b) Be self-sustaining; and
- (c) Reduce greenhouse gas (“GHG”) emissions.

NYGB’s activities in pursuit of its goals are specifically aimed at motivating faster and more extensive implementation of clean energy investments within NYS, fostering greater energy choices, reducing environmental impacts and delivering more clean energy benefits per public dollar spent for all New Yorkers.

Market barriers vary across different technologies and market participants, although a number of particular financing issues generally constrain growth across the clean energy sector, including:

- (a) Lack of transaction standardization;
- (b) Deficient scale and volume;
- (c) Less-understood project sponsors and counterparty credits;
- (d) Insufficient data on underlying loan and technology performance; and
- (e) Underdeveloped or nonexistent capital markets for clean energy projects.

These financing issues are a few of many market barriers that limit private sector capital investment, for both equity and debt, into otherwise attractive renewable energy and energy efficiency projects, resulting in gaps in the clean energy finance market.

To address existing financing barriers, NYGB follows several important operating principles:

- (a) NYGB enhances private sector market participation by providing financial products designed to scale markets for renewable energy and energy efficiency projects;
- (b) NYGB collaborates, rather than competes, with market participants that are already making progress in, or can demonstrate an ability to engage, the market but where that progress is constrained by the lack of available financing;
- (c) NYGB works with its clients and counterparties to leverage their capital and institutional capabilities – with a focus on “wholesale” markets (i.e., not providing funding directly to consumers/homeowners);
- (d) NYGB generally structures and prices its financial products consistent with commercial approaches to credit quality and risk, seeking to earn a return on investment to preserve and grow its capital base; and
- (e) NYGB recycles its capital into new clean energy projects when income is generated and as investments mature or are realized, maximizing the impact of its capital across multiple deployments.

NYGB’s long-term objective is to provide a bridge to a vibrant, sustainable, growing and efficient private sector clean energy financing market, across all types and sizes of projects. NYGB seeks to operate in areas where there is market interest, but limited access to capital.

NYGB investments are expected to span a wide range of clean energy technologies (e.g., in areas like energy efficiency, energy storage, renewable energy, electric vehicle and electric vehicle infrastructure, etc.).

More information about NYGB can be found at [greenbank.ny.gov](http://greenbank.ny.gov).

### **1.3 NYGB Investments / Financial Models / Financial Accounting**

Within the sustainable infrastructure markets, NYGB focuses on commercially proven technologies that are ready for and seeking scalable deployment. This sector is severely undercapitalized with limited investor involvement due to a lack of precedent transactions, smaller scale assets or portfolios, and complex deal structures that often require specialized structuring skills and sector knowledge base. NYGB applies project finance and structured finance techniques to ring-fence project assets or businesses, allocate and protect against risk and volatility, and monetize the resulting lower volatility cash flows. Although NYGB will make investments throughout the capital stack providing credit enhancement, senior and subordinate debt, preferred stock or common equity, NYGB generally prefers to take senior debt positions. NYGB has no restrictions on investment tenor, and can provide construction loans, warehouse facilities, mini-perms, and term loans.

NYGB investments are illiquid structured transactions that are valued using internal models. As these investments rarely trade, prices are not directly observable and assumptions, which can be subject to wide variances, are made to model and value the investments. NYGB develops its own financial models. In certain cases, transaction models have been developed by or with third party financial advisors.

NYGB calculates the value of its investments and the Net Asset Value (“NAV”) of its portfolio monthly. As a division of NYSERDA, NYGB follows GASB statements and requirements, and pursuant to GASB 62, NYGB’s loans are accounted for as Loans & Financing Receivables: recorded at cost basis, amortized as appropriate and written down if deemed impaired. A provision for loss is established for any Loan & Financing Receivable that is delinquent on its debt service payments and is deficient when comparing the present value of expected cash flows or collateral value to the outstanding debt balance plus accrued interest. NYGB, which, like NYSERDA, is audited by KPMG, prepares standalone sets of financial statements, and these are then consolidated into the NYSERDA financials. NYGB’s audited financial statements are published annually.

For further details on NYGB’s investments, strategy and financial accounting policies, please refer to NYGB’s website ([www.greenbank.ny.gov](http://www.greenbank.ny.gov)), including the Annual Review and Business Plan (<http://greenbank.ny.gov/-/media/greenbanknew/files/nygb-2019-business-plan.pdf>) and its Audited Financial Statements (<https://greenbank.ny.gov/Resources/Public-Filings>).

## **2. Scope of Services / Proposal Submission Requirements**

NYGB seeks to retain one or more firms experienced in a broad range of investment valuation and financial advisory services, and particularly in the valuation of illiquid, structured investments and the provision of financial advisory services regarding the same, to provide the services set forth in Section 2.1 to NYGB in connection with its portfolio of illiquid structured investments in clean energy projects and businesses and in sustainable infrastructure. As further detailed below, proposers will be evaluated on their expertise as well as their previous experience advising financial, investment and asset management institutions regarding the above. Tasks will be assigned to selected and qualified firms on an as-needed basis.

### **2.1 Scope of Investment Valuation & Financial Advisory Services**

NYGB requests proposals from firms experienced in a broad range of investment valuation and financial advisory services, and particularly in the valuation of illiquid structured investments and the provision of financial advisory services regarding the same. Proposers are encouraged to apply to provide for all or some of the services listed below, which are subject to the Conditions listed in Sections V below. Proposers selected by NYGB pursuant to this RFP will be expected to be available to provide services to NYGB for a three-year period with three potential

one-year extensions thereafter. During this period, NYGB will assign tasks to selected and qualified proposers on an as-needed basis for the performance of specific services, which include:

- (a) Reviewing existing valuation policies and procedures and providing a gap assessment with industry best practices under GASB 62 as well as under fair value accounting standards;
- (b) Upon request, reviewing the reasonableness of the valuation methodology and input assumptions underlying a specific NYGB portfolio investment;
- (c) Upon request, providing an independent assessment whether a specific NYGB portfolio transaction should be impaired or written up for financial accounting purposes;
- (d) Upon request, providing an independent assessment whether a potential portfolio transaction is on arms-length terms; and
- (e) Upon request, providing other financial advisory services (including, without limitation, restructuring advice) regarding specific NYGB portfolio transactions.

## 2.2 Proposal Submission Requirements

### 2.2.1 Proposal Submission

Please refer to “Proposal Submission” on pages 2-3 above in this RFP 14.

### 2.2.2 Procurement Lobbying Requirements – State Finance Law sections 139-j and 139-k

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

Failure to include such certification and disclosures will disqualify your proposal.

### 2.2.3 Format

Please refer to “Proposal Submission” on pages 2-3 above in this RFP 14. Proposals should contain two parts.

Part I must consist of responses to the qualification items (Section 2.2.4, “Description of Qualifications” below).

Part II must consist of complete contract cost and pricing information (Section 2.2.5, “Cost” below) and the proposed Investment Valuation & Financial Advisory Services Retainer Agreement (see Section 2.2.6 below).

Each part must be complete, so that it can be evaluated independently, but should be submitted together as a single Proposal.

### 2.2.4 Description of Qualifications

Proposers should:

- (a) Identify the services for which they are proposing as listed above in Section 2.1;



- (b) Describe their experience providing investment valuation services and financial advice (including, without limitation, restructuring advice) to traditional and alternative investment vehicles (e.g., investment companies, private equity funds, business development companies, debt infrastructure investment funds, etc.) regarding (i) illiquid, unrated, and/or non-traded investments similar to NYGB's investments, and (ii) investments in the clean energy and sustainable infrastructure sector, and in the electricity, power and commodity markets sector;
- (c) Provide a brief summary of their firm's capabilities that are relevant to their proposed services including the number of similar or analogous assignments that their firm has completed over the past five years, and a discussion of their relevance to the services requested in Section 2.1. Highlight any areas where the assignments were substantially different from the services to be provided;
- (d) Describe how they differentiate their firm from its competitors and its relevance to the services they propose to provide to NYGB;
- (e) Describe their availability to accommodate the investment valuation and financial advisory needs of NYGB. Proposers must demonstrate that primary and reasonably qualified backup and support personnel are available on an as-needed basis, and that the proposer has staff capabilities (and sufficient professional/support staff) to perform the work on a timely basis. Specify whether any part-time or contracted resources will be utilized, and if so, in what regard, and how that will enhance potential performance;
- (f) Describe their assessment / valuation process, and the internal and external databases and other reference resources used to develop investment assessments and valuations in the sustainable infrastructure and renewables sector;
- (g) Provide the names of personnel in the firm who will be assigned to NYGB's account and their experience in performing services similar to the services requested by this RFP. Include resumes for all employees proposed to be involved on this account (resumes may be included as an appendix to the proposal). Include a description of each employee's function in the firm, title, office address, and number of years of service with the firm and other relevant experience. Indicate the address of the office through which this account will be primarily serviced. Describe the availability of the lead person(s) for consultation with NYGB, including but not limited to his or her ability to meet with NYGB staff in New York;
- (h) Discuss fully any conflicts of interest, actual or perceived, that might arise in connection with their firm's involvement with NYGB. If conflicts do or might exist, describe how the firm would resolve them. Please be aware that the firm(s) selected will be expected to represent NYGB in all transactions falling under this RFP; representation of any other party to these NYGB transactions would be prohibited without the express written approval of NYGB, which would be unlikely (for more information on NYGB's expected approach with respect to potential conflicts of interest, please see the "Conflicts of Interest" section set forth in the Sample Agreement (as defined below) attached hereto as Attachment A);
- (i) Identify any litigation or administrative proceedings to which their firm is a party and which would either (a) materially impair its ability to perform the services enumerated herein and for which this RFP was issued or (b) if decided in an adverse manner, materially adversely affect the financial condition of the firm;
- (j) Identify the employees discussed in Section 2.2.4(d) that have been the subject of any investigation or disciplinary action by the NYS Ethics Commission, the Commission on Public Integrity, the Temporary State Commission on Lobbying, or NYS. Describe briefly how any matter was resolved or whether it remains unresolved;

(k) Provide in-line edits and an explanation of any changes the proposers would request to the sample agreement (the “**Sample Agreement**”) attached hereto as Attachment A. Because NYGB expects to harmonize its standard terms and conditions across all awarded contracts, NYGB may accept or reject such request changes in its sole discretion; and

(l) Provide two relevant client references, including name, address, and telephone number.

## 2.2.5 Cost

Proposers should:

- (a) State the rates at which the cost for the services above would be provided to NYGB, and whether on a transactional or an hourly basis (or combination thereof). For the latter, please include:
  - (i) For each person whose resume is provided in response to Section 2.2.4(g) above, the firm’s normal hourly rate and the hourly rate the firm proposes to charge NYGB;
  - (ii) For each applicable category of support staff or other assigned staff, the normal hourly rate and the hourly rate the firm proposes to charge NYGB, if billed separately; and
  - (iii) Any reduced rates or fees charged other State or local governments in NYS for these types of services.
- (b) A statement of the basis on which any other firm expenses related to services provided to NYGB would be billed, if other than at cost;
- (c) A statement of any special considerations with respect to billing or payment of fees and expenses that the firm offers and that it believes would differentiate it from other proposers and make its services more cost effective for NYGB; and
- (d) A statement of the firm’s views with respect to the potential for alternative fee structures for specific matters or transactions on a case-by-case basis.

## 2.2.6 Investment Valuation & Financial Advisory Consultant Retainer Agreement

Proposers should provide the Investment Valuation & Financial Advisory Consultant Retainer Agreement (the “**Proposed Retainer Agreement**”) they propose to use if selected by NYGB under this RFP. If selected by NYGB, the Proposed Retainer Agreement, as modified by the terms of the Sample Agreement, will serve as the basis for negotiating the Final Agreement with NYGB regarding the retention of the proposer as an outside investment valuation and financial advisory consultant to NYGB. (For more information, see Section 5, “Final Agreement” below).

# 3. Proposal Evaluation and Selection Process

## 3.1 Proposal Evaluation

Proposals meeting the RFP requirements will be evaluated by a Scoring Committee using the Evaluation Criteria below listed in order of importance:

- (a) General experience providing investment valuation and financial advisory services (including restructuring advice) to traditional and alternative investment vehicles regarding (i) clean energy and sustainable infrastructure investments; (ii) structured illiquid investments similar to those undertaken or contemplated

by NYGB; and (iii) more broadly, investments in the electricity, power and commodity markets (For more information on investments undertaken by NYGB, please reference the transaction profiles on NYGB's website: <https://greenbank.ny.gov/Investments/Portfolio>);

- (b) Quality, depth and breadth of the firm's and team's expertise and prior experience in providing services similar to those identified in Section 2. For those firms that have worked with NYGB before, the quality of work and value delivered then will also be considered. Proposers may submit proposals to provide all or only some of the services listed in Section 2.1. Proposers proposing to provide only some of the listed services, will be evaluated against other proposers' capabilities to provide those same listed services;
- (c) Commitment of time and resources to this account, and amenability to, and facility for, working with NYGB in various capacities. For those firms that have worked with NYGB before, their commitment of time and resources, amenability and facility to work with NYGB then will also be considered;
- (d) The terms and conditions of the Proposed Retainer Agreement; the degree and substance of the changes, if any, requested to the Sample Agreement; the likelihood to successfully negotiate the Final Agreement; and the anticipated cost of services and willingness to work with NYGB to minimize costs;
- (e) Diversity practices and ability to meet NYSERDA goals with respect to minority- and women-owned business enterprises (MWBE) and service-disabled veteran-owned business enterprises (SDVOB) (see Attachments B and C hereto);
- (f) Overall organization and quality of proposal, including cohesiveness, conciseness, and clarity of response.

### 3.2 Selection Process

A scoring committee ("**Scoring Committee**"), comprising internal NYGB and NYSERDA staff, will review and evaluate proposals. At NYGB's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

In addition, top-ranked firms may be invited to make oral presentations to the Scoring Committee or other NYGB staff, and may also be required to provide additional client references, as part of the final selection process.

Depending upon the quality and scope of proposals as well as the negotiation of acceptable Final Agreements, NYGB expects to select one or more qualified firms to provide the range of Investment Valuation and Financial Advisory Consulting services.

## 4. General Conditions

### 4.1 Proprietary Information

Careful consideration should be given before confidential information is submitted to NYGB and NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, NYS Public Officers Law, Article 6, provides for public access to information NYGB or NYSERDA possesses. NYS Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "**Confidential**" or "**Proprietary**" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law,

Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://nysesda.ny.gov/~media/Files/About/Contact/NYSERDARegulations.ashx>. However, NYGB and NYSERDA cannot guarantee the confidentiality of any information submitted.

#### 4.2 Omnibus Procurement Act of 1992

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

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

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

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

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

#### 4.3 Tax Law Section 5-a

NYGB/NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYGB/NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "**Department**") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYGB/NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department.

The Department has created a second form that must be completed by a prospective contractor prior to contracting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

#### 4.4 Contract Award

NYGB anticipates making one or more award(s) under this solicitation. NYGB anticipates a contract duration of three years with three 1-year options to renew, unless NYGB management determines a different structure is more efficient based upon proposals received.

NYGB may award a contract based on initial applications without discussion, or following limited discussion, negotiations, or interviews. Each Proposal should be submitted using the most favorable cost and technical terms.

NYGB may request additional data or material to support applications. NYGB will review the Proposed Retainer Agreement provided by the proposer. NYGB may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYGB and/or NYSERDA agreement.

NYGB also reserves the right to correct any arithmetic errors, to accept or reject any of the firm's employees assigned to provide services on this project and to require their replacement at any time, and to reject any proposal containing false or misleading statements or that provides references that do not support an attribute or a condition claimed by the proposer.

#### **4.5 Limitation**

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

#### **4.6 Disclosure Requirement**

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

#### **4.7 Final Agreement**

NYGB will negotiate the final agreement (the "**Final Agreement**") with each proposer(s) selected under this RFP based upon the Proposed Retainer Agreement discussed in Section 2.2.6 above, with the expectation that relevant sections of the Final Agreement will substantially conform, in form and substance, to the Sample Agreement. The Final Agreement will also include the Proposed Retainer Agreement as an exhibit thereto. The Final Agreement will be subject to the laws of the State of New York and will state that any disputes between the parties shall be fully and finally adjudicated in the state courts of the State of New York in accordance with NY Civil Practice Law & Rules §505. NYGB will require that certain New York State provisions be attached to the Final Agreement as exhibits. These provisions are attached to the Sample Agreement as Exhibits C and D thereto.

#### **4.8 Municipal Advisor Rules**

NYGB is aware of the amendments to Section 15B of the Securities Exchange Act of 1934 effectuated by Section 975 of Title IX of the Dodd-Frank Act, as well as SEC Release No. 34-70462 (September 20, 2013). In this regard, please note that NYGB considers discussions with potential proposers, and the review of proposals, to be arm's-length negotiations. NYGB recognizes that proposers have financial and other interests that differ from NYGB. As such, NYGB does not consider a fiduciary relationship to arise at the proposal stage. Accordingly, any responses to this RFP would meet the exemption from the "municipal advisor" definition provided by Rule 15Ba1-1(d)(3)(iv) for responses to requests for proposals or qualifications.

#### **4.9 Vendor Assurance of No Conflict of Interest or Detrimental Effect**

The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which

would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYGB/NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your firm would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYGB/NYSERDA of, and resolve any such conflicts.

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

#### **4.10 Public Officers Law**

For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees.

However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements.

During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

#### **4.11 Diversity Practices**

NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of proposers is practical, feasible, and appropriate. Accordingly, proposers shall be required to include as part of their proposal a signed and completed Diversity Practices Questionnaire (Attachment D hereto).

#### **4.12 New York Executive Law Article 15-A**

Under this law, NYGB/NYSERDA is required to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and

women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected contractor are set forth in Attachment B hereto. Proposers shall be required to sign and complete Attachment B as part of their proposal.

#### **4.13 New York State Executive Law Article 17-B**

Under this law, NYGB/NYSERDA recognizes its obligation to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (“**SDVOB**”) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected contractor are set forth in Attachment C hereto. Proposers shall be required to sign and complete Attachment C as part of their proposal.

**Attachments:**

Attachment A – Sample Agreement

Attachment B – Article 15-A (MWBE)

Attachment C – Article 17-B Service-Disabled Veteran-Owned Business Enterprises (SDVOB)

Attachment D – Diversity Practices Questionnaire



**Buildings of Excellence Competition**

Request for Proposal (RFP) 3928 Rd2

**Up to \$10,000,000**

*NYSERDA reserves the right to extend or add funding at its sole discretion.*

Proposals Due: April 22, 2020 by 3:00 p.m. Eastern Time (ET)\*

The Buildings of Excellence Competition (the Competition) aims to accelerate the design, development, construction, and operation of very low or zero carbon emitting buildings that are capable of withstanding increased risks and impacts from future climate change. NYSERDA seeks proposals for projects that reduce their energy consumption and per capita carbon emissions while increasing climate change resilience, including passive survivability, in a manner which can be replicated at scale. Selected projects are eligible to receive up to \$1,000,000 in direct funding as well as support for initiatives focused on broad marketing and public awareness. Technical and performance validation support services are also provided. Proposers must demonstrate (1) how the project will generate interest in and demand for the construction of low carbon and climate-resilient advanced clean energy buildings, (2) their commitment to share information related to the project's design, costs, and performance, which is expected to support decision-making processes employed to achieve the desired outcomes, and (3) architectural and urban design quality and innovation. The Competition intends to identify and select proposals for projects that demonstrate the greatest potential for success and replication. This second issuance of the Competition focuses on multifamily projects. The Competition is approved for three rounds of funding.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or pdf files (file formats include the following: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100 MB or less in file size. Proposal pdfs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA also accepts proposals by mail or hand delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal (electronic or paper submission), go to NYSERDA's Funding and Opportunities web page and follow the [Application Instructions and Portal Training Guide](#) [PDF] located in NYSERDA's [Current Opportunities](#).

**Informational webinar:** NYSERDA will host an informational webinar on Wednesday November 6, 2019 starting at 10 am. [Register to participate in advance](#) or [join the webinar by signing in prior to 10 am](#), logging in after 9:30 AM. [Fill out this form](#) to be notified of additional informational webinars that may be scheduled; or when each round of the Competition is launched, are about to close, and when the winners of each round are announced.

**Contact Information:** For technical questions, contact Patrick Fitzgerald (designated contact) at [PatrickNC@nyserda.ny.gov](mailto:PatrickNC@nyserda.ny.gov) or (518) 862-1090 ext. 3385; or Matt Brown (designated contact) at [MatthewNC@nyserda.ny.gov](mailto:MatthewNC@nyserda.ny.gov) or (518) 862-1090 ext. 3336. For contractual questions concerning this solicitation, contact Elsyda Ahmed (designated contact) at [ElsydaSolicitations@nyserda.ny.gov](mailto:ElsydaSolicitations@nyserda.ny.gov) or (518) 862-1090 ext. 3444.

No communication with NYSERDA staff intended to influence this procurement is permitted. Contacting anyone other than the designated personnel (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement may disqualify the proposer from consideration.

**\* All proposals must be received by 3 p.m. (ET) on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all submission requirements have been met. Please note the following: for electronic submissions, there are required questions that need to be answered in addition to uploading attachments. Be sure to allot at least 60 minutes to enter and submit proposals. The electronic proposal system closes promptly, and files in process or attempted edits or submission after 3 p.m. (ET) on the date above will not be accepted.

If changes are made to this solicitation before the due date, notification specific to this solicitation will be posted on NYSERDA's [Current Opportunities](#) section.

## **I. Introduction**

The purpose of the Competition is to stimulate the design, construction, and operation of very low or zero carbon emitting buildings that are capable of withstanding increased risks and impacts from future climate change. Burning fossil fuels such as natural gas, oil, and coal releases carbon dioxide into the atmosphere. Reductions in the amount of fossil fuels burned to support building operations can result in decreased carbon emissions. Buildings designed to use low-carbon fuels or electrification, renewable energy systems, higher density occupancy, or transit-oriented development can further result in reduced per capita carbon emissions. Buildings and their systems may be vulnerable to future climate hazards such as flooding, sea level rise, increased temperatures, and extreme storms. Excellent buildings will be designed in ways that make both the structures and their occupants resilient to future climate change, allowing emissions reductions goals to be achieved for the duration of a buildings' expected lifetime.

NYSERDA seeks proposals for multifamily buildings being designed to achieve very low energy consumption and per capita carbon emissions as compared to a code compliant building, as well as have resilience attributes that limit exposure to increased risks and impacts from future climate change. Proposers must demonstrate that the design and construction strategies are replicable and have the potential to achieve broad-based adoption by both developers and consumers. Proposers must also demonstrate how their projects provide superior financial benefits for owners, and attractive, healthy, safe, climate-resilient, and otherwise outstanding living environments for occupants. Proposers are encouraged to submit projects that enhance age-friendly characteristics. This Competition's goals include proactive design and planning, access to recreation, building complete streets, improving the existing built environment, and encouraging compact, multiple-use development; all of which enhance age-friendly community livability. NYSERDA recognizes that demographics are shifting toward older age-ranges, and that the economic and social contributions from older residents are vital. To incorporate the economic and civic strengths of the aging population, the needs and desires of aging New Yorkers must be included in the domains of outdoor spaces, transportation, housing, social activity, civics/employment, communication/information and health services. Proposers are encouraged to describe how their proposal addresses age-friendly inclusion in these domains.

This round of the Competition will accept proposals for projects that are, as of the date of the proposal's submission to NYSERDA, in an early or late design status as defined and detailed in Section II of this RFP. The funding provided through the Competition may be used in conjunction with other funding offered by NYSERDA and utilities service providers. However, proposers must review the rules of the other programs to determine if those funds are accessible in combination with funds offered by this Competition.

## **II. Eligibility**

NYSERDA, at its sole discretion, determines a proposal's eligibility for the Competition.

### **General Eligibility**

For a submission to be eligible, the project identified in the proposal must incorporate multifamily occupancy as the primary use. The project must be, or intend to be, located in one of the six investor-owned New York State electricity distribution companies and pay into the System Benefits Charge (SBC) at that site. Project eligibility is fuel-neutral; however, projects must demonstrate low-carbon attributes. The proposer must be the owner or developer and have the authority to select and direct all other members of the project team. The proposer must demonstrate their project team has the capabilities to perform and successfully complete the proposed project as a multidisciplinary and integrated project delivery team.

While not encouraged, a proposer may elect to submit more than one proposal to the Competition for different projects. Members of a proposer's team are welcome to participate in more than one proposal. Multiple, alternative proposals submitted for a single project will result in the disqualification of both proposals, as it is the responsibility of the proposer to determine the more appropriate set of solutions for their project. As part of their submission, the proposer must select and indicate who will serve as the design team lead in support of their project.

A project can encompass one multifamily building or a portfolio of similar or related multifamily buildings of any height located on the same site, or adjacent and associated sites. One- and two-family homes, or

townhomes as defined within the Definitions section of the 2015 International Building Code, are not eligible for inclusion as part of a proposal's fundable project. Eligible multifamily projects are as follows:

- a. New Construction: A new building, buildings, or an addition, where a licensed professional architect or engineer has prepared and certified the building plans.
- b. Gut Rehabilitation: Substantial renovation for one of the following types of projects where a licensed professional architect or engineer has prepared and certified the building plans:
  - Change of use and reconstruction of an existing building, buildings, or space within.
  - Construction work of a nature requiring that the building, buildings, or space(s) within to be out of service and unoccupied for a minimum of thirty days.
  - Reconstruction of a vacant structure, or structures, or space within.
  - The addition to or expansion of a building, in combination with any of the above.

Projects may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.

All proposers must submit the Attachment A-Data Collection Form, and include the modeled or predicted energy use, fuel types, project costs and design drawings, when available. Proposals must include wall sections of the building envelope and related design details, and detailed descriptions of the energy systems utilized, when available.

Proposers selected through this Competition must agree to:

1. Update the information initially provided in the Data Collection Form; and assist NYSERDA in promoting their project and to sharing information that will help the industry accelerate the design, construction, and operation of high-performance buildings. All of which may be shared publicly unless otherwise noted.
2. Provide NYSERDA with actual monthly energy use and generation by fuel type for all fuels and from all meters for sixty months after project completion, for the residential portion of the building as well as for the whole building. Directly metered tenant use may be aggregated by fuel type.
3. Populate the U.S. Environmental Protection Agency (EPA) Portfolio Manager or equivalent, for a minimum of sixty months post-occupancy and as directed by NYSERDA, submitting the benchmarking tool's output data to NYSERDA. Disclosure of the benchmarking data on websites, in publications, in presentations or other venues may occur, in whole or in part, in a form attributable to their project.
4. Provide or secure Data Release Authorization Forms from both building owners and a representative sample of tenants, as required for benchmarking of the whole building's energy use, generation, and related utility consumption, as well as to provide additional performance information obtained through monitoring and controls systems, utility metering or submetering systems, or Smart Buildings systems.
5. Provide updated information related to the project's as-built design, costs, and price, as per the Data Collection Form.
6. Allow their projects to be part of NYSERDA's promotional efforts and to cooperate with NYSERDA in the creation and implementation of those efforts, including but not limited to exhibitions, articles, books, electronic media including a Competition website, and lectures promoting the Buildings of Excellence Competition and its outcomes.

**Project Status** [The proposer must select one of the following statuses and meet the stated requirements]

1. **Early Design:** Projects in the schematic design or design development phase are considered to be in the early design status. The proposer may be eligible for an award of \$20 per gross square foot up to \$1,000,000. Proposers must commit to designing and constructing a project that will achieve a minimum modeled source (primary) energy savings<sup>1</sup> of 20% when compared with a project design that complies with the relevant Energy Conservation Construction Code of New York State (ECCC of NYS), excluding the impacts of any proposed renewable energy generation. Proposers must identify strategies to achieve low per capita carbon impacts including, but not limited to, cutting edge architectural and design approaches, the use of renewable energy solutions, advanced clean energy technologies integration, or other essential characteristics to ensure the Competition's goals are met. Proposals should also describe how these strategies address future climate conditions in their design and implementation. Proposers must demonstrate the replicability of the project by detailing its financial viability and how the building will provide an enhanced, climate-resilient living environment.
2. **Late Design:** If the project's design development phase is complete and the construction documents are in development, but the building permit has not yet been issued, the project is considered to be in the late design status. The proposer may be eligible for an award of \$15 per gross square foot up to \$750,000. Proposers must commit to completing the design and constructing a project that achieves a minimum modeled source (primary) energy savings<sup>1</sup> of 20% when compared with a project design that complies with the relevant ECCC of NYS), excluding the impacts of any proposed renewable energy generation. Proposers must identify strategies to achieve low per occupant carbon impacts to meet the Competition's goals including, but not limited to, cutting edge architectural and design approaches, the use of renewable energy solutions, advanced clean energy technologies integration, or other essential characteristics. Proposals should also describe how these low-carbon strategies address future climate conditions in their design and implementation. Proposers must demonstrate the replicability of the project by detailing its financial viability and how the resulting building will provide an enhanced, climate-resilient living environment.

### **Modeled Energy Performance**

The proposer must rely on one of the following Standards to establish that the minimum modeled source (primary) energy savings for the project's residential associated space<sup>1</sup> will be met:

- Appendix G of ASHRAE Standard 90.1. Projects permitted under ECCC of NYS (2014) should follow Appendix G of ASHRAE 90.1-2010 to determine the modeled energy performance<sup>1</sup>; and projects that were or will be permitted under ECCC of NYS (2016) should follow Appendix G of ASHRAE 90.1-2013 with Addenda, in accordance with ECCC of NYS (2016). Modeled energy performance must first be calculated without the inclusion of any renewable or distributed energy generation to confirm the energy efficiency performance threshold has been met, and then again calculated after renewable or distributed energy generation has been included in the energy model and submitted by the proposer for comparison with other proposals. Comprehensive energy performance will be compared against other proposers, using a 2.55 source-to-site conversion factor to compare the imported electricity to the source energy required to generate that electricity.
- The Passive House Standard as published by the Passive House Institute (PHI), or PHIUS+ for Multifamily Buildings as published by the Passive House Institute U.S. (PHIUS). Projects intending to meet PHIUS+ certification requirements must identify the building(s)' modeled source (primary) energy use<sup>1</sup> in terms of kWh/person/year; and projects intending to meet PHI certification requirements must identify the building(s)' modeled source (primary) energy use in terms of

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<sup>1</sup> For projects that include mixed use space, only the energy use associated with the project's residential square footage should be included when determining the modeled energy performance of the residential portion of the project. The modeled energy performance shall incorporate the square footage used for residential occupancy, inclusive of all residential-associated space such as hallways, stairwells, elevators, trash, utility and exercise rooms, entrance lobbies, as well as shared laundry facilities exclusively available to the building's residential occupants.

kBtu/total-floor-area/year. Proposers committing to achieving certification to either passive house standard are deemed as meeting the minimum modeled source energy savings<sup>1</sup> requirements. Modeled energy performance must be calculated both with and without use of renewable energy generation and submitted by the proposer for comparison with other proposals. Alternative energy modeling will not be expected of proposers committing to achieving certification to either passive house standard to support their predicted energy performance. Comprehensive energy performance will be compared against other proposers based on the [Comparison Evaluation of ASHRAE 90.1 Appendix G vs. Passive House published by NYSERDA](#).

- The average Energy Rating Index (ERI) for all residential dwelling units, calculated in accordance with the 2014 edition of Standard ANSI / RESNET / ICC 301, entitled “Standard for the Calculation and Labeling of the Energy-Efficiency of Low-Rise Residential Buildings Using an Energy Rating Index” or the relevant version of this standard as updated in accordance with the ANSI/RESNET protocols. The proposer should identify the Standard followed to produce the average ERI. To meet the minimum energy performance<sup>1</sup> threshold of 20% source energy savings, the average ERI must, at minimum, meet the U.S. Environmental Protection Agency (EPA) ENERGY STAR® Certified Homes Program v3.1 requirement and achieve an ERI of less than 60 without inclusion of renewable energy generation. The proposers should also submit the average ERI calculated with the inclusion of on-site renewable energy generation to allow for comparison with other proposals.

### III. Proposal Requirements and Format

The proposer must identify their project’s status as of the date of submission, as defined and detailed in Section II of this RFP. The proposer’s name, the RFP number, and page number should be recorded on every page of the proposal, including attachments. The proposer must submit the following:

#### 1. Executive Summary

The proposer must submit brief description (~400 words) summarizing how the proposer’s approach will stimulate interest in and a demand for the construction of advanced clean energy and climate-resilient buildings, identifying the intended strategies to reduce energy use and carbon emissions—both on a per gross square foot and per capita basis—as well as strategies that will increase the likelihood that both the structures and their occupants are resilient to future climate change. Proposers must demonstrate the replicability of the project by addressing the project’s financial viability and how the resulting building will provide an enhanced living environment. In addition, proposals should include an abbreviated description (~100 words) for use in the presentation and promotion of selected projects.

#### 2. Project Description

Proposers should provide a clear and concise description of the project, addressing each category detailed in the scoring tables. The quality and rigor of the proposal will impact its evaluation and scoring, in part as a reflection of the likelihood the proposer will be successful in reaching their stated goals. The description should address:

- a. Energy efficiency and building performance, including expected performance under future climate conditions.
- b. Low per capita carbon emissions reduction strategies including densification, electrification of HVAC, or other non-fossil fuel-based heating and cooling, renewable energy generation; advanced clean energy technologies. The description should address how these strategies are designed to be climate resilient for the life of the strategy/system; and how the building systems will effectively and efficiently perform under future climate conditions.
- c. Strategies to ensure the low-carbon building strategies, the building itself, and its occupants are resilient to future climate impacts; including strategies such as raising critical system components above flood levels; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (i.e., the building will maintain safe thermal conditions in the event of an extended

power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The specific climate risk should be identified (e.g., more-intense heat waves), and how the proposed strategy will increase resilience by addressing that risk should be described in detail. For any buildings in the 500-year flood zone or that are otherwise at risk of current or future flooding, flood-mitigation measures should be incorporated into the design; at a minimum, critical system components should be raised above the 500-year flood elevation unless an alternative flood-mitigation plan to protect those critical components is proposed, and ultimately determined to be acceptable during the awarded project's contracting process, at NYSERDA's sole discretion.

For guidance on managing future flood risk, refer to the draft (or the forthcoming final) [State Flood Risk Management Guidance](#). For guidance on climate change and climate resilience, refer to [the ClimAID climate projections for New York State](#), the New York [Adapting Buildings for a Changing Climate](#) website, and the [NYC Climate Resiliency Design Guidelines](#).

- d. Design features to address occupant comfort and health and safety; durability, and sustainability. Additionally, features related to the project's embodied carbon and global warming potential such as the proposed building materials, construction methods or refrigerant gases intended to be used in mechanical systems shall be described and detailed in the Data Collection Form.
- e. Architectural and urban design quality.
- f. How energy efficiency solutions and other characteristics of the project are expected to impact total costs, strategies to reduce total costs, the trade-offs and avoidance of cost increases, and how the overall costs of the project compare with similar projects (e.g., low- to moderate-income, mixed-income, market-rate, or luxury homes) in the same basic locale.
- g. How costs associated with improvements can be recouped in terms of higher rents or sales prices, the drivers for those increased values, and whether energy savings and benefits will accrue to the project's owner, each apartment's owner, or tenants.
- h. The project's viability and replicability, as demonstrated by expected ease or efficiency of construction, economic viability for the market served, unique financing solutions, or other factors that would make the project a model for future projects.
- i. Why and how the high-performance features of the building provide both enhanced financial benefits to the owner/developer as well as attributes that lead to an improved or optimal living environment (e.g., thermal comfort, indoor air and environmental qualities, improved acoustics, climate resilience).
- j. The business model intended to achieve their goals and their approach for following an integrated project delivery process.
- k. To establish the project's viability, the known or expected sources of capital should be identified and described, including whether those sources have been secured or are anticipated. If access to the necessary capital has not yet been secured, the proposer must identify the underwriting being sought and explain why the project's proposed underwriting approach is likely to be successful. Any financial support that has been secured or is expected to be secured from regulatory or other funding agencies for low- to moderate-income (LMI) occupancies must be identified.
- l. How lower operating costs related to the improvements to the project's energy and ongoing operational performance will be leveraged as part of the underwriting; or if any unique utility metering arrangements are expected to contribute to the underwriting approach; and how the proposed approach can ensure the project's ultimate success and replicability.
- m. How the project, as constructed, will meet the intent of the design, including the intent to rely on third-party progress inspections and performance testing during the construction process.
- n. Whether the commissioning of energy using systems, including the envelope, will be executed and relied on to create as-built drawings and energy model(s) to reflect changes in design, including those made during construction.

### **3. Collaboration with NYSERDA, Transparency, and Promotion of Projects**

The proposer should describe how they intend to market and promote the project, including the sharing of information that could be useful to the industry. Additional and relevant information may include but should not be limited to information about the project design, the construction and operational processes, strategies to reduce costs, project costs that are either absolute or comparative, financing strategies, additional construction details, or lessons learned. In accordance with the Proprietary provisions located in Section VIII General Provisions, the proposer should indicate which aspects of this additional information can be publicly shared by NYSERDA in its promotional activities and should stipulate if any portion or portions of the information should be reserved for NYSERDA's internal use and/or for anonymized analysis, and not publicly shared as project-specific information. The extent to which the proposer commits to sharing additional data, as well as the quality of the proposer's marketing plan intended to showcase the project's low-energy and low-carbon strategies, are considered during evaluation of the proposal.

Proposers are encouraged to identify any additional information not requested in the Attachment A-Data Collection Form that they intend to share with NYSERDA, including but not limited to the strategies that ultimately proved most effective, comparative costs or savings, how marketability was impacted, and the decision-making approach during the design process to ensure the intended and successful outcome. NYSERDA may elect to disclose unprotected information, in whole or in part, on websites, in publications, in presentations, or other venues. In addition, applicants should outline their proposed methods or mechanisms for sharing this information through their marketing plan.

Proposers should submit a marketing plan that will be implemented by the proposer, if selected, and explain how the plan will generate public interest in and demand for advanced clean energy and climate-resilient buildings beyond and in addition to NYSERDA's promotional activities. Selected proposers are expected to cooperate with NYSERDA in the development of other promotional materials, such as but not limited to website, magazine articles, books, blogs, or videos. NYSERDA credits the project name, developer, and design team lead in all promotional material. Awardees are expected to participate in presentations. NYSERDA reserves the right to brand and market the winning projects as NYS Buildings of Excellence projects or a similar reference.

### **4. Supplementary Documents**

- Attachment A-Data Collection Form, with all data required of the proposer populated in submitted form.
- Energy modeling files and report(s) summarizing energy performance-related design strategies should be submitted for all projects, if available.
- Project rendering(s), at least one and up to three.
- Architectural plans, including at least one section and elevation, with the completion of each architectural plan or detail appropriate in relation to the Project Status.
- Design details that address energy efficient design, based on Project Status.
- Site plan (encouraged).
- Design details that explain all proposed climate-resilience strategies.
- Diagram of building showing or explaining low-energy/low-carbon features, including how they are climate-resilient for their lifespan.
- Diagram(s) of quality of building characteristics and design features are encouraged.
- Scorecard(s) or checklist(s) for proposed, submitted, or achieved certifications.

Notes:

- 1) Submitted materials may be used for the presentation of winning projects in various forums.
- 2) Photographs and other images must be high-resolution image files at 24 inches wide and 300 dpi.
- 3) Updates to the initially submitted materials may be requested for projects selected by the Competition.

## V. Proposal Evaluation

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

The General Eligibility requirements to be considered prior to review by a scoring committee include the following:

- The project is a current or future distribution customer of a participating electric utility company that pays into the System Benefits Charge.
- The project identified in the proposal reflects multifamily occupancy as the primary use. The project may contain non-residential space; however, the non-residential space must consist of less than 50% of the occupiable square footage of the entire project.
- The project must demonstrate it aligns with a Project Status listed in Section II of this RFP.
- The project meets the minimum source energy savings<sup>1</sup> requirements as detailed in Section II of this RFP.

Following the initial review, proposals to the Competition will be evaluated based on their overall response and specifically based on the Categories and Category Descriptions as detailed in the Scoring Criteria table. Evaluation and scoring of each proposal will ultimately be determined in comparison with and relative to the other proposals submitted to the Competition.



### SCORING CRITERIA

<b>Category</b>	<b>Category Description</b>	<b>Points</b>
Building(s) Energy Efficiency and Performance	Predicted building energy efficiency and performance <sup>1</sup> , with points only awarded for performance improvement above the minimum threshold. Modeled energy performance must first be calculated without the inclusion of any renewable or distributed energy generation to confirm the energy efficiency performance, and then again calculated after renewable or distributed energy generation has been included in the energy model. Both energy efficiency and comprehensive energy performance will be compared against other proposers.	15
Low Carbon and Renewable Energy	Strategies to achieve low-carbon emissions per occupant, including but not limited to densification, electrification, low-carbon fuels, on-site electric vehicle charging, transit-oriented development, and renewable energy systems, either on-site or through a durable contractual relationship between the project's owner(s) and the generation systems' owner(s).	20
Advanced Clean Energy Technologies	Proposed use of advanced clean energy technologies, including but not limited to high-performance building envelopes, advanced space conditioning and domestic hot water systems, energy recovery ventilation systems, smart building technologies or advanced controls systems, tenant metering or submetering, demand response, energy storage systems, or other innovative solutions.	15
Replicability, Transparency, and Marketing	Replicability is considered based on ease of construction, construction cost savings, lower operation and maintenance costs, economic viability for the market served, including financing structure, incorporating savings into the cost structure, integrated project delivery, or other factors that would make the project an economically viable model for future projects. Replicability must also demonstrate how the resulting building will provide an enhanced living environment. Transparency is also a consideration as demonstrated by a plan to share with NYSERDA and/or to share with the public any information beyond the minimum required by NYSERDA, including but not limited to design and construction details, granular data on energy use, financial information, and lessons learned. Marketing considerations are demonstrated by a plan to validate performance above the prescribed threshold and an advertising plan to showcase and promote the project's low-energy and low-carbon emissions strategies to the market served and/or to a broader audience.	20
Climate Change Resilience and Passive Survivability	Strategies that increase the resilience of the building and its occupants to future climate change will be considered under this category. Examples include, but are not limited to, raising critical system components above flood level; creating areas of refuge within the building for occupants to shelter in place during heat events, power outages, or flooding; ensuring adequate passive survivability (i.e., the building will maintain safe thermal conditions in the event of an extended power outage or loss of heating fuel, or backup power will satisfy critical loads); or other resilience-enhancing strategies. The benefits of on-site low-carbon, renewable, and advanced clean energy strategies designed to be climate resilient for the lifespan of the strategy or system will be additionally considered under this category. For buildings at risk of current or future flooding, flood-mitigation measures require raising critical system components above the 500-year flood elevation to be considered under this category.	15
Quality of Building Characteristics and Design	Sustainability, durability; occupant comfort, health, and safety; architectural and urban design quality.	15
Bonus Category	Available to projects located in a Clean Energy Community; or in a NYS DEC potential environmental justice area; or in a jurisdiction that has committed to adopting NYStretch Energy Code 2019; or for projects committed to having a majority of low- to moderate-income (LMI) households based on household income of no more than 80% of the State or Area Median Income (whichever is greater); or for projects that meet the gut rehabilitation criteria as detailed in the Eligibility Section II.b. of this RFP.	5 points for any category, up to 15 points maximum.

## **Program Policy Factors**

NYSERDA reserves the right to accept or reject proposals based on the following program policy factors:

- Diversity of building typology, geography, proposed solutions, or other critical elements.
- Geographic, demographic, economic, or population distribution or diversity.
- Contractual commitment to low- to moderate-income (LMI) occupancy, post-completion.

## **VI. Selected Projects, Subsequent Submissions, and Required Updates**

Selected proposers are required to execute an agreement (see Attachment B – Sample Agreement) with NYSERDA and deliver completed projects that meet the requirements detailed in this solicitation. The project deliverables and associated payments will be as detailed in this solicitation and the agreement executed between the selected proposer and NYSERDA.

At any point during the design or construction process, NYSERDA must be notified and provided associated details if significant deviation from the original proposal is expected, including whether the project is expected to fall short of the building performance and related goals as detailed in the original proposal, including the proposer's commitment to achieving the source energy savings in their original proposal to NYSERDA. Projects selected through this Competition must ensure that the cumulative changes during design or construction won't increase the predicted source energy use or carbon emissions in comparison to the project as originally submitted. Continuation of any project that deviates from the original proposal will be subject to NYSERDA's discretion. NYSERDA reserves the right to terminate any project should it fall below the originally committed source energy savings, regardless of whether the revised energy savings are above the 20% source energy savings minimum.

Additionally, the following submissions and updates are required:

Immediately following selection and award:

- One-page summary of major changes from initial proposal
- Schedule of construction

At receipt of building permit or at completion of design of modifications for projects already in construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form
- One-page summary of major changes from initial proposal
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal
- Copy of valid building permit, including all aspects of design
- Updated schedule of construction

At 50% completion of construction:

- Updates to original proposal descriptions and related documents, including Attachment A– Data Collection Form
- One-page summary of major changes from initial proposal
- One- to two-page discussion of any reduction in projected performance in comparison to the initial proposal
- Updated schedule of construction

Following completion of construction:

- Copy of Certificate of Occupancy (C of O) or Temporary C of O for newly constructed projects, or documentation that confirms completion of construction for projects proposing to the post-completion Project Status
- Any updates to original proposal descriptions and related documents, including Attachment A–Data Collection Form, to reflect any changes not yet documented to NYSERDA
- As-built drawings and as-built energy models
- Construction photos, suitable for presentation (minimum of 5)
- Photographs of final project, suitable for presentation (minimum of 5)

- One- to two-page discussion of any reduction in projected performance from initial submission,
- One-page summary of lessons learned

After year one and year two of building occupancy:

- Document the energy data and related information:
  - Energy use following one year and again following two years of building occupancy, reflecting all energy used or produced on site, with energy use provided upon request for up to sixty months following building occupancy
  - Whole building benchmarking through use of the EPA Portfolio Manager
  - Additional data or updates to the original proposal to the Competition, including Attachment A–Data Collection Form, to reflect the as-built condition of the project
  - Comparison between actual and predicted energy data
  - One-page narrative discussing why project did or did not achieve predicted performance
- One-page summary of lessons learned

## VII. Schedule of Payments

	Milestone	% of Total Award
1	At Approval of Building Permit	15% to developer
		10% to design team lead
2	At 50% Completion of Construction	25% to developer
3	At Completion of Construction	35% to developer
		5% to design team lead
4	One and Two Years after Occupancy	10% to developer after second submission, with two years of occupancy and energy use data.

NYSERDA anticipates executing two separate agreements associated with each selected proposal, one each with the developer and the design team lead. NYSERDA reserves the right to negotiate the amount or schedule of payments for a selected project. At its sole discretion, NYSERDA may reduce or withhold payments for a project that falls short of the proposed level of performance, or that has not met this solicitation’s minimum submission requirements.

## VIII. NYSERDA Responsibilities

NYSERDA provides funding and support to projects in accordance with the Competition, as detailed in this solicitation.

## IX. GENERAL CONDITIONS

**Proprietary Information:** Careful consideration should be given before confidential information is submitted to NYSERDA as part of the proposal. Review should include whether the information is critical for evaluation and whether general, non-confidential information, would suffice for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure of records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which, if disclosed, would cause substantial injury to the competitive position of the subject

enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary and confidential trade secret information should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to excluding it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in [21 NYCRR Part 501](#). However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

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

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

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

**State Finance Law sections 139-j and 139-k:** NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found on the [Office of General Services' website](#). Proposers are required to answer questions during proposal submission, make required certification under the State Finance Law, and disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a:** NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor with a monetary value in excess of \$100,000, prior to entering an agreement with NYSERDA, to certify to the Department of Taxation and Finance (DTF) whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the DTF to collect New York State and local sales and compensating use taxes. The DTF has created [ST-220-TD](#) to allow a prospective contractor to readily make such certification. Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA that such certification with the DTF has been filed. The DTF has created a second form, [ST-220-CA](#), that must be completed by a prospective contractor and filed with NYSERDA, prior to contracting. [Guidance for contractors](#) can found on the [DTF's website](#).

**Contract Award:** NYSERDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion, or following negotiations pertaining to the statement of work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA uses the sample agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Attachment B–Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions generally results in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 12 weeks from the proposal due date whether the proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements:** If awardees from this solicitation post anything on the web, or if the awardee produces a final report that NYSERDA posts to the web, the following language must be included. NYSERDA

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

**Limitation:** This solicitation does not commit NYSEKDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEKDA 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 NYSEKDA's best interest. NYSEKDA 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. NYSEKDA 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 NYSEKDA after the award of a contract, NYSEKDA may exercise its stop-work right pending further investigation or terminate the agreement. The contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**X. Attachments:**

Attachment A–Data Collection Form Rd2  
Attachment B–Sample Agreement Rd2

Clean Energy Standard Support Systems Request for Proposals

Request for Proposal (RFP) 4146

Proposals Due: Thursday November 14th, 2019 by 3:00 p.m. Eastern Time\*

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals to design, build and administer a software system to support future land-based renewable procurement activities toward the achievement of New York's nation-leading clean energy goals. NYSERDA may in the future request that the successful proposer respond to a request by NYSERDA to modify the system to accommodate NYSERDA's offshore wind procurement activities.

Governor Cuomo's Green New Deal is the most aggressive climate change program in the nation and puts the state on a path to being entirely carbon-neutral across all sectors of the economy, including power generation, transportation, buildings, industry and agriculture. The Governor's program also establishes a goal to achieve a zero-carbon emissions electricity sector by 2040, faster than any state in the nation. The recently [passed Climate Leadership and Community Protection Act \(CLCPA\)](#) mandates several of the Governor's ambitious Green New Deal clean energy targets: installing nine gigawatts of offshore wind by 2035; six gigawatts of distributed solar by 2025 and three gigawatts of energy storage by 2030. The CLCPA also calls for an orderly and just transition to clean energy, creating jobs while spurring a green economy.

Orders issued by the New York Public Service Commission (PSC) under New York's [Clean Energy Standard \(CES\) proceeding](#) authorize NYSERDA, as central procurement administrator of the Renewable Energy Standard (RES) program, to offer long term contracts from eligible large-scale renewable (LSR) land-based generators for the purchase of Tier 1-eligible Renewable Energy Certificates (RECs). Pursuant to the Orders, NYSERDA issues competitive solicitations at least annually with an objective to award contracts for the Tier 1 RECs created by these resources. Under RES solicitations issued in 2017 and 2018 New York made a [\\$2.9 billion investment in 46 land based](#) renewable projects across the state over the past two years alone.

An Order under New York's [Offshore Wind proceeding](#) authorized NYSERDA to implement Phase 1 of an offshore wind procurement program, which consists of procuring offshore wind renewable energy certificates (ORECs). In 2019, Governor Cuomo also [announced](#) the winners of New York's first comprehensive offshore wind solicitation – the Empire Wind and Sunrise Wind projects – totaling nearly 1,700 megawatts. As the single largest renewable energy procurement made by any state in U.S. history, these two projects are expected to produce enough offshore wind energy to power more than one million homes and support more than 1,600 jobs with a combined economic activity of \$3.2 billion statewide, helping to jump start progress towards New York's unprecedented offshore wind goal.

### Proposal Submission

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

named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if electronic submission is not possible. For detailed instructions on how to submit a proposal, click the link "[NYSERDA Solicitation User Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website and located [here](#).

No communication intended to influence this procurement is permitted except by contacting the Designated Contact Marci Brunner at (518) 862-1090, ext. 3415 or [res@nyserda.ny.gov](mailto:res@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or [NancySolicitations@nyserda.ny.gov](mailto:NancySolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3pm Eastern Standard Time on the proposal due date noted on page 1. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note that for electronic submission, there are required questions that must be answered in addition to uploading all required attachments. It is recommended that proposers allot at least 60 minutes to enter and submit proposals via electronic submission. The electronic proposal system closes promptly at 3pm, files in process or attempted edits or submission after 3pm Eastern Time on the proposal due date, will not be accepted. If changes are made to this solicitation, notification will be posted on [NYSERDA's web site](#).

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## **I. Introduction**

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals to design, build and administer a software system to support future land-based renewable procurement activities toward the achievement of New York's nation-leading clean energy goals. NYSERDA may in the future request that the successful proposer respond to a request by NYSERDA to modify the system to accommodate additional competitive clean energy activities, including but not limited to NYSERDA's offshore wind procurement activities.

Orders issued by the New York Public Service Commission (PSC) under New York's [Clean Energy Standard proceeding](#) authorize NYSERDA, as central procurement administrator of the Renewable Energy Standard (RES) program, to offer long term contracts from eligible large-scale renewable (LSR) land-based generators for the purchase of Tier 1-eligible renewable energy certificates (RECs). Pursuant to the Orders, NYSERDA issues competitive solicitations at least annually with an objective to award contracts for the Tier 1 RECs created by these resources.

The [Offshore Wind Standard Order](#) authorized NYSERDA to implement Phase 1 of an offshore wind procurement program, which consists of procuring Offshore Wind Renewable Energy Certificates (ORECs) associated with approximately 800 megawatts of offshore wind in the form of long-term contracts. NYSERDA's initial offshore wind solicitation resulted in the award of almost 1,700 megawatts of offshore wind, with further procurements expected after additional authorization from the PSC is issued.

The objective of this RFP is to award a contract to an entity with proven capabilities for a solution to address, initially, NYSERDA's ongoing land-based activities in a manner that provides a cost effective, secure and accessible solution with common web-based data and process management platforms to multiple stakeholders, including program administration staff, Proposers/Sellers, external contractors and external independent evaluators. NYSERDA may modify features and/or add additional requirements to accommodate changes to future procurements, including but not limited to offshore wind, which would need to be supported by the system selected through this RFP. NYSERDA anticipates that such request would be in written form and would require a separate statement of work and budget.

Additional information about NYSERDA's renewable energy solicitations can be found on NYSERDA's websites:

[Clean Energy Standard](#)

[Offshore Wind](#)

## **II. Program Requirements**

### **A. Initial Scope of Services to be Provided**

NYSERDA seeks to procure a procurement management platform that will enable the selection and award of LSR projects, using a software system or package that can be accessed by NYSERDA and external stakeholders including participating renewable energy project developers and other reviewers such as independent evaluators and specialist reviewers. This solicitation seeks a system or package that can:

## Overall Management

- Provide comprehensive management of the proposals process serving as a permanent record of each solicitation for NYSERDA for up to 200 potential proposals per solicitation.<sup>1</sup> The solution must accommodate NYSERDA's multi-step intake process and evaluation methodology of both price and multiple non-price factors. Procurement information needs to be date-stamped when posted, and all RFP documents and data should be available to proposers at any time. Proposers must have access to the same information at the same time, and the system must maintain comprehensive records of all website activity.
- Support evolving requirements as they adapt to PSC Orders and Implementation Plans and accommodate other changes to the program initiated by NYSERDA or the New York State Public Service Commission<sup>2</sup>, including any programmatic changes resulting from the open comment issued in a response to a petition filed by the American Wind Energy Association and the Alliance for Clean Energy New York regarding an indexed renewable energy credit procurement mechanism.<sup>3</sup>
- Accommodate up to 200 proposers working in the system and submitting at the same time, around a specific deadline.
- Include the ability to launch multiple solicitations concurrently in a single calendar year.
- Include the ability to support NYSERDA's administration of a proposal as it moves through NYSERDA's qualification, selection and approval processes.
- Require minimal customization beyond standard software functionality.
- Provide NYSERDA with the ability to re-use applicable pieces of previous solicitation designs & workflow processes, rather than rebuild each solicitation.
- Collect both required and alternate proposals including variations on project technical configuration (e.g. transmission, interconnection points), including the ability for proposers to clone an original to create an editable alternate proposal.
- Capture different or multiple financial structures, for example, capture and calculate Fixed and Index pricing in tandem with NYSERDA approved models.

## Communication/Record Keeping

- Provide complete and comprehensive record of all solicitation activities and communications associated with the system.
  - Provide a date-stamped record of communication between NYSERDA and Applicants throughout the RFP process.
  - Provide a date-stamped record of all data entered and documents uploaded by proposers.
  - Integrate communication between project contacts and NYSERDA staff, including recording project information, project specific-communications, and financial transactions.
- Allow proposers to submit questions anonymously and allow NYSERDA to publicly post responses and announce information to the general public and proposers.

## Security

- Provide a secure and confidential method for information exchange between NYSERDA and proposers, ensuring complete security for confidential documents and data to be uploaded by proposers and anonymity for proposers to the public and other proposers.
- Serve as a record of communications between NYSERDA and proposers.
- Provide a secure platform for proposers to directly upload documents of up to 100 MB, bypassing the need to transmit data over unsecured email services or other shared databases.
- Restrict the access of each Proposer to their own proposal(s) and materials.

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<sup>1</sup> The 2017 and 2018 land-based solicitations each received approximately 90 applications.

<sup>2</sup> Index REC proceeding: [Proceeding Related to Index Pricing](#)

<sup>3</sup> <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

- Provide NYSERDA, external consultants, DPS and the Technical Evaluation Panel/Scoring Committee members access to all proposals or proposals eligible for evaluation.

#### Features

- Maximize the proposers' use of standard data inputs and field types to reduce input error and allow NYSERDA staff to focus on the review and analysis of submissions.
- Organize completed submissions and make them available in a timely manner for NYSERDA staff review, analysis, extraction and reporting.
- As part of the multi-step application process, allow proposers to upload, securely and efficiently, supplemental documents to the existing record in an organized manner consistent with the solicitation steps.
- Date stamp, version, and easily organize documents/communications by category or other method as specified by NYSERDA.
- Accommodate calculations within the Application or Bid Proposal based on data inputs from proposers (for example, Bid Quantity calculations based on Nameplate Capacity, Net Capacity Factors, etc).

#### Customer Service

- Inform and assist users on technical issues, procedures and changes to the system or work processes and implement, operate, and maintains such change and improvements as approved by NYSERDA.
- Provide training materials and step-by-step guides for internal and external users.

#### Reporting

- Provide robust, accessible, and accurate reporting capabilities with the ability to track changes to data values and uploaded documents submitted by external users.
- Standard data inputs must be available to NYSERDA staff in order to create reports/database output(s) that easily feed NYSERDA's Award Models (which are used for evaluation purposes) and other evaluation tools. These outputs must be readily customizable to support evaluation models or evaluation needs.
- Once a proposal is awarded, ability to populate a standard pro-forma agreement with individual project values taken from Bid Proposal data fields and internal data fields editable by NYSERDA only. Ability for LSR Staff to securely and confidentially distribute these agreements to specific awardees to start the contracting process.
- Produce standardized and ad-hoc reports capturing Program analytics, including processing times by Program Implementation Contractors, performance of Participating Developers, budget tracking, and metrics regarding projects in progress. The ideal system will allow Program staff to easily retrieve, manipulate, and analyze data.
- In addition to tracking program data within the software, NYSERDA also requires data sharing via Application Program Interface (API) or other mechanism with other Program systems, including but not limited to:
  - [New York State Generation Attribute Tracking System](#) (NYGATS)
  - NYSERDA's Salesforce platform
  - NYSERDA's Peoplesoft (NEIS)
  - NYSERDA's SQL Server based data warehouse

## **B. Project Types**

The following reflect current RES program descriptions (as of October 2019) and eligibility thresholds for participation and are subject to modification as New York's renewable energy policies and programs evolve under the CLCPA and are provided as an indicative basis of program functionality.

To participate in a RES procurement, each Bid Facility must possess a determination from NYSERDA that it is a Tier 1 RES eligible resource technology type qualifying under Appendix A of the Order Adopting the Clean Energy Standard. Pursuant to the Order, an eligible Bid Facility must also: (1) be located within the New York Control Area or in an adjacent control area and supply energy into New York State, in accordance with the RES Delivery Requirements in this RFP, and (2) have first commenced Commercial Operation on January 1, 2015.

The proposal must reflect pricing to support a potential programmatic change resulting from the open comment period regarding a petition filed by the American Wind Energy Association and the Alliance for Clean Energy New York regarding an indexed renewable energy credit procurement mechanism.<sup>4</sup>

It is expected that new requirements will be introduced over time to support initiatives. The software solution must be able to support new processes and workflow steps, track projects by initiative and multiple source types in a flexible and timely manner, with minimal disruptions to program processing.

### **C. Technical Requirements**

- Software must support a responsive, online browser-based application form that can be started, returned to after saving, and submitted with a computer or tablet.
- Systems should have the capability to exchange data between their proposed Software Platform and the platforms identified in the RFP already in use by NYSERDA.
- The program management software system must meet NYS Information Security Policy NYS-P03-002. The NYS Information Security policy details are available [here](#).
- The program management software system must meet NYS-PO8-005 Accessibility of Web-Based Information and Applications Compliance Reporting. Any network-based information and applications applications development, or programming delivered to or by the State pursuant to this contract or procurement, will comply with Section 508 of the Rehabilitation Act of 1973, as amended, and be consistent with New York State Enterprise IT Policy NYS-P08-005, Accessibility of Information Communication Technology, as such policy may be amended, modified or superseded (the “Accessibility Policy”).<sup>5</sup> The Accessibility Policy requires that State Entity Information Communication Technology shall be accessible to persons with disabilities as determined by accessibility compliance testing. Such accessibility compliance testing will be conducted by NYSERDA and any report on the results of such testing must be satisfactory to NYSERDA.
- The program management software system must meet NYS policy NYS-S15-002 Enterprise Vulnerability Scanning, details are available [here](#).

### **D. NYSERDA’s Roles and Responsibilities**

The major responsibilities of NYSERDA are to:

- Identify a NYSERDA primary point of contact to provide details and support as needed to the selected software vendor.
- Provide detailed instructions about workflow processes and reporting requirements that need to be supported by the software.
- Provide requirements for interfacing with other NYSERDA systems.
- Provide review and testing of deliverables in a timely manner.

NYSERDA reserves the right to:

- Incorporate programmatic changes as needed, thus modifying or adding features to the selected system.
- Add other project types and processes within NYSERDA’s large-scale renewable portfolio to be supported by the selected system, should the need arise due to programmatic changes. Such changes would be the subject of a contract modification.
- Request modifications or enhancements to the system to meet NYSERDA’s needs and negotiate the budget for features out of scope should the need arise. The evolving nature of the large-scale renewable

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<sup>4</sup> <http://documents.dps.ny.gov/public/MatterManagement/CaseMaster.aspx?MatterCaseNo=15-e-0302>

<sup>5</sup> NYS Accessibility Requirement details are available at: [https://its.ny.gov/sites/default/files/documents/nys-p08-005\\_accessibility\\_of\\_information\\_communication\\_technology\\_0.pdf](https://its.ny.gov/sites/default/files/documents/nys-p08-005_accessibility_of_information_communication_technology_0.pdf)

procurements is the primary driver behind the need for a flexible system that minimizes the need for heavy customization.

## **E. Minimum Qualifications**

Proposals must demonstrate that the proposed software solution can meet the following minimum qualifications:

- Hosted on a secure, web-based platform with role-based access permissions that can be customized for various Program Participants.
- Uses efficient, flexible processes to control and administer multiple levels of system access, including a method for defining roles-based authorization (permissions) for all system components.
- Built around commercial, off-the-shelf functionality that meets all, or most of the requirements explained in this RFP.
- Capable of storing a high volume of large documents and providing access to all submitted data and files submitted by program participants.
- Capable of transferring all data documents to NYSERDA upon contract completion.
- Have flexible and easy-to-use data analysis capabilities and flexible architecture capable of handling additional data fields and functionality that might be added later due to statutory or regulatory standards and/or market requirements.
- Ability to share data across multiple Program systems
- Create a permanent user acceptance testing (UAT) environment to validate implementation or system changes and to provide an environment to resolve data issues, including changes to data field types and data values including wireframes which are critical for NYSERDA staff to visualize and ensure accuracy and functionality. (See Attachment B for reference examples).

Proposers must meet the following minimum qualifications:

- Demonstrated experience working with organizations or on platforms supporting energy and/or REC procuring entities, preferably similar to NYSERDA (e.g. central energy procurement agencies, utilities, purchasers of renewable energy and/or renewable energy certificates/credits/environmental attributes) or programs similar to those run by NYSERDA's Large-Scale Renewable program.
- Ability to collaborate with NYSERDA to drive continuous process improvements and cost reductions over time.
- Ability to customize the customer-facing interface with NYSERDA marketing materials (e.g. logo, color palette).
- Employ staff or partner with subcontractors who hold expertise in and an understanding of the large-scale renewable marketplace.
- Experience building, deploying and maintaining a software platform that successfully supports/supported an Energy, Renewable Energy Credit/Certificate, or bundled (Energy + Renewable Energy Credit) procurement/solicitation from creation through award notification (provide at least three references).

## **F. Contract Term**

The awarded contract will be issued for an initial term of five (5) years, with an opportunity for extensions of up to five (5) additional years based on mutual agreement. The Contractor, if not renewed to continue administering and operating beyond the initial five (5) year term or if the contract is terminated, shall provide an approach and method for transferring operation and maintenance to NYSERDA or another Contractor. Any fees or payments to Contractor or to any third party for single or recurring licenses necessary to the operation shall be identified.

### **III. Proposal Requirements**

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The proposal must be in the following format:

- Introduction and General Information
- Description of Product and System Capabilities including implementation plan
- Data exchange capabilities, options and plan for communication protocols between systems
- Statement of Work (See Exhibit A of Attachment C – Sample Agreement)
- Management Plan/Schedule
- Project Personnel
- Budget/Rates (See Attachment A)
- Examples of Similar Work including, but not limited to, links to demonstration videos of products

#### **Introduction and General Information (Up to 3 pages plus financial reports)**

Proposers must include the following information in their response:

- Firm or organization name, address, telephone and fax number, e-mail address, website URL (if applicable), and primary contact person
- Year firm or organization was established
- Name and address of firm or organization's parent company (if applicable)

Proposer must include any information related to license agreements and terms of use for their software.

#### **Description of Product and System Capabilities (Up to 10 pages)**

Proposers should provide detailed information about their product(s) and services about how it meets each of the requirements listed in this RFP. Proposers should clearly articulate their execution strategy, including processes to write system specifications based on NYSERDA's needs, software configuration and/or software development processes, training/delivery of the product, and ongoing support to NYSERDA.

Proposers should clearly articulate how their product meets each of NYSERDA's needs and articulate which of NYSERDA's specified needs, if any, can be met with the basic "off-the-shelf" software offerings and which needs would require additional configuration and development. NYSERDA encourages proposers to describe other features of their software that are benefits beyond the minimum requirements of this RFP. The proposers should clearly articulate if these additional features are part of a core package or if the features are optional, whether they have off-the-shelf capability or require configuration or development, and what, if any, additional fees are applicable.

#### **Data exchange capabilities, options, and plan between systems (Up to 2 pages)**

Proposers should detail capabilities and options to exchange data between their proposed Software Platform and the platforms identified in the RFP already in use by NYSERDA.

#### **Statement of Work (Up to 6 pages)**

Proposers should clearly articulate their execution strategy consistent with the requested tasks and deliverables outlined. Details around the approach, methodology, and rationale for the proposed execution strategy should be included in a similar format as presented in Exhibit A of Attachment C.

#### **Management Plan/Schedule (Up to 2 pages)**

Proposers should describe their approach to software set-up, configuration, or development. Proposals must include an estimated timeline (in weeks) of delivery of the initial product for NYSERDA's needs, based on the proper's understanding of the requirements of this RFP.

**Project Personnel (Up to 4 pages)**

The proposer should describe the experience, qualifications (skills and abilities), and proposed responsibilities of each of the key persons to be utilized in the execution of the statement of work, including subcontractor personnel. An organization chart showing the relationships among all personnel should also be included. State the individual and combined expertise that would enable successful execution of the Statement of Work. The proposer should highlight the abilities of the primary contact, who will be responsible for communications with NYSERDA, development of work specifications, and oversight of product delivery. This description of the primary contact’s expertise should provide assurance of successful execution of the Statement of Work.

**Rates (Attachment A and up to 1 page of written details)**

The proposers selected under this solicitation will be awarded a contract for an initial five-year term, with the potential for a single or multiple contract extension for up to a total of five additional years based on performance and NYSERDA’s needs (10 year). Please provide rates for services to be provided for a five-year contract period. Any anticipated year over year price changes for the duration of the agreement with NYSERDA must be identified. Proposers should clearly articulate the cost structure of their products and services, such as: initial configuration or development work; project management fees, annual or monthly service fees, annual or monthly licensing fees, ongoing maintenance/development fees. As NYSERDA is anticipated to run multiple solicitations, some concurrently, include this consideration in the fee structure.

Proposers should complete the Attachment A - Budget form to clearly indicate hourly salary rate range for each title classification proposed under the agreement with NYSERDA. Proposers are also offered the opportunity to convey an alternative staffing / pricing model based upon their understanding of this RFP. Preference will be given to proposers that can demonstrate the lowest “all in” cost to NYSERDA while providing the highest quality product.

**Examples of Similar Work (Up to 4 pages)**

Proposers should describe their experience supporting similar projects or programs with the proposed software product. For each example, an abbreviated scope of product/services and budget must be included to demonstrate the similarity, execution strategy, and cost-effectiveness of previous work. Proposers should indicate personnel involved and their level of responsibility for each example provided.

Proposers can include website links, videos and/or pictures that help to demonstrate their product. At least three (3) references that address the proposer’s experience and performance in providing products and services comparable to those being requested in this RFP should also be included. Please include client contact information for each reference.

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

**IV. Proposal Evaluation**

**All proposals must be received by 3pm Eastern Standard Time on November 14th, 2019** as noted on the first page of this solicitation. Late, faxed, or emailed proposals will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note for electronic submission, there are required questions that you must answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The electronic proposal system closes promptly at 3pm, files in process or attempted edits or submission after 3pm Eastern Standard Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on



NYSERDA's [website](#). All proposals submitted as part of the solicitation process become the property of NYSEERDA.

Respondents must address all product needs described in the RFP, which will serve as a basis for evaluation.

For detailed instructions on how to submit a proposal, click the link "[NYSERDA Solicitation User Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSEERDA's [website](#).

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSEERDA's discretion, proposers may be requested to interview or provide a demonstration with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. NYSEERDA may request demonstrations with any Proposer, to be scheduled at a mutually convenient time. Proposers will be notified if they are requested to attend an interview or provide a demonstration

Proposals that meet RFP requirements will be evaluated based **only** on the information submitted. Only proposals for products that meet the requirements in the RFP will be evaluated. NYSEERDA reserves the right to request clarification on the information submitted within the proposals. A Scoring Committee will review and assign scores based on the criteria detailed below. Final rankings and contract award(s) will be based on the following criteria:

- 1. System Capabilities:** Does the product meet the product requirements stated in this RFP? Does the Proposer demonstrate flexibility in the product to respond to NYSEERDA's evolving needs? Is the security protocol acceptable? Are the analytical/reporting systems clearly explained and do they meet NYSEERDA's needs?
- 2. Relevant Experience:** Did the Proposer adequately demonstrate experience working with similar energy origination/procurement organizations or programs? How comparable were the examples to the services requested in this RFP? Do the references provided align with the proposer's stated skills and experience?
- 3. Execution:** Is the proposed execution of the Statement of Work thorough and consistent with the RFP's stated objectives? Is it evident that the Proposer demonstrates appropriate understanding and expertise to fulfill the requested tasks? Is there clear evidence that the Proposer possesses the capacity to implement, coordinate and monitor the tasks assigned? Has the software configuration or development approach been clearly defined? Is a schedule for delivery clearly defined? Can the product be delivered in a timely manner? Has the Proposer demonstrated the ability to implement continuous system improvements to improve service and drive down costs over time?
- 4. Cost:** How cost effective is the proposal? Is the Budget example responsive, comprehensive, and clear? Does the proposal clearly break out the various cost elements, such as configuration fees, development fees, monthly license or service fees, ongoing maintenance, etc.? Are billing rates reasonable and appropriate? Are a sufficient number of staff with appropriate skills assigned to the tasks?
- 5. Responsiveness:** Has the Proposer demonstrated a clear understanding of the objectives, scope of services, and requirements of the RFP? Does the proposal exhibit responsiveness, experience, and ability to provide the product and services cost-effectively and in a timely manner? Does the Proposer demonstrate operational excellence, industry experience and expertise, and adaptability?
- 6. Staffing:** Is the staffing plan and schedule clear and well-defined? Do key personnel have sufficient qualifications as it relates to computer skills, data management, and customer service? Was an organizational chart included?



The award selection will be comprised of a multi-step process including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, and considerations such as program policy factors to make the final selection decision. NYSERDA may consider the following program policy factors in making award selection decisions:

- The degree to which the proposed product meets NYSERDA's needs, as explained in the RFP, with minimal additional development work needed.
- The degree to which there are technical, market or organizational risks associated with the project.
- Prior experience working with the proposer and/or software solution.

Contract negotiations may include the proposer's fee schedules to ensure work is accomplished at fair and reasonable rates. NYSERDA reserves the right to negotiate among finalists to assure services, and to assure access to specific expertise.

## V. General Conditions

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

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

Information on the availability of New York subcontractors and suppliers is available from:  
Empire State Development Division for Small Business 625 Broadway Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:  
Empire State Development Minority and Women's Business Development Division 625 Broadway Albany, NY 12207

**New York Executive Law Article 15-A** - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Attachment C - Sample Agreement.

**New York State Executive Law Article 17-B**, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York

State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Attachment C - Sample Agreement.

**State Finance Law sections 139-j and 139-k** - 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 [here](#). Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - 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](#) 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](#). The Department has developed guidance for contractors which is available [here](#).

**Contract Award** - NYSEDA anticipates making one or more awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Attachment C - Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately (4) weeks from the (proposal due date) whether your (proposal) has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

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

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or

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

## **VI. Attachments**

Attachment A – Budget

Attachment B – Wire Frames for Reference Only for [RESRFP19-1](#)

Attachment C – NYSERDA Sample Agreement (includes Statement of Work as Exhibit A)



**REV Campus Challenge – Energy to Lead Competition 2020**  
Request for Proposal (RFP) 4188  
**\$5,000,000 Available**

**Proposals Due: February 20, 2020 by 3:00 PM Eastern Standard Time\***

Informational webinars will be held.

For schedule and registration visit [www.nyserda.ny.gov/rev-campus-challenge](http://www.nyserda.ny.gov/rev-campus-challenge)

*NYSDERDA reserves the right to extend and/or add funding to the Solicitation.*

In October 2015, Governor Cuomo announced the **Energy to Lead Competition** to challenge colleges and universities to develop innovative plans for clean energy projects. The competition is part of the Reforming the Energy Vision (REV) Campus Challenge which promotes clean energy efforts by recognizing and supporting colleges and universities in New York State (NYS) that implement clean energy projects and principles on campus, in the classroom, and in surrounding communities. Additional information about Rounds 1 and 2 of the Energy to Lead Competition can be viewed here: <https://www.nyserda.ny.gov/All-Programs/Programs/REV-Campus-Challenge/Program-Opportunities/Past-Opportunities>.

**The REV Campus Challenge is issuing a third round of the Energy to Lead Competition to challenge higher education institutions across NYS to develop and implement impactful clean energy projects that significantly reduce energy use resulting in decarbonization on their campuses and local communities.**

NYSDERDA will award up to \$5 million, ranging from \$500,000 and \$1.5 million per award. Winning proposals will highlight cost-effective, **deep and impactful energy savings projects**.

In January 2019, Consolidated Edison (ConEd) announced a moratorium on new gas connections in most municipalities in Westchester County, effective March 15, 2019. In response to the moratorium, New York State is implementing a \$250 million Clean Energy Action Plan to provide options for affected Westchester businesses and residents to lower energy costs, promote economic development, and provide additional resources to raise awareness and support implementation of energy efficiency projects and clean heating and cooling alternatives. Additional information regarding the ConEd Westchester moratorium and the area impacted by the moratorium can be found here: <https://www.coned.com/en/save-money/convert-to-natural-gas/westchester-natural-gas-moratorium>.

To support the Clean Energy Action Plan and further campus decarbonization, projects within any declared gas moratorium or gas constrained area and/or any projects that **reduce dependence on gas supplies** will be awarded additional points during proposal evaluation. Such projects may include natural gas efficiency and conservation tactics, implementation of clean heating and cooling, primary fuel switching to reduce carbon emissions, investigation of other non-pipeline alternatives, etc.

NYSDERDA will hold **informational webinars** to answer questions about this RFP. The webinar schedule and links to register are available at <http://www.nyserda.ny.gov/rev-campus-challenge>. A Frequently Asked Questions document will be added to this website following the webinar.

**Proposal Submission:** Electronic submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip).

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

**Questions:** No communication intended to influence this procurement is permitted except by contacting Lindsay Holle at (518) 862-1090, ext. 3051 or by e-mail [REVCampusChallenge@nyserda.ny.gov](mailto:REVCampusChallenge@nyserda.ny.gov) for technical questions. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

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

## I. Introduction

The Energy to Lead Competition is administered through the REV Campus Challenge, which is part of Governor Cuomo's REV strategy to build a clean, resilient, and affordable energy system for all New Yorkers. The REV Campus Challenge promotes clean energy efforts by recognizing and supporting colleges and universities in NYS that implement clean energy projects and principles on campus, in the classroom, and in surrounding communities. Previous Energy to Lead Competitions awarded a total of approximately \$6 million to six (6) higher education institutions in NYS. Additional information about past Energy to Lead Competitions, including the winning proposers, can be viewed here: <https://www.nyserda.ny.gov/All-Programs/Programs/REV-Campus-Challenge/Program-Opportunities/Past-Opportunities/Energy-to-Lead-Competition>.

The REV Campus Challenge is administering the 2020 Energy to Lead Competition, which will span the 2019-2020 academic year.

***Evaluation criteria for the 2020 Energy to Lead Competition differ from previous Competitions. Separate evaluation criteria and program requirements are laid out throughout this solicitation for the 2020 Competition. Proposers should carefully review this solicitation in its entirety, with special emphasis on Section IV: Proposal Evaluation, before submitting their proposal.***

NYSERDA will award up to \$5 million, ranging from \$500,000 and \$1.5 million per award. Winning proposals will highlight cost-effective, **deep and impactful energy savings projects** leading to decarbonization. Proposals will also integrate student engagement and share best practices with other campuses to encourage replication. Projects within gas moratorium areas and/or projects that **reduce dependence on natural gas supplies** will be awarded additional points during proposal evaluation.

Applicants are encouraged to consider a variety of approaches to planning, funding, and implementing energy projects while maximizing quantifiable energy and greenhouse gas reductions on campus. ***For the purposes of this solicitation, clean energy is inclusive of energy efficiency, energy conservation, and renewable energy.*** Projects involving natural gas reduction may include natural gas efficiency and conservation tactics, implementation of clean heating and cooling, primary fuel switching to reduce carbon emissions, investigation of other non-pipeline alternatives, etc.

## II. Program Requirements

The following requirements must be met for a proposal to be considered for funding.

- **Colleges and universities must be REV Campus Challenge members to apply.**
  - All two- and four-year higher education institutions in New York State can become REV Campus Challenge members. There are no fees, goals, or heavy administrative requirements associated with membership. Visit [www.nyserda.ny.gov/rev-campus-challenge](http://www.nyserda.ny.gov/rev-campus-challenge) to become a member.

### **Project Considerations**

The Energy to Lead Competition seeks projects that result in substantial and deep energy savings leading to decarbonization. Energy savings may be a product of the implementation of energy efficiency measures, energy conservation methods, or renewable energy systems, or a combination of one or more of these activities. Projects should incorporate student involvement and/or on-campus engagement to the extent possible. Projects should demonstrate clear potential for replicability on campus and/or at other campuses.

### **Other Project Considerations**

- Projects may be targeted (e.g. scope focuses on a single or limited number of buildings, systems, or pain points) or comprehensive (e.g. scope includes entire campus, all dormitories, or other



- holistic view) in nature.
- The project must include an investment on a NYS campus, but the project and its energy/GHG impacts do not necessarily need to be limited to the campus.
- Projects must utilize replicable and commercially viable products and solutions that have already been accepted by the market. Projects should **NOT** fund technology development and/or pilot demonstrations of unproven technologies.
- Projects must be ready to commence within the calendar year of award notification and in accordance with the implementation schedule provided by the proposer as part of Attachment A. If awarded funding, Proposers should expect at least four (4) months between proposal submission and contract execution.
- Projects must be performed on systems with a remaining useful life of **at least six (6) years**.
- **Ineligible projects** include:
  - Projects containing conversion to natural gas
  - Full system replacements to new fossil fuel-based systems
  - Measures with available investor owned utility incentives
  - Projects that have been installed prior to Program launch

Additional points will be awarded to proposals that:

- Are submitted by a campus with a location in an area affected by a natural gas moratorium prior to this solicitation due date;
- Have a direct impact on reducing natural gas consumption that results in reduction of GHG emissions within an area affected by a natural gas moratorium;
- Substantially reduce gas consumption in existing buildings (e.g. by reducing thermal load and/or demand, improving equipment efficiency), or propose alternatives to the use of gas in new or existing buildings (e.g. electrification of gas heating loads, substitution of gas with clean heating and cooling);
- Eliminate gas use from targeted buildings entirely (no gas backup system); and/or
- Include planning activities that result in an actionable plan to reduce long-term campus dependence on gas in addition to implementing measures that reduce gas consumption.

See Section IV: Proposal Evaluation for more information.

### **Optional Feedback Sessions**

Proposing institutions are invited, but not required, to present preliminary proposal concepts to NYSERDA staff. During the session, NYSERDA panelists will provide constructive feedback and raise critical questions to help proposers strengthen and increase the impact of their proposals. Feedback sessions will be held in-person at the State of New York Sustainability Conference in Rochester. Conference registration is not required to participate. Feedback sessions are open to all REV Campus Challenge members interested in submitting a proposal. Feedback session presentations and panelist feedback will NOT be considered by NYSERDA in final proposal evaluation. NYSERDA encourages inclusion of a student(s) in feedback session presentations.

For those interested, but unable to attend, NYSERDA will also host virtual group feedback sessions.

Registration information for in-person and virtual feedback sessions will be made available on the REV Campus Challenge website: [www.nyserda.ny.gov/rev-campus-challenge](http://www.nyserda.ny.gov/rev-campus-challenge)

### **Optional Collaboration**

Proposers may include external entities, including other colleges and universities, community organizations, government entities, third party consultants, service providers, and/or private entities as part of their Project Team. Letters of Support from any external Team Members are required as part of Attachment A.

### **Cost-sharing**

Cost-sharing is **NOT** required but may be viewed favorably in proposal evaluation as it improves project

economics and demonstrates enhanced institutional commitment to the success of the project.

If applicable, show the cost-sharing plan in the following format (expand the table as needed). Letters of Support for any third parties providing cost-sharing must be included as part of Attachment A.

	Cash*	In-Kind Contribution*	Total
Lead Institution	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

\*Cost-sharing can be from the Proposer, other team members, and/or other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials are considered 'cash' contributions. Unpaid labor, indirect labor, and/or other general overhead are considered 'in-kind' contributions. NYSERDA will not pay for efforts which have already be undertaken. The proposer cannot claim as cost-share any expenses that have already been incurred.

### **Other Considerations**

Work associated with the development and submittal of this proposal may **NOT** be included in the proposal budget. Any portion of the project commenced prior to the establishment of a fully executed contract with NYSERDA is **NOT** eligible for reimbursement.

Proposals that meet the Program and Proposal Requirements (Sections II and III) will be evaluated based on the degree to which the project meets the criteria outlined in Section IV: Proposal Evaluation.

Awardees will be expected to share project updates, best practices and lessons learned publicly (e.g. through participation in awards ceremonies and/or at least one (1) conference, development of case studies and other collateral, etc.) and are required to list such opportunities as part of Attachment A.

## **III. Proposal Requirements**

Proposals should effectively and concisely present the information needed to fully address the evaluation criteria (see Section IV: Proposal Evaluation). **Proposals MUST follow the proposal templates found in Attachments A and B.** Late proposals or proposals that grossly exceed word limits or fail to meet all requirements and format guidelines may be rejected as non-responsive. Each page of the proposal should state the name of the proposing institution in the header and the page number in the footer.

### **Project Statement of Work**

Complete the Project Statement of Work by following the instructions in Attachment A. This includes also completing Attachment B: Proposal Milestone Budget.

### **Procurement Lobbying Requirements – State Finance Law sections 139-j and 139-k**

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



## IV. Proposal Evaluation

Proposals will be reviewed by a Scoring Committee and will be scored and ranked according to the **Evaluation Criteria, listed below *in order of importance***. After proposals are reviewed, NYSERDA will issue a letter to each Proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA.

A negative response to any one of the following questions may eliminate the proposal from further consideration.

- Is the proposing institution a REV Campus Challenge member?
  - See Section II: Program Requirements for information on joining the REV Campus Challenge.
- Will the project result in direct and quantifiable energy savings in NYS?

### **Evaluation Criteria *in order of importance***

<p><b>Project Impact and Benefits</b></p>	<ul style="list-style-type: none"> <li>• Proposal provides clear energy reduction estimates in the required format (see Attachment A).</li> <li>• Supplied methodology is clear, well-defined, and reputable, supporting reasonability of estimates and likelihood of realization.</li> <li>• If realized, energy reductions are significant.</li> </ul>
<p><b>Project Replicability</b></p>	<ul style="list-style-type: none"> <li>• Project has the potential for wide-scale replication.</li> <li>• Proposal identifies performance indicators (project metrics, quantitative goals, and/or milestones) indicative of project success.</li> <li>• Proposal includes a clear, robust plan for measuring and tracking project performance, and adjusting course, to ensure project success (see Attachment A – Impact Tracking Strategy).</li> <li>• Proposal includes a thoughtful list of opportunities for sharing best practices and lessons learned.</li> </ul>
<p><b>Project Statement of Work (SOW)</b></p>	<ul style="list-style-type: none"> <li>• SOW has well-defined Tasks and Deliverables in the required format (see Attachment A).</li> <li>• Tasks cover all activities needed to complete the proposed project, including tracking and reporting of performance indicators, student engagement activities, and sharing of best practices and lessons learned.</li> <li>• Deliverables are commensurate with Task.</li> </ul>
<p><b>Fossil Fuel Reduction and Project Decarbonization</b></p>	<ul style="list-style-type: none"> <li>• Project is located in an area affected by a natural gas moratorium prior to this solicitation due date.</li> <li>• Project has a direct impact on reducing natural gas consumption within an area affected by a natural gas moratorium.</li> <li>• Project substantially reduces gas consumption in existing buildings (e.g. by reducing thermal load and/or demand, improving equipment efficiency), or proposes alternatives to the use of gas in new or existing buildings (e.g. electrification of gas heating loads, substitution of gas with clean heating and cooling).</li> <li>• Project eliminates gas use from targeted buildings entirely (no gas backup system).</li> <li>• Project includes planning activities that result in an actionable plan to reduce long-term campus dependence on gas in addition to implementing measures that reduce gas consumption.</li> </ul>

<p><b>Clarity of Budget</b></p>	<ul style="list-style-type: none"> <li>• Funding requested is between \$500,000 and \$1,500,000.</li> <li>• Tasks and Deliverables in budget match those established in the Statement of Work (Attachment A). Budget is broken down by Task, with each Deliverable having an assigned cost.</li> <li>• Ratio of requested funding to total energy and GHG emissions reductions is competitive.</li> <li>• If cost-sharing is included, it is clearly defined and documented in the format provided in Section II: Program Requirements.</li> </ul>
<p><b>Project Team and Stakeholder Commitment</b></p>	<ul style="list-style-type: none"> <li>• Project Team has the relevant and necessary background and experience to ensure project success.</li> <li>• Letters of Support are provided from critical internal and external stakeholders (see Attachment A).</li> <li>• Proposal includes a role for student participation and/or engagement.</li> </ul>

Program Policy Factors

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

In this Energy to Lead Competition year and previous years, the degree to which:

- There is diversity in geographic location of awardees
- There is diversity in electric utility of awardees
- There is diversity of project types, technologies, approaches, methods, and institutions
- The degree to which the projects, including proposed cost shares, optimizes the use of available funding to achieve programmatic objectives

**V. GENERAL CONDITIONS**

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

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

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**Contract Award** - NYSEDA anticipates making multiple awards under this solicitation. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSEDA expects to notify proposers in approximately 10-12 weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

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

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

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the

contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

## **VI. Attachments**

Attachment A – Statement of Work  
Attachment B – Proposal Milestone Budget  
Attachment C – Sample Agreement





ANDREW M. CUOMO  
Governor

NYSERDA

RICHARD L. KAUFFMAN  
Chair

ALICIA BARTON  
President and CEO

**Operations and Maintenance Support Services for the  
State Licensed Disposal Area and the  
Western New York Nuclear Services Center  
“Request for Proposal (RFP 4254)”**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: April 13, 2020 by 3:00 p.m. Eastern Time\*

The New York State Energy Research and Development Authority seeks proposals for providing the West Valley Site Management Program (WVSMP) with a broad range of operation and maintenance services at the Western New York Nuclear Service Center (WNYNSC) including expertise, equipment, and materials needed to conduct operations, maintenance, and emergency response support services at the State-Licensed Disposal Area (SDA), and on the undeveloped areas of the WNYNSC.

The success of this contract will be dependent on securing the services of a highly qualified, professional general maintenance company with experience in performing a variety of operational and maintenance tasks in a highly regulated environment to support activities at the SDA as well as to maintain the WNYNSC's Retained Premises and facilities.

The contract will be for one year with four annual options to renew. The contract is expected to start on or about July 22, 2020.

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable, and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide](#) [PDF]" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Christopher Andrzejewski, P.E. (primary and technical contact) at (716) 942-9600, ext.4319, or by e-mail at [ChrisRFP4254@nyserda.ny.gov](mailto:ChrisRFP4254@nyserda.ny.gov) or Andrea Mellon (secondary contact) at (716) 942-9600, ext.4054 or by e-mail [AndreaRFP4254@nyserda.ny.gov](mailto:AndreaRFP4254@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507, or [Venicesolicitations@nyserda.ny.gov](mailto:Venicesolicitations@nyserda.ny.gov). Contacting anyone other than these designated contacts (either directly by the proposer, or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a nonresponsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or e-mailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time; files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above will not be accepted. If changes are made to this solicitation, notification will be posted on

the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). .

## **I. Introduction**

The New York State Energy Research and Development Authority (NYSERDA) is seeking proposals for Operations and Maintenance Support Services for the West Valley Site Management Program (WVSMP) at their New York State-Licensed Disposal Area and the Western New York Nuclear Service Center (WNYNSC) near West Valley, New York.

The success of this task will be dependent on securing the services of a highly qualified, professional general maintenance company with experience in performing a variety of maintenance and operational tasks in a highly regulated environment. NYSERDA will convene a Scoring Committee, with representation by NYSERDA and outside experts in general maintenance to assist in the selection of this contractor.

## **II. Program Requirements**

### **A. Services Requested**

The attached Statement of Work (Attachment A) is being circulated to solicit bids from firms with general maintenance and construction expertise interested in performing the tasks defined by this RFP. Work under this contract is expected to begin July 22, 2020 and continue through July 22, 2025.

### **B. Range/Scope of Services to be Provided**

The specifics of the operations and maintenance services required under this task order are described in the attached Scope of Work. The activities covered under this Scope of Services, shall be performed in accordance with Attachment B, *Safety, Training, and Handling of Chemicals and Waste* and all other applicable plans and procedures listed in Attachment C, *Applicable Operations and Maintenance Plans and Procedures*. Attachment C includes the following:

- Geomembrane Cover System Inspection Procedure (OPS007)
- Vegetation Control Procedure (OPS009)
- WNYNSC Perimeter Fence Maintenance Procedure and Deer Hunting Procedure (OPS010)
- Snow Removal Procedure (OPS011)
- SDA Electrical System Inspection and Maintenance Procedure (OPS013)

Other Services that may be required include:

- On-Demand Maintenance and Support Services
- Emergency Response Services
- Large Construction Projects

The contractor shall place and manage subcontracts as needed to complete the activities included in each task order. The contractor will provide Hazardous Waste Operations (HAZWOPER) qualified workers (including subcontractors) as necessary to perform work. All other health and safety training required by the WVSMP (Radiation Worker I or II, General Employee Training, NYSERDA Site Specific) will be provided, but must be coordinated through the cognizant Project Manager.

### **C. Proposer Qualifications**

NYSERDA seeks proposal from firms with operations and maintenance expertise who have:

- Appropriate educational background, training, and experience of supervisory and/or project management staff.
- Appropriate educational background, training, certifications and experience of field staff.

- Quality, availability, and depth of the resources and support systems identified and necessary to perform maintenance and construction services in a timely manner.
- Soundness of the approach to provide the required services and equipment needed to provide required services.
- Breadth of prior and current experience in providing site maintenance and construction services appropriate to this solicitation.
- Ability to provide the necessary resources to conduct high quality work in a timely manner.

Relevant education and training would include degrees, training certificates, and other accredited education focused on, but not limited to, project management, general contracting, equipment use, and general maintenance, and/or property management. Relevant experience would include past general contracting and property maintenance including activities such as landscaping, snow removal, fence maintenance, and general building maintenance.

Resources necessary to provide the full breadth of services would include sufficient organizational resources to provide the services described in the Scope of Services.

#### **D. Division of Responsibilities**

NYSERDA shall provide the following:

- Radiation safety support for all applicable on-site field work.
- Site-specific training for all contractor employees to allow unescorted access to the SDA.

The Contractor shall provide the following:

- 24-Hour Hazardous Waste Operations and Emergency Response trained personnel for all on-site field work
- Task-Specific Safety Documentation meeting the requirements of the WVSMP safety program for each on-site task not covered by an existing procedure
- Equipment needed to perform tasks outlined in the attached Scope of Services
- Experienced supervisory and field staff

### **III. Proposal Requirements**

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

#### **A. Proposal Content**

The Proposer will be required to prepare a proposal for operation and maintenance support services described in this solicitation. The proposal must identify how the contractor will provide all the required services and suggest ways to improve or enhance the means by which the tasks are completed. The means shall include staffing, equipment and scheduling. The proposal shall also include labor grade utilization, rates, overhead, and profit. A description of items included as overhead should also be included.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. A complete response to this Request for Proposals shall include two parts:

##### **Part I - Technical and Management:**

- Completed "Proposal Checklist" Form (Attachment D) - to be attached to the front page of all copies of Part I of the proposal.
- Background/Objectives (one-page maximum).



- Services to be provided (three-page maximum).
- Management Plan and Schedule for the Work (eight-page maximum).
- Current Qualifications Statement that clearly presents the proposer’s education, training, and experience relevant to the Scope of Services.
- Plan for meeting the contract participation goals for minority and women-owned business enterprises as identified in Exhibit E of the Sample Agreement (one-page maximum).
- Letters of commitment from all participating subcontractors (if applicable).

**Part II - Cost and Disclosures:**

- Disclosure of Prior Findings of Non-Responsibility – “Executive Order 127” Form (Attachment E).
- Cost proposal including hourly rates and any other applicable costs or rates included on the attached Contracts Pricing Proposal Form (Attachment F, instructions included).
- Indictment/Conviction of Felony (if applicable).
- NYSERDA Contracts awarded (if applicable).
- Prior and/or Competing Proposals (if applicable).

**IV. Proposal Evaluation**

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below, listed in order of importance. At NYSERDA’s discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree in which pricing and hourly rates are in line with the rest of the market
- The geographic location of the resources identified or potentially involved with the work
- Previous experience at the WNYNSC

Proposals that meet proposal requirements will be reviewed by a Scoring Committee using the following Evaluation Criteria:

**1. Technical and Management Criteria:**

- Quality and depth of the resources and support systems necessary to perform services.
- Qualifications of the firm including the educational background, training and experience of key personnel. Key personnel include field, technical, and supervisory, and/or project management staff.
- Ability to provide the necessary resources to conduct high-quality work in a timely manner.
- Breadth of prior and current experience in providing operational and maintenance program support services, particularly in a large industrial or municipal organizational setting.
- Approach to provide the required services

**2. Cost Criteria:**

- The reasonableness of the hourly rates proposed
- A comparison of all proposers’ costs and fees
- A comparison of all proposers’ rental rates
- Efficiencies and cost savings identified by proposer

Additional consideration will be given to Minority and Women-Owned Businesses (MWBs).

Interviews may be scheduled to further assess the qualifications of the proposers. After assessing the proposals from the technical and management criteria, cost criteria, and interviews (if necessary), the Scoring Committee will make a recommendation as to which proposer is most beneficial to the WVSMP.

## V. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserdera.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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A directory of certified minority- and women-owned business enterprises is available from:

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**New York Executive Law Article 15-A** - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment E.

**New York State Executive Law Article 17-B**, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in Attachment F.

**Diversity Practices** - NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, Attachment D, Diversity Practices Questionnaire.

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

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**Heavy Duty Diesel-Powered Vehicles** – NYSERDA is required to comply with 6 NYCRR Part 248, Best Available Retrofit Technology (BART) for Heavy Duty Diesel-Powered Vehicles (HDDVs). HDDVs owned, operated, or leased by prime contractors, working on behalf of regulated entities, are also subject to BART. A prime contractor is one that contracts directly with the regulated entity (i.e., not subcontractors).

**Contract Award** - NYSERDA anticipates making one award under this solicitation. NYSERDA anticipates a contract duration of one year with four annual options to renew, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of

a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**VI. Attachments:**

Attachment A – Statement of Work

Attachment B – Safety Training and Handling of Chemical Waste

Attachment C – Applicable Operation and Maintenance Plans and Procedures

Attachment C-1 – Geomembrane Cover System Inspection

Attachment C-2 – Vegetation Control Procedure

Attachment C-3 – WNYNSC Perimeter Fence Maintenance & Deer Hunting Procedure

Attachment C-4 – Snow Removal Procedure

Attachment C-5 – SDA Electrical System Inspection and Maintenance Procedure

Attachment D –Diversity Practices Questionnaire

Attachment E –Article 15-A (MWBE)

Attachment F – Article 17-B Service-Disabled Veteran-Owned Business Enterprises (SDVOB)

Attachment-G - Sample Agreement including Exhibit A - template statement of work

Geophysical and Geotechnical Investigations in Support of Offshore Wind Energy  
Request for Proposal (RFP) 4260

**Up to Approximately \$ 5,500,000 Available**

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Proposals Due: January 21, 2020 by 3:00 p.m. Eastern Time\*

Offshore wind energy could become a major source of affordable, renewable power for New York State, particularly on Long Island and in the New York City metropolitan area, where demand on the electric grid is greatest. Generating electricity with wind turbines located off New York's Atlantic coast has the potential to provide up to 39,000 megawatts (MW) of clean power for the State, enough to power 15 million homes. On behalf of New York State, the New York State Energy Research and Development Authority (NYSERDA) is coordinating work being conducted by New York State agencies to advance the responsible and cost-effective development of offshore wind resources. As part of its leadership role, NYSERDA spearheaded the development of the New York State Offshore Wind Master Plan <https://www.nyserderda.ny.gov/offshorewind>, a comprehensive roadmap that encourages the development of offshore wind in a manner that is sensitive to environmental, maritime, economic, and social issues while addressing market barriers for offshore wind technology and aiming to lower electricity costs for consumers.

A strong knowledge of seabed soil conditions is essential for the safe and efficient design and operation of offshore wind installations. Although several geophysical surveys and geological studies have been carried out in the New York Bight, only a limited amount of soil sampling and testing has been undertaken. Uncertainty in physical conditions increases development risk and by extension offtake bid prices. Obtaining better characterization of the soil conditions of the offshore wind study area would help increase certainty of development conditions, which are useful in planning activities such as the refinement of project layout and turbine siting, key variables in lease auctions, and offtake.

In 2019, NYSERDA commissioned a Geotechnical and Geophysical Desktop Study (Fugro, "Geotechnical and Geophysical Desktop Study to Support Offshore Wind Energy Development in the New York Bight", Final Report, NYSERDA Report 19-19, April 2019 available here: <https://www.nyserderda.ny.gov/ny/Offshore-Wind-Geo-Investigations>). Publicly available geological and geophysical information on the middle continental shelf, offshore New York and New Jersey, was collated with the objective of creating a regional overview of the seafloor and sub-seafloor environment insofar as it is relevant to a potential offshore wind energy developer. The report describes, as far as the available information allows, the evolution and resultant geological structure, lithology, and soil characteristics within New York State's Area for Consideration, from the seafloor to approximately 100 m (330 ft) below seafloor. An indication of the available data coverage is given and potential geohazards are highlighted.

Through this solicitation, NYSERDA seeks proposals to advance the development of the primary and secondary areas identified by the Bureau of Ocean Energy Management (BOEM) as Hudson North and Hudson South draft Wind Energy Areas (draft WEAs) (<https://www.boem.gov/Task-Force-Meeting-November-2018/>; shapefiles available here: <https://www.nyserderda.ny.gov/ny/Offshore-Wind-Geo-Investigations>). The solicitation seeks to appoint contractors to undertake Geophysical and Geotechnical investigations and develop reconnaissance ground models for each contiguous draft WEA, and an Owner's Engineer to support NYSERDA throughout the ground model development process.

BOEM has not yet converted draft WEAs to final WEAs. Optimally, NYSERDA would undertake the investigations over the final WEAs to avoid data collection outside of leased space and maximize the cost-effectiveness of the investigations. However, NYSERDA would also like to ensure that the investigations are performed in the 2020 favorable weather season to reduce weather downtime. This solicitation has been prepared based on the draft WEA's in anticipation of the WEA's being finalized by BOEM in early 2020, prior to finalization of the Investigation scopes and start of the offshore operations. If finalization of the WEAs is

delayed past the finalization of the scopes, NYSERDA will contract for the investigations to be conducted in the Hudson North and Hudson South draft Wind Energy Areas.

Along with reducing the cost of offshore wind energy, maximizing the benefit for State ratepayers, and accelerating the deployment of wind energy development off the coast of the State, the core goal of this undertaking will be to obtain and make public high-quality seabed soil data sufficient for reducing lease holder uncertainty at the time of offtake and helping to advance the design and installation requirements for offshore wind farms within the study areas including, but not limited to, foundations and cables.

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide \[PDF\]](#)” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting (Gregory Lampman– primary contact) (Designated Contact) at (518) 862-1090, ext. 3372 or by e-mail [environmentandoffshorewind@nyserda.ny.gov](mailto:environmentandoffshorewind@nyserda.ny.gov) or (Kate McClellan Press – secondary contact) (Designated Contact) at (518) 862-1090, ext. 3110 or by e-mail [environmentandoffshorewind@nyserda.ny.gov](mailto:environmentandoffshorewind@nyserda.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact Nancy Marucci (Designated Contact) at (518) 862-1090, ext. 3335 or [NancySolicitations@nyserda.ny.gov](mailto:NancySolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted. Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).



## PART 1. INTRODUCTION

### Section I. Background

New York State Energy Research and Development Authority (NYSERDA) seeks to advance New York State's 9GW offshore wind energy mandate in a way that are both responsible and cost-effective. As a result of this philosophy, the State is continuing its proactive approach to investing in predevelopment activities.

As part of the New York State Offshore Wind Master Plan<sup>1</sup> released in January 2018, the State invested in bringing together existing data, new research, and feedback from stakeholders to inform the federal Bureau of Ocean Energy Management (BOEM) in the identification of new lease areas in the New York Bight. New lease areas in proximity to New York City, the State's "load center," are critical in advancing the State's goals.

As BOEM reviews the draft Wind Energy Areas,<sup>2</sup> the State is investing in predevelopment activities to gain a better understanding of the physical and environmental conditions in these areas to reduce developer risk, which will enable developers to submit more competitive bid prices in response to New York's offshore wind solicitations ("offtake"). These activities are expected to provide a starting point for project development, but not to displace entirely the work developers will need to undertake to design, permit, and construct projects.

For example, in August 2019, NYSERDA deployed two metocean buoys more than 40 miles off New York's coast (in the BOEM-designated Draft Wind Energy Areas) and each buoy will collect data for two years. The two made-to-order buoys were validated in accordance with Carbon Trust OWA Stage 2 Standard and International Electrotechnical Commission (IEC) standard 61400-12-1 CDV. Similarly, In the summer of 2017, NYSERDA began to conduct a 3-year, 4-season planning level wildlife survey of the NY Bight using digital aerial surveys. The project, which recently completed its last survey, collected more than 3.5 million images and provides broad scale contemporary data about the seasonal, interannual, and spatial distributions of wildlife in the NY Bight, as well as support BOEM in the identification of new, responsibly sited lease areas.

In addition to these activities, New York State is now advancing an approach to invest in planning level geophysical and geotechnical investigations of BOEM's draft Wind Energy Areas. These investigations will provide developers the data they need, when they need it, maximizing the value of the data at the offtake stage, and helping advance the State's progressive mandate efficiently, cost-effectively, and responsibly.

### Section II. Goals

The goal of the Geophysical and Geotechnical investigations is the development of reconnaissance Ground Models of sufficient quality to progress the preliminary design and installation requirements for offshore wind farms, including, but not limited to, foundations and cables. Reconnaissance hydrographic, geophysical and geotechnical surveys are to be undertaken that will contribute to the bathymetrical, morphological and geological understanding of the draft Wind Energy Areas (WEAs) in the New York Bight designated as Hudson North and Hudson South primary and secondary areas (shapefiles available here: <https://www.nyserdera.ny.gov/ny/Offshore-Wind-Geo-Investigations>).

The investigations are required to obtain seabed and sub-seabed information about the soil to a depth below which the possible existence of weak formations are not likely to influence the safety or performance of the wind turbines and their support structure. In addition, investigations must provide high resolution information regarding the shallower soils as input for cable burial and morphodynamic assessments. Although the planned surveys have only a reconnaissance level of coverage, the surveys should aim to deliver high-quality data that are suitable for use as baseline data for future surveys and studies (e.g. seabed sediment mobility assessment). The program will comprise the following key tasks:

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<sup>1</sup> <https://www.nyserdera.ny.gov/All-Programs/Programs/Offshore-Wind/Offshore-Wind-in-New-York-State-Overview/NYS-Offshore-Wind-Master-Plan>

<sup>2</sup> <https://www.boem.gov/NY-Bight/>

1. **Geophysical Investigation:** Prepare and carry out geophysical and hydrographic surveys. Process, analyze, and interpret data to develop geological models for each contiguous draft WEA. Use geological models to target the Geotechnical Investigations.
2. **Geotechnical Investigation:** Prepare and carry out a geotechnical survey. Process, analyze, and interpret data to develop geotechnical parameterization of the geological models.
3. **Ground Model Update** (*optional, depending on timing and budget*): Update the geological ground models through joint refinement of the geophysical and geotechnical interpretations to produce validated ground models.

**Section III. Available Funds**

NYSERDA has a budget of approximately \$5,500,000 available for completing the Geophysical and Geotechnical Investigations and Ground Model Update, and any related project management costs (including Owner’s Engineer).

The Geophysical Investigation will provide the underlying framework for Ground Models for the draft WEAs. A key deliverable of the Geophysical Investigation will be a geological ground model per each contiguous draft WEA based primarily on seismic interpretation. The Geotechnical Investigation will target specific locations to provide ground-truth data for these ground models, and to develop the geotechnical parameterization of the draft WEAs. As such, higher priority will be given to the Geophysical Investigation in the allocation of the available budget. However, considering the cost of vessel mobilization and the overall size of the two offshore wind farm areas, a minimum spend will need to be set for a meaningful geotechnical investigation. Estimated spends are tabulated below.

<b>Component</b>	<b>Spend Estimate</b>
Geophysical Investigation	Up to approximately \$3,000,000
Geotechnical Investigation	Up to approximately \$2,000,000
Owner’s Engineer	Up to approximately \$500,000

The balance of spending between the various components will be re-evaluated once the tenders for both the geophysical and geotechnical work packages have been received and it is established if the ground model update will be undertaken (and by whom).

## PART 2. INVESTIGATIONS

### Section I. Datums

All data shall be collected in NAD83 (2011), as per BOEM guidelines, projected where necessary using NAD83 UTM Zone 19 North. The vertical datum shall be Mean Lower Low Water (MLLW). All co-ordinates shall be reported in compliance with relevant BOEM guidelines.

### Section II. Geophysical Investigation program requirements

#### A. Objective of Geophysical Investigation

The Geophysical Investigation will be a reconnaissance investigation that is not expected to provide full coverage of the site. According to BOEM Geophysical and Geotechnical Guidelines<sup>3</sup> the investigation constitutes a 'site reconnaissance survey' rather than a 'site characterization investigation'. The overall objective is to produce a reconnaissance Ground Model for each contiguous draft WEA that provides information suitable to understand the general site conditions. The reconnaissance Ground Models must be suitable for the design of subsequent geotechnical investigations.

The Geophysical Investigation should provide for each contiguous draft WEA:

- An accurate bathymetric chart for the reconnaissance survey footprint.
- Information on the presence within the reconnaissance survey footprint of all seabed features of significance to the construction of wind farm facilities including but not limited to:
  - any natural features such as boulders, scour hollows, pock-marks; and
  - any non-natural features such as wrecks and debris (both known and previously unmapped), pipelines, cables and infrastructure.
- A reconnaissance unconstrained geological model of the site, including as a minimum:
  - elevation and depth below seabed charts for the main geological formation interfaces including any mobile sediments, layers of potential archaeological significance (including palaeolandscape reconstruction if necessary), and any other significant interfaces that might impact on the engineering design;
  - locations of any structural complexities or geohazards within the shallow geological succession such as faulting, accumulations of shallow gas, peat, buried channels *etc.*; and
  - detailed geological interpretation to show facies variations and structural feature changes via appropriate maps and sections.
- The exact, current position of existing (in service & out of service) cables and pipelines.
- Input into the specification and scope for a geotechnical sampling and testing program following the completion of the geophysical survey.
- A comprehensive interpretative report on the survey results obtained to assist design of the offshore foundations/structures and cable burial.

The Geophysical Investigation precedes and supplies information to the Geotechnical Investigation.

Due to the limited amount of relevant geotechnical data available in the area of interest, the Ground Model developed from the Geophysical Investigation will be largely unconstrained. Optionally, following the subsequent Geotechnical Investigation the Geological Ground Model should be updated to incorporate the Geotechnical Investigation results and produce an updated Ground Model.

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<sup>3</sup>[https://www.boem.gov/G\\_G\\_Guidelines\\_Providing\\_Geophysical\\_Geotechnical\\_Geohazard\\_Information\\_Pursuant\\_to\\_30\\_CFR\\_Part\\_585/](https://www.boem.gov/G_G_Guidelines_Providing_Geophysical_Geotechnical_Geohazard_Information_Pursuant_to_30_CFR_Part_585/)

## B. Services Requested

NYSERDA is seeking an offshore geophysical site investigation Contractor to undertake a reconnaissance geophysical investigation in accordance with international standards and guidelines and with the following Bureau of Ocean Energy Management guidelines:

- “Guidelines for Information Requirements for a Renewable Energy Construction and Operations Plan (COP)” dated April 7,, 2016 (Version 3.0) (BOEM 2016).
- “Guidelines for Providing Geophysical, Geotechnical, and Geohazard Information Pursuant to 30 CFR Part 585” dated July 2, 2015 (BOEM 2015a).
- “Data Gathering Process: Geotechnical Departures for Gathering Offshore Wind Energy” dated September 19, 2018 (BOEM 2018).
- “Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Survey” dated February 1, 2013 (BOEM 2013a).
- “Guidelines for Providing Archaeological and Historic Property Information Pursuant to 30 CFR Part 585: dated March 2017 (BOEM 2017).
- “Guidelines for Providing Benthic Habitat Survey Information for Renewable Energy Development on the Atlantic Outer Continental Shelf” dated November 2013 (BOEM 2013b).
- Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Surveys (BOEM, 2015b).

Although the coverage of the survey is only at a reconnaissance level and is not intended to meet permitting regulatory requirements, the techniques used shall be compliant with BOEM HRG and SAP guidelines and the survey line spacing should be a multiple of recommended BOEM line spacings. This is required so that the information acquired in this investigation can be easily supplemented by infill surveys at a later date, to build towards a combined dataset that is compliant with BOEM guidelines.

An archive of GIS data compiled as part of Fugro’s Desk Study is available here:

<https://www.nyserra.ny.gov/ny/Offshore-Wind-Geo-Investigations>. As such, collection and collation of such background data is not required. Furthermore, reference is made to an earlier MBES survey conducted for this site (see <https://www.nyserra.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25a-MBES-and-Benthic-Survey-Data.pdf>).

The services should include: development of a field survey plan for field investigations including process for coordinating with fishermen and other mariners; obtaining all authorizations/permits necessary to perform the work; acquisition with Multi-Beam Echo Sounder (MBES), Side-Scan Sonar (SSS), magnetic, Shallow-Penetration Seismic (SPS), and Medium-Penetration Seismic (MPS) systems; data processing; data analysis and interpretation; development of unconstrained Geological Ground Models; and factual and interpretative reporting. Marine mammal and sea turtle monitoring will also be required.

This solicitation also includes the option of updating the Ground Models following the subsequent Geotechnical Investigation.

As the Geophysical Investigation will not obtain full coverage of the Hudson North and South WEAs, the line planning shall incorporate some bathymetry transects co-located with transects from previous surveys (see e.g. <https://www.nyserra.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25a-MBES-and-Benthic-Survey-Data.pdf>), in order to contribute to development of a bathymetry time-series dataset. However, seabed mobility analysis is not a requested service.

## C. Types and Locations of Measurements

The data density (line spacing) will depend on the total area to be surveyed in each WEA and the available budget.

For the purposes of proposal submission, proposers should assume a provisional maximum permitted inline spacing of 900 m (N-S oriented) and maximum permitted tieline spacing of 4,500 m (W-E oriented)

over the draft WEAs (shapefiles available here: <https://www.nyserda.ny.gov/ny/Offshore-Wind-Geo-Investigations>). Once the survey area and the balance of budgets between investigations has been finalized, the line spacing and line orientation may require adjustment. However, a nominal line-km (excluding transit, run-in/out, re-shoots, borehole tie-lines, and bathymetry time-series dataset lines) has been calculated for each draft WEA based on the provisional line spacings as follows:

- Hudson North WEA: 514 km<sup>2</sup>/~685 line-km
- Hudson South WEA: 2,444 km<sup>2</sup>/~3,259 line-km

Applying a ~1% contingency for additional borehole tie lines and bathymetry lines gives a provisional value for costing of approximately 4,000 line-km.

#### **D. Vessel Requirements**

Vessel(s) should have as a minimum approximately a length overall of 40 metres and a beam of 10 metres and must be capable of undertaking the Work as specified in the Scope of Work. It is up to the proposer to propose to engage one or two vessels: engagement of more than two vessels is not permitted.

Vessel(s) must be capable of continuous operation 7 days a week, 24 hours a day;

Vessel(s) must have adequate capacity and facilities for:

- Accommodating (berths and workspace) for both marine and survey crews including two Client Offshore Representatives for working in two 12 h shifts per day;
- Onboard QC and all required processing of survey data;
- Storage and bunkering capacity for spares, consumables, fuel etc.
- Comply, as a minimum, to the code of practise for workboats as specified in IMCA M 189 Rev. 2. (contractor must submit prior to mobilization an independent inspection report that includes 'Checklist Based on Approved Code of Practice for Workboats' as specified in IMCA M 189 Rev. 2, IMCA S 004 Rev. 2'. This inspection report should not be older than six months and all items in the checklist are answered with 'Yes' or 'N/A'.)

Equipment for the performance of MBES, SSS, magnetometer and seismic surveys as described in Section E, including an appropriate spares inventory, should be deployed ready for use on the survey vessel.

#### **E. Survey Technology**

All survey technology is required to comply with BOEM HRG and SAP guidelines at minimum. The data acquired will be used as baseline data for future work (e.g. seabed sediment mobility assessment) so must be acquired to a high standard even though the investigation coverage is only reconnaissance-level.

The seismic survey must be designed to optimize vertical and horizontal resolution (nominally defined as ¼ wavelength for both), the signal-to-noise ratio and the recovery of coherent signal throughout the depth of interest. The following minimum requirements must be achieved:

- 0-10 m below seabed (bsb): trace spacing of <1 m and vertical resolution of 0.2 m or better.
- 10-30 m bsb: trace spacing of <1 m and vertical resolution ≤ 0.75 m.
- 30-100 m bsb: Inline (stack) trace spacing ≤ 1.57 m and vertical resolution ≤ 2 m.

These requirements exceed BOEM guidelines but are necessary to address the Investigation objectives.

- An SPS survey will be required to image the top 10 m bsb at the required resolution.
- An MPS survey will be required to image to the required investigation depth of 100 m, given the anticipated water depths of 25-60 m. For the MPS surveying, Multi-Channel Seismic (MCS) will be required to image to the full depth of investigation. The proposer may propose a combination of Single-

Channel Seismic (SCS) and Multi-Channel Seismic (MCS), or MCS only: in either case, the proposed solution must be demonstrated to be capable of achieving the resolution requirements throughout the depth range. Note that the investigation is outcome focused and requires that the *delivered* (i.e. processed) data meet the resolution and depth investigation criteria.

NYSERDA has a strong preference for the following types of geophysical equipment to be used to satisfy the Geophysical Investigation objectives:

1. SPS: The equipment when deployed shall be suitable to obtain the resolution requirements in the top 10 m bsb. The preferred technology is an 'Innomar SES-2000 standard' parametric Sub-Bottom Profiler (SBP). Chirp and Pinger SBP systems will also be acceptable. The selected system must be hull, pole, or moon-pool mounted to allow heave compensation to be applied to the data. The proposer must demonstrate that they can achieve the required resolution and depth penetration with the equipment proposed and given the sub-bottom conditions described in Fugro's Desk Study, which includes the presence of sandy sediments that can be expected to impede energy transmission.
2. MPS:
  - a. SCS (if used): Preference is for a high-frequency Sparker as Boomers are generally seen as being more disruptive to marine mammals. The system shall be optimized to obtain the resolution requirements in the top 10-30 m bsb depth range. The source and streamer tow depths will preferably be < 1 m and selected to minimize the effects of ghosting.
  - b. MCS: A high-resolution, multi-channel MPS system shall be used. The system shall be optimized to obtain the resolution requirements in the top 30-100 m bsb depth range.

A high bandwidth Sparker system (dual- or triple-plate source) or alternative source with demonstrated similar spectral characteristics suitable for the resolution specifications shall be used. Sound source levels require testing against National Marine Fisheries Service (NMFS) specifications to ensure they do not potentially lead to unacceptable harassment of marine mammals. As per BOEM guidelines, the National Marine Fisheries Service (NMFS) currently considers sound levels above 160 dB re 1  $\mu$ Pa (RMS) to constitute Level B harassment under the Marine Mammal Protection Act and sounds above 180 dB re 1  $\mu$ Pa (RMS) are considered Level A harassment. For clarity, air guns are not an option under this RFP.

A multi-channel streamer shall be used with a minimum of 48 channels and a group spacing of preferably 2 m or less and no greater than 3.125 m to provide high horizontal resolution. An active streamer length of between ~70 m and 150 m is required. The streamer tow depth shall be < 1 m (flat) and selected to minimize the effects of ghosting. The shot interval shall be as small as practically possible and defined to maximize CMP fold (minimum 24 fold without trace interpolation). Shots must be distance triggered, not time triggered.

Slant-cable or hybrid-cable (mixed group interval) proposals are acceptable if the vessel operations team can be guaranteed to have had prior experience of the systems proposed and any required data processing schemes are proven to be established in production work. Slant-cable may only be proposed in conjunction with documented and proven mitigation for receiver ghost effects. Both slant-cable and hybrid cable proposals must be accompanied by specific descriptions of the methods of geometry assignment and QA metrics to ensure acceptable performance.

3. Magnetic gradiometer: Two or more magnetometers in gradiometer configuration. Although a single magnetometer would be enough to fulfil BOEM HRG survey guidelines, a magnetic gradiometer will be required in order to fulfil BOEM SAP technology guidelines and to assist with archaeological clearance to inform the selection of locations for the Geotechnical Investigation. Individual magnetometer sensitivity should be 1.0 gamma ( $\gamma$ ; 1.0 nano-Tesla [nT]) or less. Background noise level should not exceed a total of 3.0  $\gamma$  peak to peak. The data sampling rate should be at minimum 4.0 Hz and preferably  $\geq$  10 Hz to ensure sufficient data point density. The gradiometer altitude from seabed should preferably be  $\leq$  4 m, with a maximum of 6 m above seabed.

4. MBES: Data shall be acquired to IHO Standards for Hydrographic Surveys Order 1a, which has a feature detection requirement of a cubic features > 2 m in water depths up to 40 m, or better. In addition, an output bathymetry grid of 0.5-m resolution is required. Based on consideration of site conditions, including anticipated water depths, the proposer must demonstrate that the technology to be employed can achieve a sufficient ping density to achieve these requirements and advise on the maximum swath width for a single line over which these requirements can be met. Snippets/backscatter data must be recorded with consistent gain settings compatible with Acoustic Ground Definition System (AGDS) analysis for seabed classification. Sound velocity data must be recorded in real time at receiver and Sound Velocity Profiles (SVPs) must be obtained at least twice per day.
5. SSS: The SSS survey should be carried out using dual-channel, simultaneous dual-frequency side scan sonar with low and high frequencies of  $\geq 200$  kHz and  $\geq 600$  kHz, respectively. The side-scan sonar sensor should be towed above the seafloor at a distance that is 10% to 20% of the range of the instrument. The system must be capable of providing resolution of small, discrete targets 0.5 m in diameter at maximum range. All individual targets above 0.5x0.5x0.5 m shall be mapped. Based on consideration of site conditions, including anticipated water depths, the proposer must demonstrate that the technology to be employed can achieve a sufficient ping density to achieve these requirements and advise on the maximum swath width for a single line over which these requirements can be met (excluding the nadir gap).
6. Marine mammal and sea turtle monitoring: The monitoring strategy is to be finalized in conjunction with regulatory authorities and the Owner's Engineer: the monitoring scope outlined here is provisional for use in the preparation of cost estimates. Visual observations shall be conducted during the hours of daylight with Night Vision and Infrared Spotlights used during the hours of darkness. In addition, Passive Acoustic Monitoring (PAM) systems shall be operated during any hours of reduced visibility. The monitoring plan should be informed by NYSERDA's *Marine Mammals and Sea Turtles Study* (NYSERDA, 2017).

Materials and equipment or parts thereof provided by the proposer must be of good quality and workmanship and fit for the intended purpose.

NYSERDA will consider alternative technology options provided that the likely quality of results and the cost-effectiveness of the works can be demonstrated clearly by the proposer. If a conflict between BOEM guidance and direction from NYSERDA is identified, the proposer shall immediately notify the Owner's Engineer for direction.

Each data type should be collected by one vessel, to avoid variable data quality/accuracy issues when attempting to combine data of the same type that has been acquired by two or more different vessels. Equipment interference must be minimized in all cases and shall not impact the data quality. As MCS and SCS acquisition can interfere, simultaneous acquisition of MCS and SCS data from the same vessel is strongly discouraged, to avoid degradation of data quality and resolution. The proposer may therefore suggest a multi-vessel solution to avoid SCS/MCS interference. The following options should be considered in order to maximize data quality:

- If only SPS and MCS seismic data are to be acquired (no SCS), then a single acquisition pass with all with hydrographic and geophysical sensors may be acceptable if the proposer can demonstrate that the equipment can be deployed with acceptably low levels of interference.
- If SCS is to be acquired in addition to SPS and MCS, then one of the following options is preferred:
  - One-vessel solution: one pass to cover the MBES, SSS, magnetic gradiometer, SPS and SCS survey lines, followed by one separate pass to cover MCS lines.
  - Two-vessel solution: vessel 1 acquiring MBES, SSS, magnetic gradiometer, SPS, and SCS data in one pass and vessel 2 acquiring only MCS data (with MBES data for statics calculations).

A field-testing phase will be required after mobilization and equipment calibration to establish the appropriate configuration and parameterization of data acquisition equipment and finalization of the survey QA parameters. Where data processing operations are critical to either in-field QA/QC or evaluation of the suitability of the data acquisition configuration, design and parameterization of these operations shall be part of the testing phase.

## F. Data Analysis

### 1. MBES

Data shall be reduced to datum, then gridded to produce a raster Digital Terrain Model (DTM) of the seabed at 0.5 x 0.5 m resolution or better. Details of the vertical reduction process must be described in the contractor's report and demonstrated to meet or exceed the investigation requirements, using appropriate illustrations. Regardless of the theoretical capability of the hydrographic and navigational systems deployed, full QA/QC must be carried out in order to generate statistical proof that the survey does not exceed the Total Vertical Uncertainty (TVU) and Total Horizontal Uncertainty (THU) error allowances as defined for Order 1a surveys in the IHO Standards for Hydrographic Surveys. A quantitative assessment of the feature detection thresholds for the survey must also be reported and demonstrated to meet or exceed the IHO Order 1a requirements.

MBES target picking should be carried out based on gridded data to support the interpretation of SSS targets. Targets must be classified at minimum into the following categories:

- Wreck-associated, correlated to local wreck registers, if available, and associated magnetometer/SSS targets;
- Debris-associated, correlated to associated magnetometer/SSS targets;
- Possible pipeline (with appropriate ID to indicate where multiple targets are thought to be associated with the same pipeline);
- Possible cable (with appropriate ID to indicate where multiple targets are thought to be associated with the same cable);
- Mound.
- Depression.

The seabed slope shall also be calculated.

### 2. SSS

Data shall be corrected for slant range, towfish skew, absorption of sound by seawater, geometric spreading and ship speed to produce the SSS mosaic. The bathymetry elevation data should be used for topographic corrections such that the corrections are carried out based on 3D positioning.

SSS target picking must be carried out. Identified features must include *at minimum*:

- Wrecks;
- Both linear and point debris  $\geq 0.5$  m;
- Boulders  $\geq 0.5$  m;
- Pock-marks/depressions
- Cables;
- Pipelines; and
- Trawl scars and regions of trawl scars

All targets must be correlated with the NYSERDA's Offshore Wind Master Plan *Cultural Resources Study* (NYSERDA, 2017) and local wreck registers. Additionally, the nadir must be checked for evidence of gas plumes.



The thresholds indicated are nominal, and a higher threshold and/or mapping of discrete areas of anomalously high target density may be appropriate if feature densities are high, subject to approval.

### 3. Seabed classification

Seabed classification may be carried out based primarily on MBES backscatter/snippets data. (AGDS classification) or SSS data. The classification methodology must be reported. If grab samples are available from another source, they should be incorporated into the seabed sediment characterisation analysis.

### 4. Bedform classification

Bedform zonation must be carried out according to a classification scheme compliant with BOEM specifications. The classification methodology must be reported.

### 5. Magnetic gradiometer

The magnetic gradiometer data must be edited to remove obvious spikes. All processing and editing procedures must be reported in detail.

The picking threshold is a peak-to-trough amplitude of  $\geq 5 \gamma$ . Targets must be classified *at minimum* into the following categories:

- Wreck-associated, correlated to local wreck registers, if available, and associated bathymetry/SSS targets;
- Debris-associated, correlated to associated bathymetry/SSS targets;
- Possible pipeline (with appropriate ID to indicate where multiple targets are thought to be associated with the same pipeline);
- Possible cable (with appropriate ID to indicate where multiple targets are thought to be associated with the same cable);
- Possible UXO (for potential further analysis outside of the scope of this project);
- Undesignated.

Checks must be carried out on the magnetometer data to identify those magnetometer targets that are probably related to wrecks that are visible in the SSS/MBES data, and to identify additionally any magnetometer targets that may be indicative of buried wrecks (or potentially UXO). If possible UXO targets are identified, these must be indicated in the target table.

### 6. Seismic

SPS, SCS and MCS data require data processing to be applied to optimize quality. Full processing reporting is required for each type of data collected. MCS data may have 'brute stacks' generated for use in the QA operations on-board. Brute Stacks should contain the minimum processing required to evaluate the quality of the recorded data. Final processing of MCS data may be applied onboard or ashore, in either case the details of any processing undertaken must be explained and discussed in the contractor's report. At minimum, the processing operations applied to each dataset must be described and parameter test panels presented. It is expected that all necessary processing will be undertaken to all SCS and MCS data to maximize the data interpretability. The time-depth conversion method(s) by which depth values have been obtained and the derivation of velocities used must be clearly reported. The processing flows must be approved by NYSERDA prior to the processing of the full datasets.

Subsurface data are to be interpreted using a workstation package at least capable of representation of all subsurface data elements in a common system, capable of picking interfaces in the time domain and rationalising those picks between the data elements and at line intersections to ensure consistency. The Kingdom application from IHS Markit is preferred. The interfaces and geohazards to be interpreted are to be identified based on Fugro's Desk Study agreed with NYSERDA prior to the

interpretation of the full datasets: in addition, as NYSERDA's Offshore Wind Master Plan *Cultural Resources Study* (NYSERDA, 2017) has identified the potential presence of submerged landforms that may have the potential to be archaeologically sensitive, palaeolandscape reconstruction may be required. The interpretation must include consistency/line-tie checks between the single- and multi-channel seismic datasets within the same interpretation environment, and these checks must be described in the interpretative reporting.

Extensive interfaces must be gridded and contoured to provide ribbon plots along the seismic survey lines. A single grid should be provided for each interface. The selection and application of gridding methods and parameters used to generate interface grids from the original pick files must be described in full. Where a single interface has been picked from more than one seismic dataset (e.g. SPS and MCS) then a single interface grid must be generated, and the reporting must describe how the final grid for that interface was derived from the picks of each seismic dataset. Geohazard and intra-formational interfaces may be gridded or presented as pick plots depending on their extent and continuity. The spatial extents of interfaces, units and point features are to be defined and reported. If a significant portion of the subsurface is characterised by intense faulting, the characterisation of the faulting pattern (mean fault throw and density) can replace the picking of each individual fault. A quantitative discussion of the elevation uncertainty of all interfaces and feature types must be included in the reporting.

### **G. Task Outline**

A suggested task outline is provided below to assist the proposer in considering appropriate timings and levels of effort.

- Work planning and coordination
- Mobilization
- Field testing
- Acquisition
- Processing, analysis & reporting

The selected contractor shall work with NYSERDA to finalize the scope of work (and workstreams) and develop an agreed set of Tasks and Milestone Deliverables as part of the preparation of the project documentation.

### **H. Reporting**

1. Field Verification Test report. Noise verification work in the survey area in compliance with BOEM Lease requirements and an approved BOEM survey plan (including Field Verification Plan) shall be conducted prior to operation of instruments operating below 200 kHz. Reporting shall be accordance with the BOEM approved field verification form and shall be provided to the Owner's Engineer within 24 hours of collecting data. The full field verification report shall be submitted within three weeks of collecting the data.
2. Mobilization Report: one per vessel describing the mobilization and calibration tests. The mobilization report(s) shall be submitted within two calendar weeks of acceptance of the data acquisition configuration.
3. Testing Report

The testing report shall be submitted within two calendar weeks of acceptance of the data acquisition configuration. The report must:

- describe and show examples of tested equipment and configurations; and
  - demonstrate that the selected equipment and configurations can meet the Investigation objectives.
4. Daily Progress Reports

During the offshore execution of the works contractor shall issue to NYSERDA Daily Progress Reports (DPR) to be submitted before 12:00hrs the next day. The format and content of the daily report shall be submitted to NYSERDA for approval prior to implementation, but shall include as a minimum:

- Activities executed in the past 24 hours and cumulative to date described in all phases, in total numbers and in percentages;
- Activities planned for the upcoming 24 hours;
- Any occurrence causing delay to the project with consistent abbreviations/codes, including but not limited to:
  - equipment downtime;
  - scheduled maintenance;
  - instrument calibrations;
  - occurrence of Waiting on Weather;
  - Weather standby below workable weather limits;
  - other standby;
- Daily observation and registration of weather and sea state;
- HSE occurrences such as incidents, accidents, near misses, safety meetings, safety stand downs, number of safety drills, toolbox talks and persons on board, number of HSE observations, together with measures taken and status
- Non-conformance reporting

The DPRs will be provided in a consistent PDF format to be pre-approved by NYSERDA and will not be scanned. The contractor submits the Daily Progress Report to the Client Offshore Representative for comments.

5. Daily summary reports of all PSO observation activities.
6. Weekly reports

The contractor shall also issue a weekly report providing insight in the progress of the Work on a weekly basis. The report shall include, but not be limited to, the following subjects:

- Work in progress;
- Health Safety & Environment;
- Safety Statistics;
- Status summary work schedule, including weekly planning update;
- Forward looking information for the next two reporting periods;
- In case of deviations from the program: proposals for remedial action together with any revised plans and projections needed to substantiate or explain proposals.
- Status of queries / concession requests;
- Risk Log including areas of concern and actions taken to address them;
- Change control, including list of issued and potential Variation Orders;
- Updated document register;
- Photographs of relevant achievements;
- Areas of concern.

7. Data Quality Reports.

The contractor may be requested by the NYSERDA to provide seismic Data Quality Reports (DQRs) when appropriate. The DQRs will not have to be provided on a daily basis but the contractor must be prepared to compile and provide these reports under the supervision of the Client Representative. Upon request from NYSERDA, to support the DQRs the contractor shall provide a portion of raw or processed data by email or web transfer for the purpose of Quality Control monitoring. The contractor shall provide the NYSERDA such data within 24 hours of the request.

## 8. Field Report

The contractor shall be required to submit a reporting template for the Field Report within one week after the start of the offshore works. The Draft Field Report shall be made available within two weeks of the completion of the fieldwork.

The Field Report shall contain daily logs and summaries of the work completed, together with any preliminary results that can be provided. The Field Report should include as a minimum:

- A statement of the purpose of the investigation and Scope of Work;
- A description of the work carried out, including:
  - Project personnel; vessels; equipment list;
  - Vessel Offset Diagrams for each vessel and, if instrument configurations were changed in the field, each instrument configuration;
  - Exact positions of all survey works and details of survey positioning control (positioning calibrations, geodetic data, etc.), with accompanying calibration records;
  - Field procedures, including methodology;
  - Acquisition Quality Control procedures and reference to the PQP and the specifications and standards adopted and any deviations from them for each survey type;
  - End-of-line reports for the MCS survey;
  - Environmental observations;
  - Relevant signed calibration sheets
- The mobilization, field verification and testing report(s), as appendices;
- Copies of Client concessions, as an appendix.

## 9. Operations Report

Unlike the Field Report and the Geophysical Interpretative Report, the Operations Report will not be published and will only be for NYSERDA internal use only since it may contain information that is sensitive or confidential for the Contractor, and this and similarly-situated work products should be marked accordingly with guidance from the NYSERDA Project Manager.

The draft Operations Report shall be made available to NYSERDA within two weeks of the completion of the fieldwork. The Operations Report shall contain:

- Daily logs (DPRs)
- Health & Safety records, Incident reports and safety meeting minutes.

## 10. Geotechnical location memo

This memo should propose suitable locations for in situ investigations in the subsequent geotechnical campaign, to support BOEM review of proposed geotechnical locations. The recommendations for geotechnical investigation locations should be designed to qualify the seismic interpretation for stratigraphy, lithology, geohazards and representative geotechnical parameters, including sufficient 'typical' and 'anomalous' locations to characterize the variation across each draft WEA. The plan is for the Geotechnical location memo to be issued as a separate memo, detailing the general recommendation strategy and a table that details for each location:

- Justification for choosing the location.
- Marine archaeological resource (including cultural landscape) potential.
- Recommendation if a CPT or borehole should be executed and to what depth.
- Recommendation for locations and depth intervals for dating analysis to confirm stratigraphy.

The memo shall be accompanied by:

- Chart and description of predicted geological sequence.
- Excel spreadsheet of recommendation table
- Shapefile of locations, with populated attribute table as per the previous points.

## 11. Geophysical Interpretative Reports

Although the Geophysical Investigation constitutes a 'site reconnaissance survey' as defined in BOEM's Guidelines for Providing Geophysical, Geotechnical, and Geohazard Information Pursuant to 30 CFR Part 585<sup>4</sup>, the interpretative report should be compliant with BOEM guidelines for the content of site characterization reports as far as is possible with partial site coverage.

The contractor shall be required to submit a reporting template for the Interpretative Report within two weeks after the start of the offshore works. The Draft Interpretative Report shall be made available within seven weeks of the completion of the fieldwork.

One stand-alone Interpretative Report must be submitted for each contiguous draft WEA.

This Interpretative Report shall include:

- i. An Executive Summary;
- ii. A statement of the purpose of the investigation;
- iii. A description of the work carried out, including methodology used for the processing and analysis of each dataset and the associated positioning data, plus reference to specification and standards adopted and any deviations from them;
- iv. Exact locations of all survey lines;
- v. Processing procedures;
- vi. Interpretation procedures;
- vii. Processing and interpretation Quality Control procedures and reference to the PQP and the specifications and standards adopted and any deviations from them;
- viii. A description of the ground model that demonstrates that the Investigation requirements have been met, including a description of the bathymetry, summary tables of seabed and sub-bed targets, a stratigraphic summary table, a full description of all identified seismic facies and features with accompanying example figures, and identification of any areas of potential archaeological significance, summary table of pipelines cables and other infrastructure, qualitative discussion of potential seabed mobility and scour;
- ix. Charts at an appropriate scale on ARCH E of all outputs defined by NYSERDA as required;
- x. Appropriate ground model 2D and 3D visualizations;
- xi. Geotechnical location memo, as an appendix.

The reports and data deliverables shall be submitted to NYSERDA and the Owners Engineer and shall be accompanied by metadata that are compliant the Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Surveys. Both the Draft and Final Reports must be accompanied by a complete set of data deliverables, including the project GIS archive. Data shall be provided via multiple portable hard drives (4).

### I. Reporting and data deliverables

#### 1. General

A complete data archive as defined in the following sections must be provided with both the draft and final interpretative reports. A complete, separate archive must be provided for each draft WEA. Clear documentation of data deliverables and demonstration of adherence to BOEM guidelines is required as these deliverables will be important input to future investigations.

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<sup>4</sup> [https://www.boem.gov/sites/default/files/renewable-energy-program/G\\_G\\_Guidelines\\_Providing\\_Geophysical\\_Geotechnical\\_Geohazard\\_Information\\_Pursuant\\_to\\_30\\_CFR\\_Part\\_585.pdf](https://www.boem.gov/sites/default/files/renewable-energy-program/G_G_Guidelines_Providing_Geophysical_Geotechnical_Geohazard_Information_Pursuant_to_30_CFR_Part_585.pdf)

All data shall be provided with appropriate metadata that are compliant with BOEM metadata requirements specified in Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Surveys.<sup>5</sup> Spatial data attribute tables (e.g., SSS targets) must satisfy at minimum BOEM SAP and HRG attribution requirements and shall be approved by NYSERDA prior to delivery.

A table of file names against line names for all MBES, Side-Scan Sonar, magnetometer and seismic data files as plain text file or spreadsheet must be supplied. For lines associated with multiple line-part data files, each data file should have its own entry in the index table. The table should also contain the following information against each line name entry:

- Acquisition vessel;
- Acquisition date;
- Source type and ID;
- Receiver type and ID;
- Start and End fix points;
- Name of the relevant Vessel Offset Diagram;
- Indication of whether the file is a production file or has not been processed;

The following data deliverables are required.

## 2. Raw data

The following raw data deliverables are required at minimum.

- Swath bathymetry data per line/file (full density), in the form of cleaned, de-spiked text (x,y,z) files, after application of positioning QA/QC.
- MBES backscatter data, in standard format such as Generic Sensor Format (GSF).
- Speed of sound in seawater vertical dip data profiles as Excel spreadsheets containing graphs, and as plain text files stripped of trailing values. Data columns must include, at minimum, depth of sounding, recorded speed and corrected speed. Correction parameters should also be included as headers or data columns. Data from both down- and up-going casts must be included.
- Side-Scan Sonar data in the form of raw, un-mosaiced data files (e.g. \*.xtf files)
- Cleaned, de-spiked magnetometer data as text (x,y,z) files per magnetometer/line/file, after application of positioning QC and layback
- Raw SPS data with correct navigation applied in SEG-Y format (if applicable, heave information shall be provided separately and not applied to the raw data).
- If acquired, raw SCS data with correct navigation applied in SEG-Y format (if applicable, heave information shall be provided separately and not applied to the raw data).
- Multi-channel raw seismic data with geometry and correct navigation applied (shot gathers) in SEG-Y or SEG-D format.

## 3. Processed data

The following processed data deliverables are required at minimum.

- Vessel trackplot.
- MBES trackplot (fix point and line).
- The bathymetry at a resolution of 0.5 x 0.5 m or better reduced to datum and produced by gridding the swath bathymetry data to a regular grid, as a single or tiled set of xyz text files (\*.xyz/\*.pts); and an equivalent single or tiled raster/grid.
- Bathymetry contours at an appropriate interval for the topographic complexity, the grid vertical accuracy/precision and the depth range (typically 1 m).

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<sup>5</sup>[https://www.boem.gov/uploadedFiles/BOEM/Renewable\\_Energy\\_Program/Regulatory\\_Information/Spatial\\_Data\\_Guidelines.pdf](https://www.boem.gov/uploadedFiles/BOEM/Renewable_Energy_Program/Regulatory_Information/Spatial_Data_Guidelines.pdf)

- MBES backscatter image at an appropriate resolution, produced by gridding the swath bathymetry backscatter data to a regular grid, as: a single or tiled set of xyz text files (\*.xyz/\*.pts); and an equivalent single or tiled raster/grid.
- Bathymetry Total Vertical Uncertainty (TVU) and Total Horizontal Uncertainty (THU) grids at an appropriate resolution, as: a single or tiled set of xyz text files (\*.xyz/\*.pts); and an equivalent single or tiled raster/grid.
- The bathymetry slope in degrees calculated from the bathymetry grid as a single or tiled set of xyz text files (\*.xyz/\*.pts); and an equivalent single or tiled raster/grid.
- A time-stamp indexed text file of the tidal correction.
- SSS trackplot (fix point and line).
- Magnetometer trackplot (fix point and line).
- Single or tiled Side-Scan Sonar mosaic at 0.5 m resolution in raster format (e.g. \*.tif).
- Cleaned, de-spiked magnetometer data as text (x,y,z) files per line/file, including layback, both for individual magnetometers and gradient data.
- Trackplot for the SPS survey (point and line).
- Trackplot for the SCS survey (based on the source-receiver mid-point) (point and line).
- Trackplot for the MCS survey (based on the CDPs) (point and line).
- Processed SPS data with correct navigation and tidal correction applied in SEG-Y format (if applicable, the processed data shall be heave corrected) in time.
- If acquired, processed SCS data with correct navigation and tidal correction applied in SEG-Y format (if applicable, the processed data shall be heave corrected) in time.
- Multi-channel processed seismic data with correct navigation and tidal correction applied in SEG-Y format (including processed data at major interim stages of the processing, e.g. brute stack, after multiple attenuation and before and after migration, in time and depth).

All raster deliverables for single-variable data should be supplied as single-band files with actual cell values (e.g. elevation, intensity), not as multi-band RGB images, with the exception of the SSS mosaic. All processed spatial deliverables listed above that are not natively generated in ArcGIS (e.g. CAD, microstation products), must be provided additionally in the project GIS archive.

#### 4. Interpretative data

The following interpretative deliverables are required at minimum.

- Bedform classification polygon(s).
- Sandwave crests as polylines.
- Sediment distribution/seabed classification, depending on the classification method used, to be provided as: either a single or tiled set of xyz text files (\*.xyz/\*.pts) and an equivalent single or tiled raster/grid; or as a polygon spatial data file.
- Full Side Scan Sonar contact report containing information and images for all identified SSS targets in Microsoft Word and Adobe pdf formats.
- Side-Scan Sonar target table and associated point, line and polygon spatial data files.
- MBES target table and associated point, line and polygon spatial data files.
- Magnetometer target table and associated point, line and polygon spatial data files.
- Separate table containing all vertex co-ordinates for each identified cable/pipeline, indexed by cable/pipeline ID.
- Text (or csv) pick files for each interpreted horizon (including seabed and interfaces/features that were of too small extent or too sparse to be gridded) in an exchangeable format with at minimum columns for XY coordinates, survey line name, shot point/trace number, time and elevation.
- Elevation surfaces for all interpreted horizons at an appropriate resolution to be agreed with NYSERDA, reduced to datum and produced by gridding the pick data to a regular grid, as an xyz text file (\*.xyz/\*.pts) and a raster/grid.
- Elevation contours for all interpreted horizons at an appropriate interval.
- Depth below seabed information for all interpreted horizons at the same resolution as the elevation grids, as an xyz text file (\*.xyz/\*.pts) and a raster/grid.

- Depth below seabed contours at an appropriate interval.
- Sub-surface point geohazard (such as diffraction apices that may indicate the presence of boulders) table(s) and associated point spatial data with columns for X and Y co-ordinates at minimum and depth where appropriate as point data files (one per type).
- Formation/formation member/unit and laterally extensive geohazard (such as shallow gas or peat) extents as polygon spatial data files. Extent polygons should:
  - include and clearly indicate areas where the unit/feature is thought to be present, but the base/top cannot be interpreted, and exclude areas where the unit/feature is absent; and
  - indicate any areas of particular uncertainty.
- Faulting as linear features (individual faults) and/or polygons (areas of faulting).
- Kingdom project (or similar, depending on interpretation environment), preferably in Kingdom 2015.

All raster deliverables for single-variable data should be supplied as single-band files with actual cell values (e.g. elevation, intensity), not as multi-band RGB images. All interpretative spatial deliverables listed above that are not natively generated in ArcGIS (e.g. CAD, microstation products), must be provided additionally in the project GIS archive. If provided, tiled grids shall not have overlaps.

## 5. GIS data

A project GIS archive in a single GIS deliverables folder must be provided to NYSERDA and the Owners Engineer. Raw and Processed spatial data supplied in the project GIS archive (e.g. grids, polygon files) do not need to be provided elsewhere in the data delivery. Duplication of data deliverables should be avoided where possible.

Spatial data should ideally be provided in a geodatabase, but shapefile data would be acceptable with appropriate handling of 'null' values. The GIS data must be consistent with all other data deliverables (e.g. target feature classes in the GIS archive must contain the same attribute columns and values as in the Excel/text file target tables and report appendices, Kingdom-generated elevation grids and GIS elevation rasters should match, etc.). The GIS data archive must include at minimum:

- Project area, wind farm and survey boundaries (polygons).
- Vessel trackplot(s) and fix points.
- Sensor trackplots and fix points (transmitter/receiver midpoint where transmitter and receiver are not co-located; CDP-based for the MCS trackplots).
- Bathymetry grid (full resolution) and contours.
- TVU and TVH uncertainty grids.
- MBES backscatter grids.
- SSS mosaic (full resolution).
- MBES, SSS and magnetometer targets (point, linear and polygon targets to be symbolized appropriately; e.g. significant linear targets should be recorded as line features and not points), including as-found cables, pipelines, wrecks etc. MBES and SSS targets may be combined into a single Feature Class/shapefile but magnetometer targets must be kept separate.
- Elevation and depth below seabed grids and contours for all interpreted interfaces (including gridded geohazards, e.g. top shallow gas). Grid and contour coverage must be consistent with the associated extent polygons.
- Polygon extents for each identified geological unit and Formation and all spatially-extensive geohazards (gas, significant channels, areas of faulting etc.). Areas where an interface or geohazard is thought to be present but is not interpretable must be differentiated from areas where it is thought to be absent.
- Point and polyline geohazards (suspected boulders, isolated peat occurrences of too small an extent to be gridded, etc.).
- Seabed sediment classification.



- Bedform classification.
- Geotiffs of all reported side scan sonar contacts.

All raster deliverables for single-variable data should be supplied as single-band files with actual cell values (e.g. elevation, intensity), not as multi-band RGB images, with the exception of the SSS mosaic.

The master map (\*.mxd document) should include a layout containing at minimum a map window (with appropriate graticule), scale bar and legend. All data should be symbolized using similar schemes as per the report charts for ease of cross-referencing.

Layers should be grouped into meaningful categories (background mapping, geohazards, seabed features, etc.) and layer and group names should be used that can be easily cross-referenced to the report.

### **Section III. Geotechnical Investigation program requirements**

#### **A. Objective of Geotechnical Investigation**

The objectives of the field investigation and laboratory testing program are:

1. To supplement the preceding geophysical survey by collecting soil data at specific locations in order to calibrate or “ground-truth” the seismic data. This will enable the further development of the geological ground models for each contiguous draft WEA in Hudson North and Hudson South (shapefiles available here: <https://www.nyserda.ny.gov/ny/Offshore-Wind-Geo-Investigations>) that will be initially based on the geological desk study and the results of the geophysical survey;
2. To help determine, together with the seismic data, the general vertical and lateral variation in seabed conditions across the two study areas;
3. To provide relevant geotechnical data for the preliminary design of potential offshore wind farms in the region, including, but not limited to foundations and cables;
4. To support the assessment of suitability of construction vessels used during the construction phase of WTG and OSS structures.

#### **B. Services Requested**

NYSERDA seeking an offshore geotechnical site investigation Contractor to undertake a preliminary soil investigation in accordance with international standards and guidelines, and relevant BOEM guidelines. The services should include: development of a field survey plan for field investigations including process for coordinating with fishermen and other mariners, obtaining all authorizations/permits necessary to perform the work, *in situ* testing using a piezocone penetrometer, collection of soil samples from drilled boreholes, laboratory testing of soil samples, data processing and analysis, and reporting. Archaeological resource identification surveying may also be required to provide coverage of any seafloor area that will be physically disturbed by the geotechnical investigation, as per BOEM *Guidelines for Providing Archaeological and Historic Property Information*.

Following the state-of-practice for offshore wind farm site investigations, it is preferred that the *in situ* piezocone penetrometer testing (PCPT) is carried out using both a seabed system and within the boreholes. A seabed PCPT system is widely acknowledged as providing the most cost-effective means of gathering high quality soil data and is particularly useful for preliminary investigations where a large area needs to be investigated on a tight budget. The only disadvantage is that the maximum test depth cannot be guaranteed, since it is dependent on the soil conditions encountered. In contrast, it is possible to guarantee the depth of (down-hole) PCPT testing within a drilled borehole.

However, it is not sufficient to obtain only PCPT data. Laboratory testing of soil samples is also necessary in order to confirm the soil type and to calibrate the interpreted geotechnical parameters derived from the CPT

data, especially the undrained shear strength of cohesive materials. In order to obtain soil samples over the full depth of interest, drilled boreholes are required at selected representative locations.

The contractor may, at NYSERDA's request, be required to coordinate with one or more research or academic institutions, making reasonable accommodations to share sediment samples and/or information to support appropriate and relevant research projects.

### **C. Types and Locations of Measurements**

NYSERDA will select the investigation locations and depths based on the results of the geophysical surveys. The quantities of seabed PCPTs and sampling boreholes will depend on the available budget (current estimate is around \$2,000,000). The balance between seabed PCPTs and boreholes will also depend on the lateral variability in geological conditions across the two sites and a consideration of the need to have as many investigation points as possible versus the need for soil samples at specific locations. However, it is anticipated that the ratio of seabed PCPTs to boreholes will be around 5:1.

### **D. Vessel Requirements**

The vessel(s) must fulfil all requirements in accordance with the national and international provisions and conventions applicable in each case at the place of performance, including the IMO Convention (for example SOLAS, ISM, MARPOL and STCW). This must be substantiated with valid certificates for vessels, crew and (anchoring-, crane-, lifting-, lifesaving-, firefighting-, etc.) equipment. Certificates must be valid until 3 months after end of the Work, at a minimum. Insurance commensurate with industry standards for the type of work solicited will also be required.

- Vessel(s) (at least Dynamic Position System 2 (DP2)) must be capable of undertaking the Work as specified in the Scope of Work. Vessel(s) should have as a minimum a length overall of 70 metres and a beam of 15 metres.
- Vessel(s) must be capable of continuous operation of 7 days, 24 hours a day.
- Vessel(s) must have adequate capacity and facilities for:
  - Accommodating (berths and workspace) for both marine and survey crews including Client Offshore Representatives for working in two 12 hour shifts per day;
  - storage and bunkering capacity for spares, consumables, fuel etc.;
  - onboard QC and processing of investigation data.
- Vessel(s) must comply, as a minimum, to the code of practice according to IMCA guidelines (Contractor must submit prior to start of mobilization an independent inspection report/audit that fulfils the corresponding IMCA guideline for the used vessel category and have been passed successfully. This inspection report should not be older than six months before start of mobilization and all items in the checklist are answered with 'Yes' or 'N/A'.)

### **E. Survey Technology**

NYSERDA has a strong preference for the following types of geotechnical equipment to be used:

1. A seabed PCPT system with a minimum 20-tonne thrust capacity and sufficient rod length for a target penetration depth of 50m below seabed.
2. A conventional offshore heave-compensated rotary-flush drilling rig with the capability for deploying downhole tools for push sampling (76mm / 3-inch diameter Shelby tubes), hammer sampling (2-inch & 3-inch diameter), and PCPT.

Furthermore, NYSERDA anticipates that the optimum geotechnical solution will involve a combination of seabed PCPT and drilled boreholes (involving sampling, rock coring if necessary, and downhole in situ testing i.e. PCPT, SCPT). This combination of techniques normally maximizes the number of investigation locations

and the total depth over which data is obtained, whilst ensuring that a site-specific calibration is undertaken of the CPT data from laboratory tests on soil samples. However, it is acknowledged that the vessel mobilization costs could represent a significant proportion of the available budget, which may limit the typical benefits of this solution, depending on whether one or two vessels would be required. Therefore, the proposer is invited to consider the cost-benefit of a borehole-only solution, a seabed CPT-only solution, and a combination of the two when formulating a proposal for the geotechnical investigation.

NYSERDA will consider alternative technology options provided that the likely quality of results and the cost-effectiveness of the works can be demonstrated clearly by the proposer. However, it should be noted that a jack-up vessel is considered to be an unsuitable option for this site considering the general uncertainty in soil conditions and the lack of any soil data for the necessary site-specific leg penetration assessments at each location.

The proposer shall demonstrate that they can provide, and deploy appropriately, geophysical survey equipment for the purposes of archaeological resource identification that meets the specifications described by the BOEM *Guidelines for Providing Archaeological and Historic Property Information* (Side-Scan Sonar, magnetic gradiometer and Sub-Bottom Profiler). However, pricing of archeological resource identification surveying is not required in the proposer's tender.

Materials and equipment or parts thereof provided by the proposer must be of good quality and workmanship and fit for the intended purpose.

## **F. Recovery of Samples and Laboratory Testing**

### **1. General**

The following tasks shall be carried out offshore on the geotechnical drilling vessel:

- Sample logging immediately after a sample has been retrieved by a qualified Contractor's (engineering) geologist, and photography;
- Moisture content and unit weight measurements;
- Pocket penetrometer tests or torvanes if appropriate on cohesive soil samples;
- Unconsolidated Undrained Triaxial Compression Tests (UU tests);
- Selection and proper preservation of suitable of "undisturbed" cohesive samples to avoid a change of the soil properties (e.g. waxing of and preservation in cardboard tubes or preservation of whole cores) including labelling of core sub-samples for onshore testing.

All core logging and soil testing shall be carried out, where applicable, respectively to Eurocode EN 1997-2:2007, ISO 19901-8:2014, BS 5930, and BS 1377 or NYSERDA approved equivalent.

### **2. Sample Photography**

Each recovered sample shall be cleaned of drilling fluid, photographed intact, and after removal of a thin veneer of sample to expose any stratigraphy, surface structure or change in properties shall be photographed again. After subsampling to preserve undisturbed material and testing the remaining core shall be split and photographed again to record the internal structure so that all details are clearly recognizable in accordance with a NYSERDA approved standard. As a minimum 12MPX resolution is required in order that quality, focus, color and resolution shall be adequate to resolve millimeter scale features.

The borehole identification, date of sampling, depth data and top/bottom identification must be legible along with the project identification, borehole number, sample identification, sample depth, a graphic length scale and a standard of tints.

The Contractor shall be required to demonstrate a system to prove that every sample is photographed to a standard to be accepted by NYSERDA and recorded on to hard storage media. Examples shall be provided to the Client Offshore Representative for approval prior to photography commencing.

### 3. Laboratory Testing

Onshore Laboratory testing shall be performed on the preserved samples at an approved laboratory selected by the Contractor. Any subcontracted testing shall require the approval of NYSERDA. As a general guideline, the following types of tests will normally be required for the different material types expected. The actual testing program shall be proposed by the Contractor and approved by NYSERDA.

#### Cohesionless Soil

- Natural water (moisture) content
- Bulk density
- Particle density
- Particle size analysis (sieve)
- Particle size analysis (using sieve and pipette method for fines fraction)
- Maximum and minimum density
- Carbonate tests
- Organic tests (dichromate or loss on ignition)
- Isotropically consolidated drained (CID) compression triaxial tests
- Shear box tests

#### Cohesive Soil

- Natural water (moisture) content
- Bulk density
- Particle density
- Particle size analysis (using pipette method for fines and if applicable sieve)
- Atterberg limits (plastic and liquid limits, fall cone test)
- Organic tests (dichromate or loss on ignition)
- Unconsolidated undrained (UU) triaxial compression tests on undisturbed samples
- Unconsolidated undrained (UU) triaxial compression tests on remoulded samples
- Isotropically consolidated undrained triaxial compression test (CIU)
- Incremental Loading (IL) oedometer compressibility tests
- Constant Rate of Strain (CRS) compressibility tests

#### Rock

- Natural water (moisture) content
- Uniaxial compressive strength (UCS) tests
- Point load tests
- Carbonate tests

### 4. Storage of Samples

On board the vessel, samples shall be stored in a temperature stable environment (5-10°C) with no exposure to direct sunlight and in compliance with the standards as specified above. In the onshore laboratory, samples shall be stored in a temperature (5-10°C) and humidity-controlled enclosure and in compliance with the standards as specified. NYSERDA shall approve proposed methods and conditions of storage.

The soil samples shall be stored onshore by the Contractor for a period of thirty-six (36) months following the soil samples receipt at the onshore laboratory during which time NYSERDA shall be granted free access to the same. The Contractor shall store the cores in containers so that they can be retrieved easily. Storage shall be in a temperature and humidity-controlled environment to ensure the samples do not dry out or suffer any other damage and in compliance with the standards as specified.

The Contractor shall confirm and detail the precise method of long-term storage and temperature control for NYSERDA approval.

Following the minimum thirty-six (36) months storage period, NYSERDA shall instruct the Contractor of one of the following:

- a further period of storage,
- safe and legal disposal of all samples or
- NYSERDA collection of said samples.

For the avoidance of doubt, the Contract Price shall include for the safe and legal disposal of all samples of storage. Further storage shall be at cost to NYSERDA by contract modification.

### **G. Data Analysis**

The Contractor is required to process, analyze and present the factual data in accordance with the relevant test standards. In accordance with standard practice, the Factual Geotechnical Report should include factual results from the laboratory tests and measured parameters from the PCPT tests (i.e. cone tip resistance, sleeve friction, excess pore water pressure) in addition to the normal geotechnical parameters that are interpreted from the measured parameters (i.e. net cone resistance, friction ratio, pore pressure ratio, undrained shear strength of cohesive soils, and relative density of cohesionless soils).

The Contractor may also be required to analyze all the results from the geotechnical investigation and the geophysical survey in order to develop a Geological Ground Model for the study areas. However, this is an optional item, which will be requested at the discretion of NYSERDA.

The detailed contents of the geotechnical investigation reports are presented in Section H below.

### **H. Reporting and data deliverables**

#### **1. Daily Progress Reports**

During the offshore execution of the works Contractor shall issue to NYSERDA Daily Progress Reports (DPR) to be submitted before 12:00hrs the next day. The format and content of the daily report shall be submitted to NYSERDA for approval prior to implementation, but shall include as a minimum:

- Activities executed in the past 24 hours and cumulative to date described in all phases, in total numbers and in percentages;
- Activities planned for the upcoming 24 hours;
- Any occurrence causing delay to the project with consistent abbreviations/codes, including but not limited to:
  - equipment downtime;
  - scheduled maintenance;
  - instrument calibrations;
  - occurrence of Waiting on Weather;
  - Weather standby below workable weather limits;
  - other standby;
- Daily observation and registration of weather and sea state;
- HSE occurrences such as incidents, accidents, near misses, safety meetings, safety stand downs, number of safety drills, toolbox talks and persons on board, number of HSE observations, together with measures taken and status
- Non-conformance reporting

The DPRs will be provided in a consistent PDF format to be pre-approved by NYSERDA and will not be scanned. The Contractor submits the Daily Progress Report to the Client Offshore Representative for comments.

## 2. Weekly Reporting

The Contractor shall also issue a weekly report providing insight in the progress of the Work on a weekly basis.

The weekly progress report of the Contractor shall include, but not be limited to, the following subjects:

- Work in progress;
- Health Safety & Environment;
- Safety Statistics;
- Status summary work schedule, including weekly planning update;
- Forward looking information for the next two reporting periods;
- In case of deviations from the program: proposals for remedial action together with any revised plans and projections needed to substantiate or explain proposals.
- Status of queries / concession requests;
- Risk Log including areas of concern and actions taken to address them;
- Change control, including list of issued and potential Variation Orders;
- Updated document register;
- Photographs of relevant achievements;
- Areas of concern.

## 3. Preliminary Field Borehole Logs and PCPT Results

The Contractor is to provide preliminary PCPT results within 24 hours of completion of the borehole. The Contractor is to provide the preliminary (field) borehole logs containing the offshore lab test results within 48 hours of completion of the borehole. Prior to submitting the borehole logs and PCPT results, the Contractor's lead engineer shall review and approve the data for release to NYSERDA. The combined results will be used to complete the onshore laboratory test schedule.

## 4. Field Report

The Contractor shall be required to submit a reporting template for the Field Report within one week after the start of the offshore works. The draft Field Report shall be made available within two weeks of the completion of the fieldwork.

The Field Report shall include but is not limited to:

- Executive management summary
- A statement of the purpose of the investigation;
- A description of the work carried out, including reference to specification and standards adopted and any deviations from them;
- Exact locations of all boreholes and seabed PCPTs. The coordinates should also be provided in electronic format (xlsx);
- Drawings (GIS format or similar as well as PDF) showing the locations of the boreholes and seabed PCPTs undertaken;
- Preliminary (field) borehole logs (including offshore laboratory tests results);
- Plots of the following final (quality assured) PCPT results:
  - Measured cone resistance
  - Measured sleeve friction
  - Measured pore water pressure
  - Friction Ratio
  - Net cone resistance
  - Interpreted relative density (granular materials), inclusive of a description of the type of correlation used for the interpretation

- Interpreted undrained shear strength (cohesive materials), inclusive of a description of the type of correlation used for the interpretation
- Calibration report including all on board calibration sheets and calibration certificates of PCPT cones used;
- Mobilization report;
- Positioning data;
- Full details of all lost and damaged equipment.

## 5. Operations Report

Unlike the Field Report and the Geotechnical Investigation Report, the Operations Report will not be published and will only be for NYSERDA internal use only since it may contain information that is sensitive or confidential for the Contractor.

The draft Operations Report shall be made available within two weeks of the completion of the fieldwork. The Operations Report shall contain:

- Daily logs (DPRs)
- Driller's and CPT operator's log and recorded drilling parameters (i.e. torque, mud pressure, bit weight)
- Incident reports

## 6. Geotechnical Investigation Report

The contractor shall submit a reporting template for the Geotechnical Investigation Report within two weeks after start of the offshore works. The contractor shall also submit an interim version of the Geotechnical Investigation Report containing all available standard laboratory test results six (6) weeks following the completion of fieldwork. The Contractor shall submit a draft final version of the Geotechnical Investigation Report containing all laboratory test results no later than twelve (12) weeks following the completion of fieldwork.

One Investigation report and associated data archive shall be submitted for each contiguous draft WEA.

The draft final version should include:

- Executive management summary;
- A statement of the purpose of the investigation;
- A description of the work carried out, including reference to specification and standards adopted and any deviations from them;
- Exact locations of all boreholes and seabed PCPTs. The coordinates should also be provided in electronic format (xlsx);
- Drawings (GIS or similar as well as PDF) showing the locations of the boreholes and seabed PCPTs undertaken;
- Plots of the following final (quality assured) PCPT results:
  - Measured cone resistance
  - Measured sleeve friction
  - Measured pore water pressure
  - Friction Ratio
  - Net cone resistance
  - Interpreted relative density (granular materials), inclusive of a description of the type of correlation used for the interpretation
  - Interpreted undrained shear strength (cohesive materials), inclusive of a description of the type of correlation used for the interpretation
- Final offshore and onshore and laboratory test results including summary tables;
- Final borehole logs including the measurement while drilling results;
- Color photographs of samples and cores;

- ASCII data of PCPTs;
- Lab test data in AGS format;
- An overview of the remaining samples that will be stored.

The contractor must ensure that the terminology used in the geophysical report is transferred without alteration into the Geotechnical Investigation Report, including that of geological formation naming.

The contractor shall provide a digital draft report, which shall be made final after processing of comments and approval by NYSERDA. The draft report shall contain all the information which is to be included in the final report. Both draft and final field report shall consist of two (2) electronic copies to be provided digitally (HDD). The contractor shall provide four (4) electronic copies of the final Factual Geotechnical Report and data. Digital data shall be provided for both draft and final reports.

## **Section IV. Ground Model Update program requirements**

### **A. Objective of Updated Ground Model**

The objective of this ground model update is to produce an integrated set of data and reports that build on the Geophysical and Geotechnical Investigations results. The goal is that, through integration and refinement of the Investigation results, more robust Ground Models are developed that are consistent with all available data and are suitable as a basis for full-coverage, BOEM-compliant Ground Models (development of full-coverage Ground models is outside the scope of the works requested in this RFP).

In developing the ground model update, the contractor shall re-assess and refine the interpreted seismo-acoustic model developed during the geophysical survey using the geotechnical data and assign geotechnical parameters to each soil unit.

### **B. Data Analysis**

If selected by NYSERDA to carry out this work, the contractor shall integrate all geophysical and geotechnical data sets (including all other relevant data provided by NYSERDA and available in the public domain) and create an updated ground model (report including drawings) for each contiguous draft WEA.

The ground model update scope shall be developed in conjunction with NYSERDA and the Owner's Engineer. As part of the integration and modelling process, should difficulties be experienced in integration due to either the geophysical or soils data, the Contractor shall discuss with NYSERDA and agree what processes are required to enhance the integration process. This may involve but not be limited to reinterpretation of the geophysical data set. The Contractor is encouraged to discuss any issues that may arise and to seek advice and guidance where required. The Contractor is also encouraged to engage with NYSERDA throughout the ground model update phase and to encourage discussion on the progression of the works and any perceived issues.

### **C. Reporting and Data Deliverables**

#### **1. Strategy Note**

Prior to starting work, the selected contractor will be required to prepare a short technical note listing all input data and reports and outlining the proposed strategy for the integration of the various available datasets.

#### **2. Ground Model Report**

The contractor shall be required to submit a reporting template for the Ground Model Report on instruction from the Owner's Engineer, following the geotechnical field campaign. The ground model reporting and data archive must build upon the Geophysical and Geotechnical Investigation results: all



seabed and sub-bed grids/rasters, point, polyline and polygon features mapped by these Investigations must also be present in the Ground Model data archive, whether unchanged or updated. They must also be reported/mapped in the Ground Model report at an appropriate level of detail (with references as necessary to the Geophysical and Geotechnical Investigation reports) such that the Ground Model report can be understood as a stand-alone document.

One Ground Model report and associated data archive will be required for each contiguous draft WEA.

In addition to the existing Ground Model data as described above, the Ground Model shall include the following:

- Depth to top of Soil Unit maps, and contours for all units;
- Thickness of Soil Unit maps, and contours for all units;
- Identification of any geohazards;
- Location of all geophysical and hydrographic survey lines;
- Location of all boreholes and seabed PCPTs.

The Ground Model Report shall also include the following:

- Identification of the soil layers and extent thereof that can be found over the two study areas.
- Plots of the following geotechnical parameters versus depth (below seabed and below LAT) for each borehole and each geological soil unit:
  - Measured water content and Atterberg Limits
  - Measured bulk and dry unit weights
  - Derived submerged unit weight
  - Particle size by mass percentage less than 2, 60 & 2000  $\mu\text{m}$
  - Net cone resistance
  - Friction ratio
  - Undrained shear strength (measured from lab tests and interpreted from PCPT results)
  - Relative density (interpreted from PCPT results)
- Identification of areas within the study areas that can be qualified in terms of suitability and quantified in terms of reduced or elevated development and installation costs.
- Identification of the suitability of or possible constraints across the two study areas regarding:
  - Transfer of forces from wind turbine & substation foundation to seabed
  - Piling of foundations e.g. presence of boulders or rocks
  - The use of jack-ups
  - The use of gravity base foundations
  - The use of foundations based on suction piles or suction buckets
  - The use of novel or composite foundations
  - The installation of cables
- The following charts / cross-sections are to be reported and are considered to be a minimum:
  - Long-line and cross-line sections through boreholes and seabed PCPTs (superimposed and fully annotated).
  - Minimum three type section charts per development area showing interpreted seismic data with superimposed geotechnical interpretations that demonstrate that the geotechnical and geophysical interpretations are consistent, and the constrained ground model is robust.
  - Charts comprising the mapped top of each major geological soil unit surface identified and the mapping of each of the major geological soil unit thicknesses.
- Charts are to be provided in PDF and in an approved GIS-compatible format.

All data shall be provided with appropriate metadata that are compliant with BOEM metadata requirements specified in Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Surveys<sup>6</sup>. Both the Draft and Final Reports must be accompanied by a complete set of data deliverables, including the project GIS archive. Data shall be provided via multiple portable hard drives (4).

## **Section V. Waiting on Weather principles**

### **A. Definitions**

Waiting on Weather shall mean standby or non-operational time of equipment and/or vessels of the contractor due to adverse weather conditions or forecasted weather conditions at the site.

Waiting on Weather occurs if the offshore Investigation cannot be continued or started at the time planned for its commencement, as stated in the contractors program and as specified in the daily progress reports.

Waiting on Weather can only occur if the Workable Weather Limits as stated by the contractor are exceeded.

Exceptional Weather Delay shall mean the number of Waiting on Weather days exceeding the estimated number of such days (Waiting on Weather Allowance) specified in the contractor's proposal (Attachment A – Cycle times and Rates – 5.1 (geophysical campaign) and 8.1 (geotechnical campaign)).

### **B. Principles**

The consequences of Waiting on Weather incurred by the contractor in executing the work are handled as follows:

- Option 1: Lump sum including weather  
In this scenario the contractor has an allowance for Waiting on Weather and will be granted an extension of the Key Dates for delivery of the deliverables in case the contractor can demonstrate to have suffered Exceptional Weather Delay. However, no adjustments of the Contract Price shall be made in case of Exceptional Weather Delay.
- Option 2: Lump sum excluding weather  
In this scenario the contractor has not allowed for any compensation for Waiting on Weather. The Contract Price shall be adjusted by way of variation for actual Waiting on Weather and such adjustment shall be on a pro-rata basis measured to the nearest minute based upon the standby rate set out in Attachment A. The contractor will be granted an extension of the Key Dates for delivery of the deliverables in case the contractor can demonstrate to have suffered Exceptional Weather Delay.

The contractor is required to include the Workable Weather Limits, the Waiting on Weather Allowance and vessel standby rate in Attachment A. NYSERDA will choose the preferred way forward (option 1 or 2) based on an assessment of the prices.

### **C. Determination**

1. Waiting on Weather will not apply under the following conditions:
  - (a) Before commencement of the work;
  - (b) During mobilization and demobilization activities;
  - (c) During suspension of the work, except when requested by NYSERDA

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<sup>6</sup>[https://www.boem.gov/uploadedFiles/BOEM/Renewable\\_Energy\\_Program/Regulatory\\_Information/Spatial\\_Data\\_Guidelines.pdf](https://www.boem.gov/uploadedFiles/BOEM/Renewable_Energy_Program/Regulatory_Information/Spatial_Data_Guidelines.pdf)

- (d) When contractors vessel and/or equipment required for the execution of the survey activity is not or not fully operational and available due to, inter alia, breakdown, calibrations, maintenance or any other reason preventing the use of the equipment;
  - (e) When the full complement of contractors personnel required for the execution of the work is not available or operational;
  - (f) When contractors vessel or auxiliary equipment is on standby as a consequence of weather conditions below the Workable Weather Limits specified in Attachment A;
  - (g) After the Offshore Completion Date including Waiting on Weather as defined in Attachment A
2. In case more than one vessel is engaged, Waiting on Weather will be determined per vessel based on the principles described above and the Workable Weather Limits of the concerned vessel including equipment.
  3. Extension of the Offshore Completion date is only applicable in case the vessel experiencing Waiting on Weather is on the critical path towards the Offshore Completion Date.
  4. Waiting on Weather for a given day shall never be counted twice when determining extension of the Offshore Completion Date. E.g. if two vessels are on the critical path towards offshore completion, and both qualify for Waiting on Weather for a given day, then this will amount to a single day of extension.

## **Section VI. Environmental Protection**

The selected contractor(s) will be responsible for obtaining all required permits to support the campaigns. The proposer(s) must demonstrate that:

- to the extent necessary for the execution of the services, the proposer has the ability to secure any required environmental permits and comply with the prevailing environmental laws and regulations, and
- the proposer has an environmental management system for which he holds a valid internationally recognized certificate, such as the ISO 14001 certificate.

Or that it has a quality assurance system that is at least equivalent to a certified environmental management system. The term 'equivalent' should be interpreted as 'having the following attributes':

- environmental performance is embedded organization-wide (in policy), adopted by the responsible management, and promoted by that management. That management is also responsible for the proper setup, implementation, and control of the environmental policy;
- comprehensive insight in the environmental laws applicable to the business operations and the compliance with them (observed based on control/enforcement);
- insight in where the business operations impact the environment and how to reduce this impact;
- the presence of plans and the execution of actions to further reduce the environmental impact;
- the presence of a periodical and independent verification of the compliance with the agreements on environmental performance;
- the presence of reports on the compliance with the agreements on environmental performance;
- If the Offer is submitted by a partnership (consortium), then each participant in the partnership must individually meet the requirements concerning environmental performance.

## **Section VII. Management of Data**

### **1. Quality Management System**

The contractor shall operate a quality assurance (QA/QC) system compliant with latest international quality standards (European standards series EN 45000 or equivalent) certified by an accredited body as recognized by European Co-operation for Accreditation (EA), or the International Accreditation Forum (IAF). The certified system must relate to all stages of the work and provide a full auditable trail for all works. The possession of valid certification will not affect NYSERDA's right to verify and monitor the contractor's QA/QC arrangements being comprehensive and implemented for the work.

### **2. Project Execution Plan**

The contractor shall implement a management system assuring the safe and adequate management of the Work covering all (Work) preparation, engineering, transportation, measurement/inspection, quality, health, safety, environmental and interface aspects, all in accordance with the requirements of the Contract.

The overall management structure of the project shall be described in a Project Execution Plan to be submitted by contractor. The Project Execution Plan shall describe the implemented procedures with regard to, but not limited to, the management of:

- The overall project
- Scope
- Methods and vessel(s) used
- Planning
- QHSE
- Organization
- Communication and Information
- Risks
- Procurement

Geodetic Parameters (Datum Definitions, Projection Definitions and Height Datum Definitions), navigational accuracy, tidal height accuracy, frequency and method of navigation checks and positioning specifications and the specifics of all co-ordinate system transforms are expected to be stated in the contractor's Project Execution Plan for approval by NYSERDA and reported in the Field Report.

The PEP shall demonstrate that the vessel(s) and equipment have been thoroughly thought through to achieve the investigation objectives in an efficient manner. It shall be described in detail how the vessel(s) and equipment configuration are optimized for efficient data acquisition. The investigation data processing, analysis, interpretation and reporting methodologies must sufficiently detailed to demonstrate that they can achieve the Investigation objectives. Proposed deliverables and their formats must be tabulated to demonstrate that all deliverables required for the Investigation will be provided in BOEM-compliant formats.

The contractor shall ensure that the Project Execution Plan is approved by NYSERDA at least 3 days before the offshore survey work under the Contract is commenced, and that any subsequent amendments to the Project Execution Plan during the execution of the Work by the contractor are approved beforehand by NYSERDA.

The contractor shall allow for sufficient time for review and revision taking into account the review periods as detailed in this Contract document.

### 3. Project Quality Plan

The contractor shall prepare a Project Quality Plan (PQP) describing how its quality policy is implemented for the Work. The PQP shall address the systems and specific Quality Assurance (QA) requirements, taking into account all relevant provisions in all Sections of the Contract. The PQP shall be in accordance with contractor's documented quality management system and shall describe, as a minimum, all quality assurance and quality control issues that are relevant for all activities of the Works awarded under the Contract. The PQP shall describe at least:

- Quality management organization and staffing (including but not limited to organization charts, CV's, qualifications, previous experiences, etc.);
- Quality management procedures;
- Project control procedures;
- Procedure handling of documents;
- Calibration and checks of equipment procedure;

- Validation, verification & performance test procedures;
- Project Audit Plan.
- A comprehensive inventory of the risks that lead to a lower data quality or risks that have an impact on the quality of the deliverables of the survey including mitigation measures.
- Processes used to continuously monitor to ensure coverage and quality.
- The quantitative data acceptance thresholds that will be used by the offshore survey team, and how these will be applied, and approximate timelines for approval/rejection of data.
- Re-shoot policy in the case one or more data type is rejected for any line.

All activities and works by the contractor and his subcontractors shall be carried out in compliance with the Project Quality Plan.

The contractor shall ensure that the Project Quality Plan is approved by NYSERDA at least three days before the offshore Work under the Contract is commenced, and that any subsequent amendment to it by the contractor is approved beforehand by NYSERDA.

The contractor shall allow for sufficient time for review and revision, accounting for the review periods as detailed in point 6 below.

#### 4. Document Management System

The contractor shall implement a document management system in which all documents are uniform, in which they have a unique number, in which they can be traced, and in which they are kept in a safe and easy way. All documents should be appropriately labeled, as applicable, in the event that they contain any confidential or proprietary information.

The quality documents must be part of/integrated in the overall document management system. All documents produced by or on behalf of the contractor shall be subject to the contractor's internal review, to verify compliance with the Contract requirements, statutory requirements and good engineering practice.

The contractor shall provide a Master Document Register or similar. Where naming, status and planning of transfer of documents shall be maintained.

#### 5. Document Flow

The contractor shall provide NYSERDA with a procedure describing its document flow system: every document can be followed, at each moment the actual situation is visible, the distribution is clear (who is informed, who is concerned).

Information requested by NYSERDA in any stage of the project shall be submitted as soon as possible and within the timeline as indicated by NYSERDA, as far as reasonable.

The reporting requirements for the work are detailed in Section II.H and Section III.H.

Reports and deliverables will be delivered by the contractor in pdf and original, regular, formats (docx; xlsx; ppt; etc.).

## PART 3. OWNERS ENGINEER

### Section I. Program requirements

#### A. Services Requested

NYSERDA is looking for a contractor with specific qualifications and expertise in order to act as the Owner's Engineer and project manager of the Geophysical Investigation, Geotechnical Investigation, and (optional) Ground Model update described in PART 2 of this RRP, including interfaces.

The following sections describe the required support tasks and equivalent requirements for the expert support team for each task.

#### B. Geophysical Investigation Support

Task 1: Geophysical expertise (approximately 500 hours)

These expert(s) must be geophysicist(s) with experience in geophysical soil investigations and operations for wind farm/foundation/infield cable design. Experience on the New York coastal areas is preferable, but experience in other geographical areas with similar conditions is also considered relevant.

Required know how (the experts together must cover the required know how):

1. The general site conditions, especially the shallow geology to 100 meters below seabed (m bsb), in the Atlantic coastal areas off New York;
2. Relevant state of the art research, data acquisition and analysis methodologies of geophysical campaigns for wind farm/foundation/infield cable design projects;
3. Ground Model construction from geophysical, hydrographic and geotechnical data;
4. State of the art equipment (vessels, hydrographical and geophysical (in particular seismic survey equipment)).
5. Working with IHS Kingdom software (version 2015 or higher) - software must be available, will not be supplied by NYSERDA.
6. Provision of a Qualified Marine Archaeologist meeting the Secretary of the Interior's Professional Qualifications Standards (48 FR 44738- 44739) with experience in conducting HRG surveys and processing and interpreting the resulting data for archaeological potential, who can provide archaeological expertise in line with NYSERDA's Cultural Resources Study (<https://www.nyserdera.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25h-Final-Cultural-Resources-Study.pdf>).
7. Working with relevant BOEM guidelines, in particular:
  - *Guidelines for Providing Geophysical, Geotechnical, and Geohazard Information Pursuant to 30 CFR Part 585* dated July 2, 2015 (BOEM 2015a).
  - *Guidelines for Providing Archaeological and Historic Property Information Pursuant to 30 CFR Part 585* dated March 2017 (BOEM 2017).
  - *Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Survey* dated February 1, 2013 (BOEM 2013a).

Activities will include (but are not limited to):

- Support finetuning and finalizing Scope of Work for the geophysical campaign;
- Review and evaluate technical requirements of project plans (e.g. project documentation, suitability vessels and equipment, equipment set up, project execution plan, line plan), in some cases providing a second opinion;
- Review of (intermediate) deliverables (for example reports, hydrographical data, geophysical data and ground model if appropriate);
- Support in transferring results of geophysical survey to geotechnical survey;

- Support in disclosing deliverables;
- Support in managing interfaces with other studies (Geotechnical Investigation and Ground Model Update).

Two senior experts need to be included in the proposal at a minimum.

Task 2: Support project and contract management of geophysical survey (approximately 500 hours)

Required know how (the experts together must cover the required know how):

1. Good understanding of geophysical surveys for offshore wind farm development;
2. Procurement and (contract) management of geophysical surveys;

Activities will include (but are not limited to):

- Review and evaluate commercial requirements of project plans (e.g. project documentation, suitability vessels and equipment, weather downtime arrangements, project execution plan);
- Support the commercial negotiations to close the contract.
- Support in managing the geophysical survey, monitor progress and take action where needed (including check on required actions from daily reports during the survey and the weekly progress reports from the geophysical contractor);
- Organize weekly progress meetings and participate in weekly progress meetings with the geophysical contractor;
- Quality assurance and quality control;
- Align input from other tasks and experts (experts under Task 1.1 and other NYSERDA experts). This includes participation in expert meetings;
- Document control, e.g. manage all documents of geophysical campaign;
- Contract management (including interface management);
- Prepare potential handovers of task to other experts.
- Data storage and distribution by means of an appropriate method such as SFTP.

Two senior experts need to be included in the offer as a minimum.

Task 3: Onboard Client Representation (approximately 400 hours)

The Geophysical Client Representative will be responsible for:

1. independently monitoring the contractor's geophysical and hydrographic data quality with respect to the investigation objectives.
2. take decisions offshore within a predefined mandate
3. Independently monitor the campaign is performed in accordance with the projects HSE requirements

The Client Representative should therefore have:

1. Required: Experience with shallow seismic surveying for shallow geological characterization, meaning work focused on depths from seabed to 100 m bsb *and* experience with all of the following
  - Sub-Bottom Profiling (SBP) as a primary method for geological characterization in depths of 0-15 m bsb,
  - Boomer or high-bandwidth Sparker Single-Channel Seismic surveying with particular reference to the top 30-40 m bsb, and
  - Ultra-High-Resolution Multi-Channel (UHR-MCS) surveying focused on the full depth range from seabed to 100 m bsb, preferably with a high-bandwidth Sparker source.
2. Required: Experience as offshore client representative on at least 2 previous offshore geophysical investigations for offshore wind farms.

3. Required: Experience of operating in similar survey conditions (sea states, seabed conditions) to those encountered in the New York Bight.
4. Required: Experience with Multi-Beam Echo-Sounder, Side-Scan Sonar and magnetometer or magnetic gradiometer surveying in water depths of up to ~50 m.
5. Required: Experience with health, safety and environmental regulations onboard geophysical survey vessels
6. Preferred: Experience of working in the New York coastal areas on geological investigations.
7. Preferred: Experience in data acquisition to compliance with BOEM guidelines for High-Resolution Geophysics (HRG) surveys.

It is foreseen that one Offshore Client Representative will be onboard during the operations.

Two senior representatives need to be included in the proposal at a minimum.

### C. Geotechnical Investigation Support

Task 1: Geotechnical expertise (approximately 500 hours)

These experts must have geotechnical engineering skills with experience in operations for wind farm / foundation / infield cable design, preferably for projects off the New York coast of the United States. Experience in other geographical areas with similar conditions to the New York coastal areas is also considered relevant.

Required know how (the experts together must cover the required know how):

1. The general site conditions, especially the shallow geology till 100 meters BSF, in the Atlantic coastal areas off New York;
2. State-of-the-art methods and equipment for drilling, sampling and *in situ* testing (PCPT);
3. State-of-the-art lab tests (standard and effective stress testing);
4. Provision of a Qualified Marine Archaeologist meeting the Secretary of the Interior's Professional Qualifications Standards (48 FR 44738- 44739) with experience in conducting HRG surveys and processing and interpreting the resulting data for archaeological potential, who can provide archaeological expertise in line with NYSERDA's *Cultural Resources Study* (<https://www.nyserda.ny.gov/-/media/Files/Publications/Research/Biomass-Solar-Wind/Master-Plan/17-25h-Final-Cultural-Resources-Study.pdf>). Interpretation of results for wind turbine foundation and infield cable design purposes;
5. State-of-the-art design methods for wind turbine foundations;
6. Compiling or reviewing ground models;
7. Working with IHS Kingdom software (version 2015 or higher) - software must be available, will not be supplied by NYSERDA.
8. Working with relevant BOEM guidelines, in particular:
  - *Guidelines for Providing Geophysical, Geotechnical, and Geohazard Information Pursuant to 30 CFR Part 585* dated July 2, 2015 (BOEM 2015a).
  - *Guidelines for Providing Archaeological and Historic Property Information Pursuant to 30 CFR Part 585* dated March 2017 (BOEM 2017).
  - *Guidelines for Submission of Spatial Data for Atlantic Offshore Renewable Energy Development Site Characterization Survey* dated February 1, 2013 (BOEM 2013a).
- 8.

Activities will include (but are not limited to):

- Support finetuning and finalizing Scope of Work for the geotechnical campaign, including liaison with BOEM to ensure that any archaeological survey requirements have been identified and met by the geotechnical investigation plan before submission for BOEM approval;



- Review and evaluate technical requirements of project plans (e.g. project documentation; suitability vessels and equipment; equipment set up; project execution plan), in some case providing a second opinion;
- Contribute to defining a CPT and borehole plan;
- Contribute in defining a lab testing program (standard and cyclic)
- Onshore QC of results during project execution in co-operation with the on-board Client Representative;
- Review of deliverables (for example reports, geotechnical data and ground model);
- Support in disclosing deliverables;
- Support in managing interface with other studies (including geophysical survey, geological ground model study, etc.).

Two senior experts need to be included in the proposal a minimum.

Task 2: Support project and contract management of geotechnical survey (approximately 500 hours)

These expert(s) must have experience in managing geotechnical investigations for offshore wind farm development.

Required know-how (the experts together must cover the required know how):

1. Good understanding of geotechnical surveys for offshore wind farm development;
2. Procurement and (contract) management of geotechnical investigations;

Activities will include (but are not limited to):

- Drafting the procurement documents for the geotechnical campaign tender;
- Review and evaluate commercial requirements of project plans (e.g. project documentation, suitability vessels and equipment, equipment set up, project execution plan)
- Support the commercial negotiations to close the contract.
- Support in managing the geotechnical survey, monitor progress, take action where needed (including check on required actions from daily reports during the survey and the weekly progress reports from the geotechnical contractor);
- Organize weekly progress meetings and participate in weekly progress meetings with the geotechnical contractor;
- Quality assurance and quality control;
- Align input from other tasks including participation in expert meetings;
- Document control, e.g. manage all documents of geotechnical campaign;
- Managing interfaces of all relevant desk studies and surveys (for example transferring results geotechnical survey to ground model development team);
- Managing the disclosure of documents;
- Manage the interface with the certifying body, if applicable;
- Contract management (including interface management) with other studies.
- Data storage and distribution by means of mutually agreed upon appropriate methods such as SFTP.

Two senior experts need to be included in the proposal at a minimum.

Task 3: Onboard Client Representation (approximately 400 hours)

The Geotechnical Client Representative will be responsible for:

1. independently monitoring the contractor's geotechnical data quality with respect to the investigation objectives.
2. taking decisions offshore within a predefined mandate

3. independently monitoring that the campaign is performed in accordance with the project's HSE requirements

The Client Representative should therefore have:

1. Required: Experience with performing geotechnical investigations for offshore wind farms
2. Required: Experience as offshore client representative on at least 2 previous offshore geotechnical investigations for offshore wind farms.
3. Required: Experience of operating in similar survey conditions (sea state, seabed morphology) to those encountered in the New York Bight.
4. Required: Experience with health, safety and environmental regulations onboard geophysical survey vessels
5. Preferred: Experience of working in the New York coastal areas on geological investigations.
6. Preferred: Experience in data acquisition to compliance with BOEM guidelines for geotechnical surveys.

It is foreseen that two Offshore Client Representatives will be onboard on a rotation basis during the operations.

Two senior representatives need to be included in the proposal at a minimum.

#### **D. Ground Model Update support**

Geophysical/geological/geotechnical expertise (approximately 100 hours).

If the Geotechnical or Geophysical Investigation contractor is directed to undertake the ground model update, the Owner's Engineer will be required to provide experts who have a combination of relevant geological, geophysical and geotechnical experience in developing geological ground models for offshore wind farms in the coastal waters off the eastern United States and/or other geographical areas with similar soil conditions.

Required know-how:

1. Experienced with assessment of geological ground model studies for offshore wind farms;
2. The general seabed conditions in the coastal waters off the eastern United States and/or other geographical areas with similar soil conditions;
3. Project management skills including interfacing with other campaigns (geophysical and geotechnical).

Activities will include (but are not limited to):

- Support in finalizing detailed scope of work for Geological Ground Model (if needed);
- Evaluate proposals (if needed);
- Review of the (draft) reports for the Geological Ground Model study;
- Review of the input data for the model;
- Manage reporting and document control e.g. during the Geological Ground Model study;
- Organize and participate in expert meetings;
- Support in additional questions from the market and disclosure information to the market.
- Data storage and distribution.

## **Section II. Management of data**

The Owner's Engineer shall be responsible for storing all processed data acquired during the work described in Part 2 of this RFP. The Owners Engineer shall also develop a data platform to make the data publicly available. Proposals should cost for a storage period of three years following completion of the project and include an anticipated lump sum rate for both storing and serving the data over this period. The data shall be available for download via SFTP with an easily accessible index: see <https://oswbuoysny.resourcepanorama.dnvgl.com/> for an

example of a suitable format. Where datasets are too large to serve via SFTP a hard-drive distribution method shall be used. Provision of at least 20 hard drives shall be included within the lump sum.

## **PART 4. GENERAL INFORMATION**

### **Section I. Timing of Proposed Works**

The detailed planning of the geotechnical investigation needs to be based on the results of the geophysical survey. This means that there will be a minimum gap between the completion of the geophysical fieldwork and commencement of the geotechnical fieldwork, to allow time for development of a targeted geotechnical plan based on the geophysical investigation preliminary results.

The main constraints on the schedule will be:

1. Potentially the timing of BOEM finalization of WEAs (if an announcement is imminent at the time of contracting).
2. Weather window for field campaign (optimal conditions anticipated in June through August 2020).
3. Timing of BOEM lease auction (all fieldwork must be completed).

An indicative, ideal timeline is proposed as follows:

- December 2019: Release RFP package
- January 2019: Close RFP
- February 2020: Contract Development
- Early June 2020: Commence geophysical and hydrographic surveys
- Early July 2020: Complete geophysical and hydrographic surveys
- July 2020: Geophysical Field & Operations report submission
- August/September 2020: Draft Geophysical Interpretative report submission; Geotechnical location memo submission
- September 2020: Commence geotechnical survey
- October 2020: Complete geotechnical survey
- October 2020: Second Geophysical Interpretative report submission
- October 2020: Final Geophysical Interpretative report; Geotechnical Field & Operations report submission
- November 2020: Draft Geotechnical Investigation report submission
- January 2021: Second Draft Geotechnical Investigation report submission
- January 2021: Final Geotechnical Investigation report submission
- February 2021: Draft Ground Model reporting.
- March 2021: Final Ground Model reporting.

### **Section II. Delineation of Responsibilities**

The Geophysical and Geotechnical Investigations and Constrained Ground Model Development will be managed jointly by NYSERDA and the Owner's Engineer.

The specific responsibilities of the Owner's Engineer will include:

- Review of geophysical site investigation tender submissions;
- Assisting NYSERDA with the contract negotiations;
- Finalizing the Scope of Works and Contracts;
- Reviewing the Geophysical Site Investigation contractor's project planning documentation (including Project Execution Plan, Project Quality Plan and Project Health Safety Environment Plan);
- Reviewing the contractor's geophysical field-testing report and selected acquisition parameters;
- Monitoring and assuring the progress and quality of the fieldwork through regular meetings (teleconferences) with the contractor's project management team and through the provision of client representatives onboard the vessel(s);
- Assisting NYSERDA in managing the geophysical and geotechnical contracts and any related interfaces;
- Reviewing the contractor's proposed seismic and interpretation workflows;
- Reviewing all contractor's deliverables.

The Geophysical Site Investigation contractor has the following responsibilities:

- Co-operating fully with the Owner's Engineer and any other contractors directly involved in the project including the providing a free-flow of any data obtained during the geotechnical site investigation, in accordance with any specific instructions given by NYSERDA;
- Obtaining all necessary permissions and/or notifications;
- Preparation of the hydrographic and geophysical survey plans that need to be provided (and approved) before the works can start;
- Preparation of a Field Verification Plan for the seismic source verification;
- Preparation of a marine mammal and sea turtle monitoring plan;
- Preparation of a field-testing report;
- Carrying out the works in accordance with ISO standards and other relevant guidelines for offshore site investigations for offshore wind farms;
- Informing NYSERDA on the progress of the works through provision of daily and weekly reports;
- Processing, analyzing and interpreting the data obtained through the geophysical and hydrographic surveys and presenting all results in clear reports and drawings.
- Optional: Ground Model Update.

The Geotechnical Site Investigation Contractor has the following responsibilities:

- Co-operating fully with the Owner's Engineer and any other contractors directly involved in the project including the providing a free-flow of any data obtained during the geotechnical site investigation, in accordance with any specific instructions given by NYSERDA;
- Obtaining all necessary permissions and / or notifications;
- Carrying out an independent UXO risk assessment for the proposed borehole and seabed CPT locations and undertaking any required additional measures in order to reduce the risk to as low as reasonably practical (ALARP);
- Carrying out location-specific archaeological clearance assessments for the proposed borehole and seabed CPT locations in accordance with BOEM Guidelines for Providing Archaeological and Historic Property Information (optional). Preparation of the geotechnical survey and plans that need to be provided (and approved) before the works can start;
- Carrying out the works in accordance with ISO standards and other relevant guidelines for offshore site investigations for offshore wind farms;
- Preparing the necessary laboratory testing specifications and schedules for NYSERDA approval and performing laboratory testing on obtained soil samples;
- Informing NYSERDA on the progress of the works;
- Processing the data obtained through the geotechnical survey and presenting all results in clear reports and drawings.
- Optional: Ground Model Update.

### **Section III. Collaboration and Co-ordination**

It has not yet been decided whether the Geophysical Investigation contractor or the Geotechnical Investigation contractor will be asked to develop the updated Ground Model following the completion of the Geotechnical Investigation. This will depend on the proposals received, which will be evaluated based on contractor capability and value-for-money.

For the purpose of this RFP, production of the updated Ground Model should be considered an optional item at the discretion of NYSERDA. In any case, full co-operation will be required between the geophysical and geotechnical contractors to ensure a smooth transfer of any data needed for the production of the updated model.

## **Section IV. Review and Approval process**

For documents that shall be submitted to NYSEERDA and/or to third parties for approval, the following maximum review terms shall be taken in account:

- Review times for the main deliverables are specified in Attachment A
- For other documents, the following review times apply:
  - if approval only by NYSEERDA is necessary: 2 weeks for each first revision of the document and 5 working days for each subsequent revision;
  - if approval by any third party is necessary: 4 weeks for each first revision of the document and 2 weeks for each subsequent revision;
- The contractor shall issue an updated revision of a commented document, which was sent for approval to NYSEERDA, within one week after the comments have been issued by NYSEERDA.
- In case approval documents are provided to NYSEERDA during the field investigation and maintaining these review terms causes a delay of the campaign, then all costs arising from this delay will be borne by the contractor.
- For reviewing documents, NYSEERDA shall use the document review form. When NYSEERDA has sent the review form to the contractor, the contractor shall respond as quickly as possible. The contractor shall fill in the complete contractor response box with its answer. NYSEERDA shall respond in the same form. Maximum review terms as described above shall be maintained.

## **Section V. Proposal Requirements**

All responses submitted as part of this solicitation process become the property of NYSEERDA. Careful consideration should be given before confidential information is submitted to NYSEERDA as part of any proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. See Section VI. Proprietary Information for details.

Proposers will not be reimbursed by NYSEERDA for any costs associated with the preparation of their proposals.

### **A. Proposal Submittal**

Proposals must follow the format below. proposers should include sufficient, succinct information to demonstrate their experience with similar work and detail their approach for this project. Each page of the proposal should state the name of the proposer, "RFP 4260", and the page number. The maximum length of each proposal section is shown in Section B.

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions, for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

### **B. Proposal Format**

Proposals must be submitted as a single file, inclusive of all supporting documents, including a filled in Attachment A. The file should be 100MB or less in file size. Proposals must follow the format provided below and should include sufficient, succinct information to support the proposed approach, confirm the requirements and answer the questions described in the Proposal Evaluation Criteria listed in Part C. Proposals should not be excessively long or submitted in an elaborate format. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. The maximum length of each proposal section is shown and should not be exceeded. If the proposer wishes to provide alternative options to those presented here for consideration by the reviewers, they may be presented along with appropriate justification and sufficient cost implications. NYSEERDA reserves the right to negotiate changes to the proposed project approach, deliverables and deliverable formats with the selected proposer.

### ***Proposed Program Component Checklist (1 page)***

A filled-in Proposed Program Component Checklist must be attached as the front cover of your proposal.

Component		Bid	Ground model option
Investigations	Geophysical Investigation	Y/N	Y/N
	Geotechnical Investigation	Y/N	
Owner's Engineer	Owner's Engineer	Y/N	

1. You may not bid for both the Owner's Engineer and the Investigations.
2. You may bid for one or both of the Geophysical and Geotechnical Investigations.
3. If you bid for one or both of the Investigations, you may also bid for the Ground Model option.
4. The Owner's Engineer may not bid for the Ground Model option.

**Project Summary, Background and Objectives (1 Page)**

Briefly describe the proposed approach and proposer qualifications as they pertain to the options in this RFP that are being tendered for. Provide context for the approach and experience in relation to completed and ongoing relevant work in the region and around the world. Include a description of the limitations of the project. The Project Summary should be a complete, stand-alone summary of the proposer's role in supporting this offshore Geophysical Investigation site investigation and (optional) constrained Geological Ground Model production on a single page.

**Project Approach (5 - 6 Pages + supporting documents not included in page count)**

For the Investigation components, the proposal must describe the proposer's experience in provision of vessels and equipment and executing the required survey types. For all components, the proposal must detail the proposer's experience in processing, analysis, ground model development, and reporting for an offshore geophysical and hydrographic soil investigation in order to obtain information that is suitable for development, engineering and installation purposes for an offshore wind farm. The proposal must also describe the proposer's degree of experience in carrying out the required work in areas of similar geology, preferably within the offshore wind sector and focused on the top 100 m below seabed. The proposers experience in combining geophysical, hydrographic, and geotechnical data for constrained ground model production.

For the Investigations, the proposal must describe in detail the proposed vessel(s) including the vessel positioning system, and environmental operating limits, and demonstrate that they fulfil the RFP requirements. The proposal shall demonstrate that the proposed vessels have suitable stability and noise characteristics with respect to deployment of equipment for geophysical and hydrographic surveying. The proposal must also describe in detail the proposed equipment for the performance of the required surveys, demonstrating that they fulfil the RFP requirements, and how they will be deployed on the vessel to minimize interference. The proposal should describe the availability of spares and the back-up procedures in place if the primary equipment fails. If multiple vessels are proposed, then the proposal must describe which vessel will be responsible for which aspect of the survey activities. Typical vessel availability must be indicated, and a brief mobilization plan proposed (port of mobilization, transit times, etc.). The proposal shall briefly describe proposed vessel sheltering procedures for when weather limits are exceeded.

The proposal should demonstrate that the composition of the proposed offshore and onshore survey teams as a whole covers the knowledge and experience needed for the execution of the work from planning through to final reporting. All personnel involved with the execution of the offshore geophysical survey activities (data acquisition, data processing, interpretation and reporting) must be demonstrated to have the appropriate qualifications and experience for the roles in which they are to be deployed. All key staff must have contributed to at least one relevant offshore geophysical investigation using the equipment (including software) proposed. Offshore personnel must have (medical) certificates valid to perform work in the US Atlantic Ocean, including as a minimum BOSIET (Basic Offshore Safety Induction and Emergency Training) or similar and a working permit (the right to work in the investigation area) valid for the duration of the contract.

The proposal must outline the proposed project tasks and key project milestones. The proposal should include an overview of data acquisition, processing and interpretation procedures, including quality control methods, and demonstrate that they fulfil the RFP requirements. The flow of data from task to task shall be defined,

including data backup procedures. Any potential risk points should be identified and described, and the proposer shall detail proposed mitigation measures.

If the proposer intends to undertake the optional constrained ground model production, then he should describe his proposed workflow and how the geotechnical and geophysical data will be integrated.

The proposal must describe the proposers experience working with BOEM or other federal regulators and experience securing permits to carry out geophysical and hydrographic site investigations in waters off the coast of the United States and/or elsewhere. Any issues or concerns with permitting, such as data needs and anticipated timeframes should be described. Any issues or concerns with securing insurance generally required by industry standards should be described.

The proposal must include a copy of the proposer's Quality Management System manual. The proposal must also include draft or example versions of the Project Execution Plan (PEP) and Project Quality Plan (PQP) with specific reference to all equipment and all acquisition, processing and interpretation procedures proposed for this project.

***Project Management Plan and Qualifications (up to 5 pages + resumes)***

Briefly describe the Project Management Plan at a high level that includes the Project Manager and all key personnel, along with their role in the project. List the organizations participating in the project, the contact for each organization and describe the role that each will play. (1 page)

Include an organizational chart showing all key personnel and any subcontractors or other involved entities. (1 page)

Include a one-paragraph description of a sample of related projects that have been undertaken by the key personnel that demonstrates experience with the proposed project area. (up to 3 pages)

Include relevant portions of key personnel resumes that include education and experience relevant to the proposed work. (1 page each – not included in page count)

***Master Schedule (1-2 pages)***

Complete a schedule showing start and completion times for all major tasks, in terms of months after project initiation by means of a Gantt chart. Include planned meetings, major deliverables or milestones and other key events.

***Cycle Times and Rates Form (Attachment A)***

Complete the attached Cycle Times and Rates form tab associated with the services for which you are proposing. Include any supplemental information necessary to fully understand the project on a separate sheet, including any deviations from what is requested and a rationale for the deviation. Care should be taken to provide sufficient information to allow reviewers to understand what each of the components (e.g. personnel, equipment, methodologies, subcontracts).

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

***Letters of Support***

If the proposer is relying on other organizations or businesses to perform work, provide services or equipment, data or share in the non-NYSERDA cost, include a letter from that organization or business describing the commitment. The absence of letters of commitment or support will be interpreted as the proposer not having commitment/support from those parties. (1-page each, not included in page count).



## C. Proposal Evaluation

### **Investigations**

The proposal evaluation criteria for the Geophysical and Geotechnical Investigations are described below and are in order of importance. Scoring for the Geotechnical and Geophysical Investigation proposals will be carried out separately, using the same scoring system for each proposal.

<b>EVALUATION CRITERIA</b>
<p><b>Quality of the proposal</b></p> <p>This criterion is judged by assessing the following aspects jointly for the extent to which:</p> <ul style="list-style-type: none"> <li>• The proposal includes a project specific description of the elements as required to be included;</li> <li>• The proposal includes a comprehensive inventory of risks that have an impact on: <ul style="list-style-type: none"> <li>▪ the project management aspects (e.g. scope planning, financial aspects),</li> <li>▪ HSE (Health, Safety and Environment) and</li> <li>▪ data quality (e.g. positioning/navigation quality control procedures, equipment calibration procedures/certificates, data quality control procedures, interpretation quality control/cross-checking procedures of the works and the identified risks are worked out comprehensively and mitigated;</li> </ul> </li> <li>• The proposal is detailed, and processes are described project specific and SMART (specific, measurable, acceptable, realistic and time-related);</li> <li>• The suggested cycle times are realistic and substantiated in relation to the site conditions and proposed vessels and equipment.</li> <li>• The investigation data processing, analysis, interpretation and reporting methodologies are outlined to demonstrate compliance with the scope of work.</li> <li>• The deliverables are outlined to demonstrate that they are compliant with the scope.</li> </ul>
<p><b>Qualifications of personnel</b></p> <p>This criterion is judged by assessing, for the key personnel proposed, the following aspects:</p> <ul style="list-style-type: none"> <li>• Education and training</li> <li>• Experience with similar surveys</li> <li>• Number of surveys performed</li> </ul> <p>As part of the proposal, the tenderer is required to provide a description of the personnel in a tabular format describing these aspects. In addition, CVs of the proposed key personnel should be supplied. The actual personnel engaged is required to have a similar level of qualifications to those proposed in the bid.</p>
<p><b>Vessels and equipment</b></p> <p><u>Vessels</u></p> <p>This criterion is assessed on the following aspects jointly to the extent to which:</p> <ul style="list-style-type: none"> <li>• The vessel(s) and equipment have been thoroughly thought through to achieve the investigation objectives in an efficient manner. The vessel(s) and equipment configuration are optimized for efficient data acquisition and are described in adequate detail to demonstrate this along with vessel track record.</li> <li>• Vessel(s) are suitable for the work intended;</li> <li>• Vessel(s) are already mobilized and ready to use (working and tested) equipment are preferred);</li> <li>• Vessel(s) are stable to ensure good data quality acquisition within workable limits.</li> <li>• The availability of the proposed vessel(s) is guaranteed by Tenderer.</li> </ul> <p><u>Equipment</u></p> <p>This criterion is assessed on the following aspects jointly to the extent to which:</p> <ul style="list-style-type: none"> <li>• The proposed investigation equipment for carrying out the investigation within the scope of the agreement is suitable and effective, also considering the wind farm site characteristics and anticipated operational characteristics;</li> <li>• Spare equipment is available in case of breakdowns.</li> </ul>
<p><b>Prices</b></p>

This criterion will be assessed based on:

- The overall lump sum price, including mobilization and weather downtime
- The completeness and level of detail of the breakdown provided

**Cycle times**

This criterion will be assessed based on:

- The overall time duration of the campaign
- The level of detail of the Gantt planning provided and provided substantiation

**Owner's Engineer**

The proposal evaluation criteria for the Owners Engineer are described below and are presented in order of importance:

**EVALUATION CRITERIA**

**Plan of action**

Tenderers are requested to provide a Plan of Action describing:

- The knowledge and experience of the experts (names, relevant knowledge and experience of the experts that will carry out the work).
- The availability of experts (specific measures taken to secure the availability of the required experts and the specific measures for providing back up capacity to guarantee availability during the duration of the project, max. 2 A4).
- Approach, team composition and foreseen roles of the team members, max. 3 A4s
- Data storage and distribution, max. 1 A4

In addition, Attachment A – tab “owners engineer” will need to be completed with the name, rate and the qualifications of the experts intended to be engaged for the services.

The score for this criterion is given by assessing, for the experts:

- Their experience with similar services performed (max. 20 points);
- Coverage of the requested know how (max. 20 points);
- Availability (max 10 points)
- Approach and team composition (max. 20 points).

CV's should also be provided for all experts proposed. All experts should be of senior level.

**Prices**

This criterion will be assessed based on:

- The average hourly rates of the senior experts proposed.
- Data hosting and distribution rate

## Section VI. General Conditions

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements. Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective Contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the Contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective Contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for Contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. NYSERDA anticipates a contract duration of one to three years, unless NYSERDA management determines a different structure is more efficient based upon proposals received. A contract may be awarded based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each proposal should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications, either through written submission or interview. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the checklist questions. proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately four-eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires Contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the Contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). proposers are reminded of the following Public Officers Law provision: Contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the Contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its subcontractors derived from the contract. NYSERDA may request that Contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

For Technology and Business Innovation solicitations, include the following:

**Due Diligence** – NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of an application and to assess applicants’ prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA’s current guidelines at the time of a review. NYSERDA staff may follow up with proposers to request additional information or clarification regarding applicant’s proposal, including questions regarding applicant’s business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by internal or external staff or Contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include (but is not limited to): interviews of independent references and background checks of team members; assessment of prior business experience of any team member associated with a proposal; research on intellectual property claims; customer and partner reference checks; market research on the applicants’ target market and any other related or possibly competitive technology or market area; research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for proposers’ business, including similar (or unrelated) technologies, processes, or competitive solutions; or any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposers’ business (whether directly related to, or unrelated to the specific elements in a proposal). Due diligence may include discussions with proposers’ former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA personnel or Contractors including members of the scoring committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal

If Recoupment is required, include the following in the General Conditions after “Contract Award:”

**Recoupment** - For any new product research and/or development, NYSERDA will generally require a royalty based on sales of the new product developed. NYSERDA’s standard royalty terms are 1% of sales/ten percent

(10%) of all license revenue accruing to the Contractor for products produced (for a period of fifteen years or until the Contractor pays NYSERDA an amount equal to the amount of funds paid by NYSERDA to the Contractor, whichever comes first).

**Stipulated Damages** - If the Contractor fails to complete in accordance with the following milestone dates as referred to in Attachment A – Cycle times and Rates

Geophysical campaign

- a. Offshore Completion Date excluding Waiting on Weather (3a)
- b. Draft Final Geophysical Interpretative Report (4b)
- c. CPT & borehole location memo for geotechnical campaign (4c)

Geotechnical campaign

- a. Offshore Completion Date excluding Waiting on Weather (3a)
- b. Draft Geotechnical Investigation Report (4b)
- c. Final Geotechnical Investigation Report (4f)

the Contractor shall be liable to NYSERDA for Stipulated Damages. The amounts of such Stipulated Damages shall be 0.5% of the Contract Price for each day that it fails to perform the work as agreed.

All amounts of such Stipulated Damages for which the Contractor may become liable are agreed as a genuine pre-estimate of the losses which may be sustained by NYSERDA in the event that the Contractor fails in its respective obligations under the contract.

The Stipulated Damages will be deducted from amounts payable by the Clients regardless of whether the claim for payment of such amounts has been transferred to a third party.

For the avoidance of doubt, the Stipulated Damages liability shall not exceed fifteen per cent (15%) of the Contract Price in aggregate.

**Section VII. Attachments:**

Attachment A – Cycle times and Rates form

Attachment B – Sample Agreement



“Property/Liability and Other Insurance”  
Request for Proposal (RFP) 4301

Phase I Proposals Due: January 30, 2020 3:00 p.m. Eastern Time\*

NYSERDA is seeking proposals from insurance brokerage companies to meet NYSERDA’s property, liability, and certain other insurance requirements and to advise NYSERDA on addressing risk management requirements that are in the best interest of NYSERDA. NYSERDA will use a two-phase process to select an insurance broker and their coverage proposals.

In Phase I, proposers will be evaluated based on their qualifications and experience. Proposals submitted in Phase I must include a list of preferred carriers in order of priority. Proposers may not contact any carriers to obtain pricing until authorized to do so by NYSERDA.

In Phase II, one or more companies will be asked to submit quotes for specified property, liability, and other insurance coverage from one or more insurance carriers designated by NYSERDA.

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide](#) [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Peter Mahar, Controller and Assistant Treasurer, at (518) 862-1090, extension 3224 or by e-mail [PeterMaharRFP4301@nyserda.ny.gov](mailto:PeterMaharRFP4301@nyserda.ny.gov). If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, extension 3507 or [VeniceSolicitations@nyserda.ny.gov](mailto:VeniceSolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer’s behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer’s responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## **I. Introduction**

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York.

Information on NYSERDA's programs is contained in the Strategic Plan available on its website at <https://www.nyserda.ny.gov/About/Publications/Program-Planning-Status-and-Evaluation-Reports/Strategic-Outlook>. The most recent audited financial statements for the fiscal year ended March 31, 2019 are available at <https://www.nyserda.ny.gov/About/Publications/NYSERDA-Annual-Reports-and-Financial-Statements> or by written request.

NYSERDA currently maintains insurance policies for Cyber, Property, Fuel Inventories, Liability/Umbrella (excess) liability, Long Term Disability, Family Paid Leave, and Worker's Compensation with coverage amounts and terms as summarized in Attachment D.

## **II. Minimum Qualifications**

Proposers must be duly licensed by, and in good standing with, the New York State Insurance Department. Proposers must have experience in providing broker of record services for commercial organizations, and preferably governmental or not-for-profit organizations. Proposers must describe and demonstrate their expertise and experience in placing insurance for each of the policies currently maintained by NYSERDA, included in Attachment D.

## **III. Program Requirements**

The proposer(s) selected after Phase II of this RFP will be responsible for assisting NYSERDA with all aspects of its property and liability insurance coverages, including but not limited to:

1. Identifying issues and exposures and negotiating on NYSERDA's behalf with insurance carriers and keeping NYSERDA informed of significant developments. The Broker shall be authorized to represent and assist NYSERDA in discussions and transactions with all insurance carriers, provided that the Broker shall not place any insurance on behalf of NYSERDA unless so authorized in writing by NYSERDA.
2. Following up with insurance carriers for timely issuance of policies and endorsements. Following placement, deliver binders prior to expiration of the current policies.
3. Reviewing policies and endorsements for accuracy and conformity to specifications and negotiated coverages.
4. Providing coverage summaries for all new coverages and updates on changes to existing coverages.
5. Processing or facilitating the processing of certificates of insurance, as requested by NYSERDA.
6. All claims will be reported to the Broker who will forward the claim to the insurance carrier. The Broker shall monitor the claim status and assist NYSERDA in obtaining timely resolution of the submitted claim.

## **IV. Proposal Requirements** (List and describe approximate length (number of pages) and items/topics to be addressed in the proposal; e.g., Background/Objectives; Scope of Work; Management Plan/Schedule; Qualifications; Project Benefits; Budget; Cost-Sharing if applicable (see language); Annual Metrics Report (if applicable); Letters of Commitment, etc.)

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete,



comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. NYSERDA may request additional data or material to support proposals.

## **V. Term**

It is anticipated the initial term of the insurance policies ultimately awarded will be effective upon the expiration of the current policies:

April 1, 2020 for the Cyber, Property, Liability/Umbrella, Family Paid Leave, Long Term Disability, and Worker's Compensation policies. NYSERDA desires for the new policies to be established with the same annual policy renewal date listed above. NYSERDA will consider, and prefers, proposals from insurance carriers to provide established renewal pricing for policy periods through March 31, 2025.

In compliance with §139-j and §139-k of the State Finance Law (see Section VII, General Conditions below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

### **Proposal Format**

To facilitate comparison of proposals, proposers must submit proposals in a format that corresponds to the following outline:

**Section 1. Introduction:** Provide a brief description of the agency/company, its services, and its overall qualifications. Information provided in this section should include, but not be limited to number of years providing similar services; number of employees; and approximate number of clients. For national or multi-office locations, provide information on both a firm-wide basis as well as the office from which the account will be serviced.

**Section 2. Staffing:** Identify the proposed account executive and any other staff who will provide regular services to NYSERDA in providing the insurance broker services described herein. For each person identified, include information indicating the length of time with the agency/company, length of service in insurance or risk management, approximate number of clients served, and any professional/associate designations.

**Section 3. Qualifications and Relevant Experience:** Briefly describe the agency/company's qualifications and relevant experience in providing insurance programs as described in this RFP and for organizations similar in size and risks to that of NYSERDA. Based upon your review of information about NYSERDA's programs and services and its existing insurance coverages, provide any comments or suggestions for NYSERDA's consideration for the specific insurance quotation coverages to be requested under Phase II of the RFP.

**Section 4. References:** Provide three (3) references from customers currently receiving insurance coverages from the agency/company. For each reference, provide an individual contact person name, address, and telephone number.

**Section 5. List of Insurance Carriers:** Proposers must list in order of preference the insurance carriers that the insurance brokerage company would prefer to be assigned if selected to provide a quote in Phase II of the RFP. Proposers may not contact any insurance carriers to obtain pricing until authorized to do so by NYSERDA. Following Phase I, one or more proposers will be asked to submit quotes for specified property, liability, and other insurance coverage from one or more insurance carriers designated by NYSERDA. These quotes will be used as the basis for the selection of the insurance brokerage companies and the insurance carrier and coverage.

## **VI. CONTRACTOR SELECTION AND PROPOSAL EVALUATION**

### **A. Contractor Selection**

Following the Phase I evaluation process described below, Proposers may be selected to advance to Phase II. Under Phase II, selected Proposers will be required to provide quotes for specific insurance coverages summarized in Attachment D. Phase II proposal requirements, instructions, and due date will be provided by NYSERDA at the time of notification.

### **B. Proposal Evaluation**

#### **1. Phase I Evaluation**

Proposals received by the due date will be evaluated by an evaluation panel of NYSERDA staff. The panel will evaluate the qualifications and experience of each proposer to provide the insurance brokerage services described herein. The evaluation criteria are listed below:

#### **Proposer Experience and Qualifications**

- a. Background of the insurance brokerage company.
- b. Experience in providing insurance services to organizations similar to NYSERDA including public sector clients.
- c. Resources available to the firm, including number of employees, number and location of offices, and affiliated companies.
- d. Past performance of firm and staff.
- e. Background and experience of account executive and other support personnel, including professional qualifications and length of time working with the agency, and length of time working in insurance or risk management services

#### **Responsiveness to the Request for Proposal**

- a. Requested information included and thoroughness of response.
- b. Understanding and acceptance of the services requested.
- c. Clarity and conciseness of the response.
- d. Demonstrated understanding of risk management issues facing NYSERDA, including any observations or recommendations on NYSERDA's current coverages.

#### **The proposer is a NYS-certified minority-owned or women-owned business.**

Proposals must meet the Proposal Requirements as articulated in Section IV: Proposal Requirements. Proposals that fail to meet one or more of the criteria may be determined to be non-responsive and may be disqualified from further consideration by the evaluation panel.

#### **2. Phase II Evaluation**

Proposals submitted under Phase II will be evaluated based upon the proposed insurance policies including policy premiums, rating of the proposed insurance carrier, and coverage provided under the terms and conditions of the policies. Carriers should be listed by type of insurance. NYSERDA requires proposals include coverage of all NYSERDA insurance requirements as outlined in Attachment D. Proposals that do not meet this requirement will be deemed non responsive.

## **VII. GENERAL CONDITIONS**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial

enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

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625 Broadway  
Albany, NY 12207

**New York Executive Law Article 15-A** - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

**Diversity Practices** - NYSERDA has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practice of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement shall be required to include as part of their response, as described in Section III herein, Attachment, Diversity Practices Questionnaire.

**New York State Executive Law Article 17-B**, NYSERDA recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified service-disabled veteran-owned business enterprises (SDVOB) in the performance of NYSERDA contracts. Executive Law Article 17-B and its associated regulations require, among other things, that NYSERDA establish goals for maximum feasible participation of New York State Certified SDVOBs in the performance of New York State contracts. The SDVOB participations goals and obligations of the selected Contractor are set forth in the Sample Agreement.

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** – NYSERDA anticipates making one award but is not limited in making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately four weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member,

shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

**VIII. Attachments:**

- Attachment A - Article 15-A (MWBE) Provisions
- Attachment B – Article 17-B (SDVOB) Provisions
- Attachment C – Diversity Practices Questionnaire
- Attachment D – Present Insurance Coverages
- Attachment E - Sample Agreement





## Information Technology Staff Augmentation Services Request for Proposal (RFP) 4309

Proposals Due: 03/24/2020 by 3:00 PM Eastern Standard Time\*

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from a company, or team of companies, (hereinafter referred to as "Proposer") to provide **Information Technology Staff Augmentation Services** to support Information Technology projects.

Proposals may be submitted by an individual firm or a team arrangement of firms, to provide optimal services to NYSEDA at the lowest cost possible. Individual engagements of services will vary based on the needs of each individual project or program, and may vary by skills sought, experience required, and geographic coverage needs.

**Proposal Submission: Submit proposal to NYSEDA** via the following online form: <https://nyserda.seamlessdocs.com/f/RFP4309>. Proposers may submit Word, Excel, or PDF files. For ease of identification, all files must be named using the proposer's entity name in the title of the document. A proposal should not be excessively long or submitted in an elaborate format, such as including unnecessary graphics. Proposals should be 15 pages or less; plus, required Attachments A and D. All Proposals must be submitted by 3:00 p.m. on February 24, 2020.

No communication intended to influence this procurement is permitted except by contacting Wendy Fleitz – primary contact (Designated Contact) at (518) 862-1090, ext.3238 or by e-mail [RFP4309@nyserda.ny.gov](mailto:RFP4309@nyserda.ny.gov) or Glen Kaatz – secondary contact (Designated Contact) at (518) 862- 1090, ext. 3203 or by e-mail [RFP4309@nyserda.ny.gov](mailto:RFP4309@nyserda.ny.gov) (for technical questions). If you have contractual questions concerning this solicitation, contact (Venice Forbes) (Designated Contact) at (518) 862-1090, ext. 3507 or [Venicesolicitations@nyserda.ny.gov](mailto:Venicesolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3:00 p.m. Eastern Standard Time on February 24, 2020. Late, proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all sections have been included in the proposal. If changes are made to this solicitation, notification will be posted on NYSEDA's web site at <https://www.nyserda.ny.gov/>.

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## Introduction

NYSERDA is a public benefit corporation committed to identifying opportunities for reducing commercial and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

The primary technologies in use at NYSERDA include: Salesforce (force.com), Microsoft technologies (Windows desktop and server, SQL Server, .NET, etc.), Office 365 including SharePoint Online, Tableau (for Business Intelligence), Atlassian products (Jira) for Service Desk and Oracle PeopleSoft Financials.

NYSERDA will be looking for professionals to work in and / or support technology efforts in these areas. Roles such as technical implementor, project manager, business analyst, technical writer, quality assurance analyst and technology trainer are the focus of this solicitation.

NYSERDA's strategy with regard to systems and technology is to consolidate disparate commercial and internally developed products and platforms onto COTS or enterprise solutions; reduce complexity, integration points, and ongoing cost of operations; and reduce customization wherever possible by modifying workflow in order to fit out-of-the-box or configured solutions. This will enhance NYSERDA's ability to calibrate and adapt its technology layer to best support its evolving programmatic and policy goals.

## PROJECT SCOPE AND REQUIREMENTS

The goal of this RFP is to create a panel of selected firms from which NYSERDA can quickly and easily acquire staff augmentation and consulting resources to support Authority initiatives across the entire spectrum of its information technology stack.

NYSERDA expects to achieve the following objectives:

- Provide a cost-effective source of resources to support its information technology staffing needs.
- Streamline business processes around onboarding consulting resources.
- Create sustainable partnerships with qualified firms to create mutually beneficial relationships.
- Provide a flexible configuration to meet new and changing business requirements and programs.
- Reduce administrative overhead and maintenance costs associated with initiating individual contracts.
- Enable identification and procurement of potential full-time resources for NYSERDA should the need be deemed ongoing rather than project based.

Selected Proposer(s) will enter into a master agreement, and work assignments will be issued on an individual Task Work Order basis.

The specific Task Work Order issued for each work assignment will provide requirements for the exact location of work that is needed, expectations of skills, and experience necessary to be considered. NYSERDA reserves the right to end any specific Task Work Order or the contract as a whole at any time with or without cause. If replacement resources are needed, NYSERDA may obtain replacement resources for that work via the selected Proposer, or another source contracted separately at NYSERDA's sole discretion.

All billable hours completed during each calendar month shall be submitted in a valid and complete invoice by the 21st of the following month without exception. Invoices submitted late or missing hours may not be paid.

NYSERDA reserves the right to convert a candidate provided in response to this RFP to full-time NYSERDA staff. The Proposer must identify conditions, timelines and fees associated with converting a resource to NYSERDA staff after a minimum of 6-months from the start of the individual contract.

It is the responsibility of the selected Proposer to complete background checks on all selected staff identified by the Proposer prior to placement. Upon selection, Proposer agrees that it shall perform or have performed, within the two years immediately preceding the placement of any candidate, a background check; by virtue of making such placement, Proposer shall certify that such background check on the candidate has been performed. Proposer agrees that it will inform NYSERDA's Director of Human Resources by phone or email (518.862.1090 ext. 3640; donna.rabito@nyserda.ny.gov), simultaneously with or preceding such placement, if:

- (1) such background check reveals, with respect to the referred employee, (a) a felony conviction, or (b) any other conviction involving theft, misrepresentation or violent behavior of any sort, or
- (2) immediately upon it becoming aware that such individual has been convicted of such a crime.

## Proposers Requirements

### Information Technology Staff Augmentation Services:



Proposers must demonstrate the following:

- A proven track record of providing skilled staff and other services across the skill sets noted in section 2 under “Proposer Qualifications”;
- Lowest cost for the highest quality of service;
- Successful experience, including engagements with other state agencies or authorities; and
- Successful experience in engagements within the Information Technology field.

All Proposers must demonstrate a willingness and commitment to minimize costs for NYSERDA. NYSERDA reserves the right to negotiate lower or different fee structures during the contracting process with any Proposer.

If a Proposal does not include all required information, it may be deemed non-responsive.

The Proposer must agree to provide NYSERDA with access to documents, personnel and other information necessary to conduct audits upon request during the terms of the Contract, and for up to six (6) years after the contract term expires.

## Proposal Requirements and Format

In compliance with §139-j and §139-k of the State Finance Law (see the General Conditions section below for additional information), proposers will be required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility.

Proposals should not exceed fifteen (15) pages, excluding attachments and Sample Resumes (Section 5), or be submitted in an elaborate format that includes expensive binders, graphics, or page formats other than 8.5 x 11” letter sized paper. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number.

The Proposal for **Information Technology Staff Augmentation Services**

must follow the following format:

- Section 1: Executive Summary
- Section 2: Proposer Qualifications
- Section 3: Rate Card
- Section 4: Master Contract Cost Structure
- Section 5: Sample Resumes

### Section 1 – Executive Summary

The Executive Summary in the Proposal is to provide a brief description of the Proposer’s qualifications, approach, flexibility, and demonstrated commitment to minimizing costs to NYSERDA. The intent of the Executive Summary is to be a brief summary, therefore, Executive Summaries that exceed two (2) pages may not be read by the Scoring Committee.

## Section 2 – Proposer Qualifications

The Proposer Qualifications section of the RFP is to demonstrate a Proposer's ability to meet the **Information Technology Staff Augmentation Services** as well as a detailed description of the Proposer's Qualifications, as listed below.

A Proposer shall provide a description of their proven successful track record of delivering staff and other services across a wide variety of skill sets, such as but not limited to:

- 1) Software Development
  - a. Salesforce Administrator
  - b.
  - c. Salesforce Developer
  - d. .Net Developer
  - e. SharePoint Developer
  - f. Geographic Information System (GIS) Developer
- 2) Database technology
  - a. Microsoft SQL / ETL Developer
  - b. Microsoft SQL Server Database Administrator
- 3) Information Technology Project Manager
- 4) Information Technology Business Analyst
- 5) Information Technology Trainer / Training Coordinator
- 6) Service Desk Technician
- 7) Windows Server Administrator
- 8) Information Security Engineer

### Proposer's Qualifications

The Proposer must provide details of the following qualifications and attributes:

- 1) Proposer's organizational structure- including the specific resumes of key partners or principals who will be responsible for managing the engagement with NYSERDA.
- 2) Successful experience, including engagements with other state agencies or authorities.
- 3) Note any special certifications relevant to this RFP that your firm or proposed staff may possess (i.e. PMI-Project Management Professional, PMI-Professional Business Analyst, PMI-Agile Certified Professional, Cisco Certified Network Engineer, VMware Certified Professional, Microsoft Certified Software Engineer etc.), and describe how your firm keeps staff current in their skills.
- 4) Applicable Certification of Minority or Women owned Business Enterprise (MWBE) with Empire State Development, or Service-Disabled Veteran Owned Business (SDVOB) Enterprise with the Office of General Services, attached as Appendices. Note that both a 30% MWBE and 6% SDVOB requirement over the life of the contract are required. Please see the attachments – Article 15-A (MWBE) and Article 17-B (SDVOB) for details.
- 5) Describe the Proposer's approach to meeting NYSERDA's needs for first-rate and reliable candidates, at the lowest possible cost, including the monitoring and management of work assignments. Demonstrate the Proposers willingness and commitment to minimize costs for NYSERDA.
- 6) Confirmation that successful Proposers will be available to provide staff that are able to work at, or travel to, the following locations:
  - a. On-site at NYSERDA offices, located in Albany, New York City, Buffalo and West Valley;
  - b. Field work, if needed and appropriate for the project being supported, at NYSERDA sites; or

- c. Remotely, either by working from Proposer's office or teleworking from home.  
Note: The specific location(s) of work will be identified in writing in the specific Task Work Order issued for specific work assignments.
- 7) Identify the total number of resources currently available in each of the following regions of the State:
- a. Albany, NY;
  - b. New York, NY
  - c. Buffalo, NY
  - d. West Valley, NY

### Section 3 – Rate Card (Attachment A) Mandatory

The purpose of the Rate Card section of this RFP is to help NYSERDA compare all Proposers on an equal basis. Rates provided on this form will be in effect for the five (5) year contract period.

Title Series	Billable Rate per Hour Experience Level (1-3 years)	Billable Rate per Hour Experience Level (4-7 years)	Billable Rate per Hour Experience Level (8+ years)
Salesforce Administrator			
Salesforce Developer			
.Net Developer			
SharePoint Developer			
Geographic Information System (GIS) Developer			
Microsoft SQL / ETL Developer			
Microsoft SQL Server Database Administrator			
Information Technology Project Manager			
Information Technology Business Analyst			
Information Technology Trainer / Training Coordinator			
Service Desk Technician			
Windows Server Administrator			
Information Security Engineer			

## Section 4 – Master Contract Cost Structure

The purpose of this section is to provide NYSERDA a clear explanation of all fees and costs. If a Proposal does not include all required information, it may be deemed non-responsive.

- 1) List all costs and fees for which the Proposer would expect reimbursement.
  - i. Specifically list fees, if charged, for background checks.
- 2) Indicate any reductions in fees or rates from normal amounts, and the reason for those reductions (e.g. Standard Reduction Provided to all State Agencies, or Proposed Specific for this RFP, etc.).
- 3) NYSERDA will indicate at the time of the request for a resource whether the candidate will be considered for insourcing. If so indicated, the resource will not be insourced prior to 6-months from their start date. In the Proposal, Proposers must outline the conditions, timelines and fees associated with converting a resource into a NYSERDA staff member.

**Note:** Any costs or fees not specifically identified here may not be considered for inclusion in invoices or contracting at a later date.

NYSERDA reserves the right to negotiate lower or different fee structures during the contracting process with any firms recommended for contract negotiation as part of its evaluation process.

## Section 5 – Sample Resumes

The purpose of this section is to demonstrate that the Proposer has immediate access to staff that can meet NYSERDA's needs. The Proposer should provide a variety of skills, experience levels, and physical locations of candidates. Proposer should provide no less than five (5) and no more than ten (10) resumes. Proposer must affirm that each of the staff whose resume is included in this section would be available for at least 25% of their time within the next three (3) months. Please include rate card title series, experience level and proposed rate for each sample resume.

## Evaluation of Proposals

### General Selection Process

The evaluation process will begin immediately after the due date, with a review of all Proposals properly received to verify that they have met the minimum conditions necessary to be considered complete. Only Proposals determined to be complete will be shared with the Scoring Committee for full review. The Scoring Committee will then review and score each Proposal determined to be complete.

### Interviews

NYSERDA reserves the right to determine if an interview with the Proposer will be necessary. NYSERDA may interview some or all Proposers being considered. NYSERDA will set aside one day for interviews, and Proposers will be notified of the predetermined date by email following the due date of this RFP. If selected for an interview, the Proposer shall be required to further document the Proposer's ability to provide the required services at the best cost to NYSERDA. The Proposed lead principal and other key staff necessary to demonstrate the Proposer's capability to meet NYSERDA's needs should be present at the interview. The results of the interview will be included in the Scoring Committee's final scores for the Proposer.

## Evaluation Categories

The following categories and weighting shall be used by NYSERDA to evaluate each Proposal.

Category	Category Description	Total Points Available
1	Demonstrated ability to provide services as described in the RFP (Section 1 and Section 2 – Proposer Qualifications)	35
2	Competitiveness of Rate Card (Section 3)	20
3	Competitiveness of proposed Master Contract Cost Structure (Section 4)	15
4	Sample Resumes (Section 5)	20
5	Diversity Practices Questionnaire	10
		100

**Sample Request to Selected Contracting Firm(s)**  
**(For informational purposed only. This is NOT a current request)**

NYSERDA is looking for one Server Systems Administrator via Staff Augmentation to supplement the Server/Network Operations Team.

Please submit all applicants to Glen Kaatz ([glen.kaatz@nyserda.ny.gov](mailto:glen.kaatz@nyserda.ny.gov)) by EOB 2/25/2019.

Please submit only your best 4 candidates.

**LOCATION**

**This position is located in Albany, NY. The Program and Project Manager on the NYSERDA IT Operations team are located in Albany, New York.**

**WORK SCOPE**

**The scope of work to be performed by the Contractor consists of tasks listed in the following functional areas.**

**Tasks:**

- VMware Horizon/ VMware vCenter administration
- Windows server administration
- Windows Active Directory and Group Policy
- Advanced SCCM administration for windows desktop and server patching
- Windows imaging, management of VDI snapshots, gold images
- Corp antivirus administration – NYSERDA uses ESET
- 0365 administration (email, distribution groups, shared mailboxes)
- Use Microsoft System Center Orchestrator to manage scheduled jobs and system administration
- Work closely with the Senior Server Administrators to do capacity planning, patching, maintenance and support of the server, storage and network infrastructure
- Manage Veeam based VM backups and restore requests
- Manage multiple Windows file servers and maintain storage quotas
- Assist with VoIP implementation and administration
- Assist with handling off-hours support and outages
- Receive and respond to incoming requests regarding IT infrastructure problems
- Work with server administrators at various cloud-based facilities to stand up new systems or resolve problems and perform maintenance on existing systems
- Rack equipment in the data center such as UPS's, servers, network gear and storage
- Follow change management and production turnover procedures as defined by the manager of IT Operations

**Expected Deliverables**

- a. On-time creation and administration of user credentials for above listed systems
- b. Software patching reports
- c. Stable configuration of storage, compute, network and VoIP resources

**Experience Level: mid-level**

**The Contractor should be able to demonstrate the following skills**

- Required 3+ years of experience with VMware Infrastructure experience (not necessarily VDI)
- Required 3+ years of experience as a Windows Server admin
- 2-4 years' experience performing tasks as listed above
- Ability to work a flexible schedule to accommodate project and emergency support work
- Excellent communication and analytical skills
- Nice to have, but not required: Cisco, NetApp or VMware View (VDI) experience

**Transition to permanent? YES, NYSERDA would prefer this to be a permanent position.**

## General Conditions

### PROPRIETARY INFORMATION

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available

from: Empire State Development  
Division For Small  
Business 625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available

from: Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**New York Executive Law Article 15-A** - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in the Sample Agreement.

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**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](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement (Attachment G). NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Contract Award** - NYSERDA anticipates making one or multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement (Attachment D) to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Attachment A: Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately six (6) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's](#)

### Accessibility Requirements.

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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 Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements"). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a "lifetime bar" from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the

contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

## **Attachments**

Attachment A: Rate Card Example - **Mandatory Submission**

Attachment B: Article 15-A (MWBE) Provisions

Attachment C: Article 17-B (SDVOB) Provisions

Attachment D: Diversity Practices Questionnaire – **Mandatory Submission**

Attachment E: Vendor Assurance of No Conflict of Interest – **Mandatory Submission**

Attachment G: Sample Agreement



RetrofitNY NYCHA Design Team

Request for Qualifications (RFQL) 4234

*NYSERDA reserves the right to extend and/or add funding to the Solicitation should other program funding sources become available.*

Design Team Applications accepted through 03/02/2020 by 3:00 PM Eastern Time

**Program Summary:** The goal of RetrofitNY is to spearhead the creation of standardized, scalable solutions and processes that will dramatically improve the energy performance of buildings while enhancing their aesthetics and comfort. An initiative of NYSERDA's Clean Energy Fund, RetrofitNY is working aggressively to bring a substantial portion of New York's affordable housing units to or near net-zero energy performance over the next decade, and in so doing develop significant new business opportunities in the State. Our efforts support Governor Andrew M. Cuomo's ambitious climate goals while improving the quality of life for affordable housing residents.

NYSERDA is collaborating with the New York City Housing Authority ("NYCHA") on the development of a Request for Proposal to be issued and funded by NYCHA for the design and construction oversight of a high performance retrofit for a building owned by NYCHA ("NYCHA RFP 99825"). NYCHA owns and operates 172,447 apartments in 2,400 buildings across 311 developments. To be eligible to apply for the NYCHA RFP, design teams will first need to be qualified through this NYSERDA Request for Qualifications (RFQL).

Through this RFQL, NYSERDA will qualify Design Teams to be eligible to design and supervise the construction and installation of a high performance retrofit solution. NYSERDA will appoint a scoring committee to review applications and qualify teams. Qualified Teams will be eligible to participate in the NYCHA RFP. Under the NYCHA RFP, one Design Team will be awarded a contract to act as project architect, engineer of record, and construction manager on the project and deliver a scope of work that includes but may not be limited to, the following:

- development of a bid set of construction drawings for the retrofit solution and any other ancillary work that may be required to contribute to the overall success of the project (e.g., demolition, abatement, etc.) along with budget estimate that falls within the project budget limit;
- participation in the selection process of the contractor to furnish and install the retrofit solution;
- generation of final construction drawings;
- pulling project permits;
- construction management; and
- sign-off on the final work performed.

To be qualified, Design Teams must demonstrate their ability to design and supervise construction of retrofit solutions that: approach or achieve net-zero energy performance; exclude the use of fossil fuels onsite; can be standardized, are scalable, and expected to be cost-effective when implemented at scale; improve resident health; can be installed with minimal resident disturbance or displacement; incorporate a long term maintenance plan, and contribute to building resiliency.

This RFQL follows RetrofitNY RFP 3750 previously issued by NYSERDA that produced six net zero (or near net zero) project designs, the related Program Opportunity Notices that offered funding for those six projects, and the RFQ-RFP that the Dormitory Authority of the State of New York (DASNY) released in collaboration with NYSERDA and the State University of New York (SUNY) to design a high performance retrofit for one of SUNY's residence halls. In addition, NYSERDA expects to issue several additional solicitations as part of the RetrofitNY initiative in the coming months, in conjunction with other NYSERDA programs or in collaboration with other institutional partners. This series of solicitations demonstrates

NYSERDA's long-term commitment to high performance retrofit solutions approaching or achieving net-zero energy performance that will become increasingly more cost effective at scale.

### **New York City Housing Authority Solicitation**

Design Teams that are qualified through this RFQL will be eligible to respond to the NYCHA RFP. Any Team applying to this RFQL does not need to have applied to RFP 3750 nor been qualified under that RFP. **Any Solution Provider Team that was qualified through RFP 3750 will need to resubmit their application to be considered for this RFQL, whether they resubmit their original application to RFP 3750 or update it to include new or different firms or staff members.** All key roles required for eligibility as indicated below must be included. Unlike RFP 3750, it is no longer required to have a builder on the team. Builders may still participate on the team. However, any builder who participates on the design team will be precluded from bidding on NYCHA's solicitation for the construction and installation of the retrofit solution. If a Team resubmits its original application from RFP 3750 and a builder is still indicated, or if a Team submits a new application and has a builder indicated, it will be understood that builder will participate on the Team and will be precluded from participating in NYCHA's future solicitation for the construction and installation of the solution designed.

NYCHA will award one contract for the design and construction management scope. Once the construction bid documents are completed, the construction scope will be put out for competitive public bid. Information about NYCHA RFP 99825 can be found on The City Record Online: <https://a856-cityrecord.nyc.gov/RequestDetail/20200113020>. To download NYCHA RFP 99825, sign up on NYCHA's procurement platform, iSupplier, <https://www1.nyc.gov/site/nycha/business/isupplier-vendor-registration.page>.

**Application Submission:** Online submission is preferable. Applicants may submit Word, Excel, or PDF files (acceptable file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls,xlsx, and zip). Individual files should be 100MB or smaller in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the applicant's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Saul Brown at (518) 862-1090, ext. 3028 or by e-mail at [RetrofitNY@nyserda.ny.gov](mailto:RetrofitNY@nyserda.ny.gov), or Christopher Mahase at (518) 862-1090, ext. 3534. If you have contractual questions concerning this solicitation, contact Assistant Contract Manager, Elyda L. Sheldon at (518) 862-1090, ext. 3232 or [ElydaSolicitations@nyserda.ny.gov](mailto:ElydaSolicitations@nyserda.ny.gov). Contacting anyone other than the Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant's behalf) in an attempt to influence the procurement: (1) may result in an applicant being deemed a non-responsible offeror, and (2) may result in the applicant not being awarded a contract.

**\* All applications must be received by 3pm Eastern Time on the date noted on the first page of this RFQL. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the applicant'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>).

INFO WEBINAR	DATE	REGISTRATION
Design Team Application	Monday, January 27, 2020 12:00pm to 1:00pm	<a href="#">register here</a>

Information on the webinars will be available through the program webpage at [www.nyserda.ny.gov/RetrofitNY](http://www.nyserda.ny.gov/RetrofitNY). Potential or interested applicants should attend or view the applicable webinar before starting the application process. Requests for information sent to [RetrofitNY@nyserda.ny.gov](mailto:RetrofitNY@nyserda.ny.gov) will also be honored until the Application deadline. All responses will also be publicly posted as FAQ's on RetrofitNY's website at <https://www.nyserda.ny.gov/RetrofitNY>.



## **I. Introduction**

The RetrofitNY approach is based on a successful European program called Energiesprong (<http://energiesprong.eu/>), which has brought about 10,000 units of affordable housing in the Netherlands to net-zero energy with improved comfort and aesthetics, and has 20,000 additional units in the pipeline. After launching the first projects in the Netherlands in 2013, Energiesprong is now being implemented in France, the United Kingdom, Germany and Canada. By adapting this tested and proven model to New York, NYSERDA is driving market transformation through four key actions:

1. Aggregating demand among building owners and harnessing their collective market power.
2. Mobilizing the building industry to develop innovative technical solutions to substantially improve the comfort, aesthetics and performance of affordable housing buildings with residents in place.
3. Working with financial organizations to help finance projects by capturing and monetizing energy and other operational savings.
4. Engaging regulatory agencies to help remove barriers to widespread adoption.

RetrofitNY is currently focusing on the affordable housing sector where high-performance retrofits have the potential to significantly improve resident comfort and well-being while reducing operating costs. The limited range of typologies in the affordable housing building stock will allow us to rapidly activate a large market and compress costs by replicating the technical solutions that are developed across a large number of similar buildings throughout New York state. First movers will have an advantage in a billion dollar annual market that will transform the building rehabilitation industry and become a new business-as-usual model. We expect that the solutions developed in the affordable housing sector will have widespread applicability throughout the housing industry and other building sectors in New York State and beyond.

The success of the Energiesprong program in Europe proves that a large-scale transformation of the housing stock to achieve high levels of energy performance is not only technically possible but also economically viable. This approach offers new opportunities to the building industry, reduces operating costs to building owners, opens financing opportunities to lenders and improves quality of life for residents.

Prior to issuing its first RFP, the RetrofitNY team engaged a wide array of stakeholders, including affordable housing owners and developers, architects and engineers, builders and manufacturers, financing agencies and private lenders for their input on developing a large scale self-sustaining high performance retrofit market in New York. NYSERDA's experience with the initial design round, the collaboration with institutional partners like NYCHA and SUNY, and the interest shown by prospective out-of-state markets in the RetrofitNY approach have all supported the assertion that a market transformation similar to Energiesprong's European success is possible in New York State and elsewhere in North America.

This RFQL will qualify Design Teams capable of generating a retrofit solution design that approaches or achieves net-zero energy performance for affordable housing multifamily buildings. These solutions will not only reduce greenhouse gas emissions but also:

- Improve living space comfort and indoor air quality, and the exterior aesthetics of a large portion of the state's existing affordable housing building stock.
- Provide substantial savings on utility and long-term maintenance expenses for building owners, which savings can be used to help finance the improvements.
- Become the business-as-usual rehabilitation model throughout the housing industry within New York state and beyond.



- Provide significant new business opportunities in New York.

Design Teams interested in designing a solution should submit an application under this RFQ describing their ability to design, engineer, cost, and supervise construction of a high-performance retrofit and to furnish the final design deliverables required by the NYCHA RFP.

The goals of the RetrofitNY program are:

- Challenge and support the design and construction industry in the development of solutions that:
  - approach or achieve net-zero energy performance
  - significantly improve the quality of life for the residents
  - use existing or easily adapted components
  - are adaptable to buildings of similar typologies
  - minimize resident disruption during implementation
  - minimize the onsite construction period
  - could be covered by a long-term performance guarantee from the builder who provides the solution
  - contribute to building resiliency
- Engage the financing industry to support the development of long-term financing strategies for high performance retrofit solutions that monetize the operational savings over the long term.
- Facilitate aggressive cost compression to enable implementation at scale without NYSERDA subsidy
- Identify regulatory barriers to implementing solutions and work to eliminate to enable scale adoption.
- Foster a collaborative process in which all stakeholders work together to enable successful solutions for high performance retrofits at scale.

Additional RetrofitNY program information and resources are available at <https://www.nyserda.ny.gov/RetrofitNY>.

## **II. Program Requirements**

### ***A. Definitions***

***Cost-effectiveness:*** retrofit solutions will be considered cost-effective if, when implemented on a large scale:

- They can be furnished and installed at no or minimal increased cost to the Building Owner's planned rehabilitation budget, AND/OR
- The post-retrofit operating and maintenance savings are sufficient to finance any incremental costs above the planned business as usual rehabilitation budget which are attributable to the high performance retrofit solution

***Net-Zero Energy (NZE) Performance:*** The total amount of site energy consumed by the building is less than or equal to the amount of renewable energy created by solar photovoltaics or other distributed energy resources located on the building or elsewhere on the site, calculated on an annual basis.

***Design Team:*** a multidisciplinary, integrated design team that:

- is technically qualified and has practical experience in high-performance design and construction management, including onsite solar or other distributed generation, AND
- can design, engineer, cost, supervise production and installation of, and propose a strategy to maintain, a retrofit solution that approaches or achieves net-zero energy performance.

Design Teams are sometimes also referred to herein simply as "Teams."

**Design Team Member, or Team Member:** One of the individuals, companies or organizations participating in a Design Team. One Team Member must be designated as Prime Contractor.

**Prime Contractor:** The company that will serve as lead applicant for a Design Team. The Prime Contractor will submit the Design Team Application and, if eligible, submit an application for the NYCHA RFP. It will be the Prime Contractor with whom NYCHA contracts for the scope of work defined in the NYCHA RFP. The representative(s) of the Prime Contractor will also act as NYSERDA's primary contact. Prime Contractors must be able to enter into a contract with and receive funding from NYCHA.

## **B. Eligibility Requirements**

### **1. Design Team Eligibility**

To be eligible, Design Teams must include Team Members that collectively meet the following requirements:

- Demonstrated experience with multifamily buildings
- Demonstrated experience with successful high-performance projects
- Demonstrated ability to model post-retrofit life cycle cost analysis
- Demonstrated ability to model energy consumption savings and energy cost savings
- Demonstrated capacity to design, engineer, cost, supervise production and installation of and propose a strategy to maintain the high performance retrofit solution, including installation of onsite distributed generation

### **2. NYCHA-Owned Buildings**

NYSERDA wants to ensure that each Applicant has considered all applicable procurement laws that may apply to the design of the retrofit prototype and the subsequent construction and implementation of the prototype retrofits, given that they are to be constructed on a building owned by a public housing authority or a government entity. Applicants are encouraged to familiarize themselves with the requirements indicated on Procurement and Sourcing Solutions Portal ([PASSPort](#)) for the City of New York before submitting an application to this RFQL. Applicants are advised that terms and conditions applicable to the retrofit prototype and the subsequent construction and implementation of the prototype retrofits will be set forth in the RFP issued by NYCHA and eventual awarded agreement.

## **C. Qualification**

### **1. Notification**

For each Application that meets the eligibility requirements set forth in Section II.B above and is otherwise qualified pursuant to this RFQL, NYSERDA will notify the applicable Prime Contractor in writing. NYSERDA will also inform NYCHA of all applicants qualified through the RFQL.

It will then be incumbent upon a Team qualified by this RFQL to complete the NYCHA RFP and for the Prime Contractor so designated in this RFQL to submit its application for the NYCHA RFP to NYCHA in the manner and before the deadline designated by NYCHA in the NYCHA RFP.

### **2. NYCHA Contract**

Following qualification by this RFQL, the Team's Prime Contractor will be responsible for dealing directly with NYCHA with respect to the NYCHA RFP and any contract that may ensue from it. NYSERDA in no way assumes any responsibility for or liability with respect to the NYCHA RFP or any contractual obligations that may result from the NYCHA RFP.

While NYSERDA or its representatives may provide support to the Team awarded a contract under NYCHA's RFP or otherwise act in an advisory capacity to that Team or NYCHA, any contractual obligations or liabilities will be strictly between NYCHA and the Prime Contractor.

### **3. Retrofit Solution Design Goals**

The goal of the design phase is to develop a replicable high performance retrofit solution that will ultimately be produced and installed on the pilot building selected by NYCHA. Team Members will engage in a highly collaborative process that will involve NYSERDA, its representatives, and NYCHA, and may also include other key project stakeholders, all of whom will be encouraged to meet at regular intervals to participate in the development of the retrofit solution.

Teams must be able to design solutions that:

- approach or achieve net-zero energy performance
- exclude the use of fossil fuels onsite
- can be standardized, are scalable and will significantly compress costs at scale
- improve resident comfort and quality of life
- improve the aesthetic of the building
- can be installed with minimal resident disturbance or displacement
- minimize the onsite construction period
- preserve affordable housing and affordable rents for Low-to-Moderate Income residents
- have an estimated budget meeting the project budget cap
- have a measurement and verification (M&V) plan to monitor building performance

### **Design Criteria**

NYSERDA anticipates that NYCHA will seek to give as much design freedom as possible to the selected Team. However, in order to guide the work of the Teams and guarantee that the solutions achieve the expected outcomes, the NYCHA RFP will provide a set of design criteria and required specifications.

### **4. NYSERDA Support**

To support the work of the Team, NYSERDA will actively facilitate a transfer of knowledge from industry participants currently delivering Energiesprong-generated solutions in the Netherlands.

To accelerate innovation, upon successful completion of the design phase, NYSERDA will publish the completed solution design package as an open source document with full acknowledgement of all participants and contributors. The solution design will be widely publicized and distributed, including to public housing authorities, affordable housing owners and developers, affordable housing regulatory agencies, financing entities, and regulators, encouraging adoption of these high-performance retrofit designs. NYSERDA shall therefore have the right to use, duplicate, or disclose all or any portion of the solution designed under

NYCHA's RFP in any manner and for any purpose and to permit others to do so, while the Prime Contractor shall have the right to use such information for its private purposes.

## **5. Construction Phase**

At the conclusion of the design phase, it is expected that NYCHA will bid the scope of work developed during the design phase to builders and general contractors able to execute that scope through a separate competitive procurement process. Under the terms of the NYCHA RFP, the Team would then supervise the construction phase and sign-off on completed work.

### **III. Application Requirements**

#### ***A. Application Process***

Applications will be accepted until the submission deadline indicated in the block at the start of this solicitation. Upon receipt of an application, NYSERDA program staff will review for eligibility and completeness. NYSERDA will review applications submitted up to one week prior to the submission deadline for completeness and will notify applicants whose applications fail to meet minimum eligibility requirements of this within two business days so they may resubmit the application by the deadline. **If the application is deemed to be ineligible or incomplete, this shall disqualify the application.**

Complete and eligible applications will be reviewed and evaluated by a scoring committee comprised of NYSERDA and outside experts to determine which Teams are qualified to participate in the NYCHA RFP. NYSERDA will notify all applicants as to whether their Application meets the minimum scoring threshold and are qualified to apply to the NYCHA RFP.

Upon applicant request, any Teams whose applications are not qualified can request a debrief as to the reasons that their application did not qualify.

The Design Team Prime Contractor submits the Team Application. Team Members may be included on more than one Team Application.

The Team Application must include the following elements to be considered eligible and complete:

- Design Team Application Workbook (see Attachment A)
- Team Member individual staff resumes. Include resumes for all staff listed in the Application Workbook.
- Team Member Qualifications: Demonstrate through application narrative, professional resumes and project case studies that the Design Team includes Team Members with the collective experience, skills and capabilities required to meet the objectives outlined in this RFQL.

#### ***B. Evaluation Criteria***

Design Team Applications will be evaluated using the following criteria:

1. Team demonstrates a versatile set of skills above what is minimally required to achieve a successful integrated solution
2. Team's summary demonstrates understanding of efficient collaborative processes for the design and implementation phase
3. Plausibility of the Team's high-level description of its planned strategy and methods for developing a retrofit solution

4. Team demonstrates relevant experience with high-performance design and construction management
5. Team Members demonstrate experience in developing measurement and verification (M&V) plans
6. Team has experience retrofitting resident-occupied buildings
7. Team Members have previously worked together
8. Team demonstrates the ability to scale up solutions and compress costs through standardized, production and construction techniques or other innovative scalable methods
9. Team demonstrates experience working in the affordable housing market/knowledge of affordable housing regulations

#### **IV. Reserved Rights**

NYSERDA reserves the right to:

- convene one or more pre-proposal meetings/webinars for prospective Design Team members considering submitting applications
- request additional information needed for clarification regarding an application if required for its proper evaluation
- request a presentation by or interview with any applicant to clarify their application
- issue periodic informational updates and FAQ responses posted to the RetrofitNY website at <https://www.nyserda.ny.gov/RetrofitNY>

#### **V. Program Policy Factors**

NYSERDA may consider program policy factors in making qualification decisions for Team Applications to best achieve the overall goals and objectives of the RetrofitNY program. Program Policy Factors may include the following considerations:

- The degree to which there are technical, market or organizational risks associated with the proposed Design Team.
- The degree to which the Design Team promotes the participation of diverse stakeholders or partnership with minority serving institutions.
- The degree to which the proposed technologies, approaches, methods and institutions are expected to drive innovation and best achieve the overall goals and objectives of the RetrofitNY program.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.

#### **VI. General Conditions**

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Such consideration should include whether it is critical for evaluating a proposal, and whether general, non-confidential information may be adequate for review purposes.

The NYS Freedom of Information Law, Public Officers Law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a

commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law Sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law Sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under Section 139-j of the State Finance Law within the previous four years).

**Contract Award** - NYSERDA anticipates qualifying multiple teams under this solicitation. Teams may be qualified based on submittal of Project Applications without discussion, or following limited discussion. NYSERDA may request additional data or material to support applications. NYSERDA may decline to qualify with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to qualify any applicant, pay any costs incurred in preparing a proposal, or to procure or contract for any services or supplies. NYSERDA reserves the right to qualify or disqualify any applicant, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to disqualify proposers based upon the results of

a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe the circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the qualification of a Design Team, NYSERDA may revoke the qualification of the Design Team; the applicable Team Member may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

## **VII. Attachments**

Attachment A – Design Team Application Workbook



## Offshore Wind Port Infrastructure RFQL 4259 Request for Qualifications

**Responses Due: November 15, 2019 by 3:00 p.m. Eastern Time**

This Request for Qualifications (RFQL) constitutes Phase 1 of a 2-phase process through which New York State seeks to pre-qualify Applicants and then select proposals for public/private investment in port infrastructure that will advance the offshore wind industry in New York State. Through Phase 1, New York State expects to pre-qualify multiple Applicants for participation in Phase 2. Phase 2 will consist of a Request for Proposals (RFP) that will be issued in 2020. This RFQL is being administered by the New York State Department of Transportation (DOT), the New York State Energy Research and Development Authority (NYSERDA), and Empire State Development (ESD) (collectively, “New York State”).

New York State does not intend to publish responses. However, if you intend that your responses are to remain confidential please mark them “Confidential” or “Proprietary.” If New York State receives a request from a third party for responses received that have been marked “Confidential” or “Proprietary,” New York State will process such request under the procedures provided by New York State’s FOIL regulations as detailed in Section V below (email [foil@nyserda.ny.gov](mailto:foil@nyserda.ny.gov) for additional information).

**Proposal Submission:** Online submission is preferable. Applicants may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the Applicant’s Site name in the title of the document. NYSERDA will also accept Applications by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit an Application (online or paper submission), click the link “[Application Instructions and Portal Training Guide \[PDF\]](#)” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

For submission of the Application, the Applicant’s complete response to this RFQL should be consolidated into a single file and uploaded under the “Request for Qualifications” upload location. Additionally, any aerial visuals (which are optional) may be uploaded separately under the “Aerial Visuals” upload location.

Alternatively, mailed or hand-delivered responses must be clearly labeled and submitted to the below address. If responses are mailed or hand-delivered, please include eight complete copies.

Attention: Jillina Baxter  
OSW Ports RFQL - 2019 Response  
New York State Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399





All responses must be received on or before 3:00pm Eastern Time on November 15, 2019. Incomplete Applications may be subject to disqualification. It is the Applicant's responsibility to ensure that all Application components have been included in the submitted Application. Please allow at least 60 minutes to enter/submit online Applications as there are required questions incremental to the upload process. The online proposal system closes promptly at 3 p.m. Eastern Time; files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above will not be accepted. If changes are made to this RFQL, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyscrda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

If you have technical questions regarding this RFQL, please contact [offshorewind@nyscrda.ny.gov](mailto:offshorewind@nyscrda.ny.gov). If you have contractual questions regarding this RFQL, please contact [nancysolicitations@nyscrda.ny.gov](mailto:nancysolicitations@nyscrda.ny.gov).

## I. Introduction

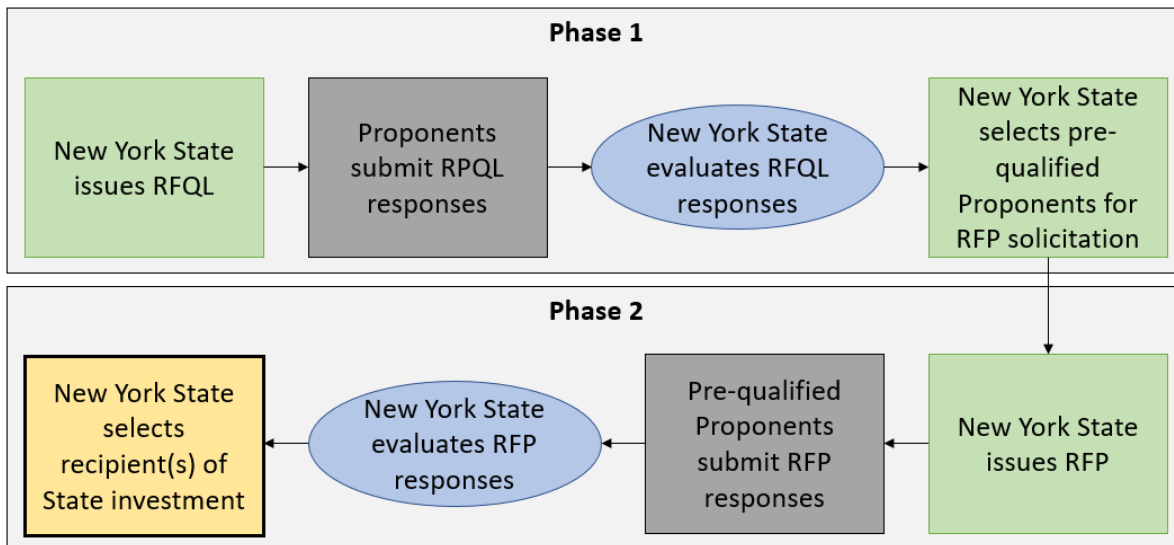
On July 18, 2019, Governor Andrew M. Cuomo signed the Climate Leadership and Community Protection Act (CLCPA), putting into law the most aggressive climate agenda in the United States. The CLCPA includes a requirement for New York State to procure 9,000 megawatts of offshore wind by 2035, representing nearly half of the region's offshore wind pipeline. To complement this bold statement of national and global leadership, Governor Cuomo has also called for New York State to invest up to \$200 million in New York port infrastructure to leverage and strengthen private investment and maximize the long-term economic benefits to the State.<sup>1</sup> This commitment represents the nation's largest infrastructure commitment to offshore wind, and will be a critical ingredient in realizing the potential long-term economic benefits to the State from the regional development of offshore wind.

Port infrastructure is integral to the offshore wind supply chain, serving as the link between land-based manufacturing and pre-assembly activities and the offshore projects. This RFQL has been issued for New York State to examine and pre-qualify opportunities for State investment in New York port infrastructure that will provide vital supply chain resources to the offshore wind industry and unlock long-term local economic development potential. Only those Applicants who are pre-qualified under this RFQL will be eligible to participate in an RFP that will be issued by New York State in 2020. The RFP will be a competitive solicitation by which New York State may invest up to \$200 million in New York port infrastructure. The RFQL and RFP comprise a two-phase process which is outlined in the below graphic.

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<sup>1</sup> <https://www.governor.ny.gov/sites/governor.ny.gov/files/atoms/files/2019StateoftheStateBook.pdf>





Investment by New York State into the offshore wind supply chain could take many forms, as identified in Appendix A. Appendix A provides various investment options but is not an exhaustive list of the incentives available to participants in the New York offshore wind supply chain. Applicants seeking consideration for additional assistance and/or incentives are encouraged to contact Empire State Development directly to discuss eligibility and options at (518) 292-5200 or [cleantech@esd.ny.gov](mailto:cleantech@esd.ny.gov).

This RFQL is independent from the Offshore Wind Renewable Energy Credit (OREC) Request for Proposals (ORECRFP18-1) issued by NYSDERDA in November, 2018 (<https://www.nysderda.ny.gov/All-Programs/Programs/Offshore-Wind/Offshore-Wind-Solicitations/Generators-and-Developers/2018-Solicitation>). Applicants are encouraged to respond to this RFQL considering the offshore wind goals of both New York State and the broader region, which now collectively exceeds 20,000 megawatts.

New York State will host a webinar for prospective Applicants on October 11, 2019. Prospective Applicants are encouraged to register for this event as early as possible at <https://www.nysderda.ny.gov/All-Programs/Programs/Offshore-Wind/Contact/Events>. The purpose of the webinar is to provide prospective Applicants with the opportunity to clarify their understanding of any aspect of this RFQL. Prospective Applicants are encouraged to submit questions in advance of the webinar according to the instructions on the registration page, but questions may also be asked during the webinar as time allows.

## II. Eligibility and Content Requirements

Applicants are required to respond to all questions included in this RFQL to be considered for pre-qualification. Additionally, the following information and items must be included for responses to be considered:

- Applicant’s name, affiliation, title, and primary contact information.
- Each response should include the number corresponding to each RFQL item/question request set forth in Section III hereof.
- All monetary values should be clearly presented in nominal dollars.

Applicants may respond on a standalone basis or as part of a team. Among many possible team structures, a team could consist of a site owner or long-term lessee, developer/sponsor, lead equity/or debt provider, and long-term user of the Site.



To be eligible for qualification, the Applicant must identify at least one Site (as defined below) and should describe the current level of Site control or describe their ability to obtain Site control. New York State understands and expects that applications for pre-qualification may present varying degrees of development and completeness with respect to particular Sites and activities. New York State will pre-qualify applicants based on overall demonstrations of value and viability.

### III. Information Requested

#### A. Site Identification and Description

1. Identify the site(s) of the port facility (the “Site”) being discussed in your response. Proper identification should include geographic information system (GIS) data, address, a description of the surrounding neighborhood, and aerial visuals of site delineation.
2. Identify the current ownership, operational structure, and uses of the Site. This information should include the terms of any current leases relevant to the Proposed Site Investment and Proposed Site Activity (descriptions of these terms are below in Items 4 and 5, respectively).
3. Provide a summary of the existing Site infrastructure. At a minimum, this description should include:
  - a. acreage;
  - b. water depth and seabed conditions of the quayside, adjacent channels, and relevant vessel routes;
  - c. dimensions of the quayside;
  - d. bearing capacity of the quayside and upland area;
  - e. on-site power and other utilities;
  - f. access to road and rail transportation;
  - g. infrastructure and buildings;
  - h. nautical distance from all existing and proposed federal offshore wind energy areas (WEAs) that could be serviced by the Site;
  - i. key current and historical environmental conditions;
  - j. protection from surges, storms, and hurricanes.

#### B. Proposed Site Activity and Investment

4. Identify the proposed long-term use of the Site (Proposed Site Activity) as related to offshore wind. At a minimum, the description should include:
  - a. role(s) in the offshore wind supply chain;
  - b. expected end-users of the Site, including the proposed operational structure (long-term vs. short-term leases, single user vs. multiple users, etc.);
  - c. the Site’s ability to compete with other regional and global port facilities;
  - d. the types of vessels that would utilize the Site.
5. Identify the infrastructure upgrades (Proposed Site Investment) that are required for the Site(s). Information should be sufficiently detailed to support an assessment of the viability of the Proposed Site Activity. At a minimum, the description should address each of the below items and note specifically which, if any, are not relevant for the Proposed Site Investment:
  - a. acreage;
  - b. water depth and seabed conditions of the quayside, adjacent channels, and relevant vessel routes;
  - c. length of the quayside;
  - d. bearing capacity of the quayside and upland area;



- e. on-site power and other utilities;
- f. access to road and rail transportation;
- g. infrastructure and buildings;
- h. nautical distance from all existing and proposed federal WEAs that could be serviced by the Site;
- i. key current and historical environmental conditions;
- j. protection from surges, storms, and hurricanes.

6. Identify any physical or financial barriers to the Proposed Site Activity. These may include land/water access constraints, overhead restrictions on Site, air draft restrictions between the Site and the WEAs, or extensive remediation/permitting requirements.

#### C. Proposed Investment Structure

- 7. Identify the estimated costs of the Proposed Site Investment. If applicable, please also identify the class of such cost estimate as designated by AACE International 18R-97 guidelines.
- 8. Provide an estimated construction schedule for the Proposed Site Investment.
- 9. The primary mechanism available to New York State for investment is reimbursement, where the Applicant would independently finance the Proposed Site Investment and then, upon completion of the Proposed Site Investment, receive a pre-determined level of reimbursement from New York State. Please comment on this mechanism's ability to support the Proposed Site Investment.
- 10. Provide an estimate for the level of investment that you would expect to request from New York State.
- 11. Identify all investors, including their estimated investment levels, supporting the Proposed Site Investment.

#### D. Economic Benefits

- 12. Provide an estimate the value of Economic Benefits that would result from the Proposed Site Investment. Economic Benefits should include only those benefits that would accrue to New York State under the completion of the Proposed Site Investment, and that would not have accrued but for the completion of the Proposed Site Investment. Economic Benefits should be broken down between the construction phase (execution of the Proposed Site Investment) and the operational phase (execution of the Proposed Site Activity), should be broken down between direct, indirect, and induced benefits, and should be presented between two categories:
  - a. Category 1: spending within and GDP impact accruing to New York State; and
  - b. Category 2: job creation in New York State presented annually over the operational life of the Site, including estimated annual compensation.

#### E. Other

- 13. In no more than 500 words, provide a statement of qualifications that describes the experience and abilities of the Applicant and the Applicant's key team members, organizations, and/or institutions, if applicable.
- 14. Identify your experiences in assuming right of way acquisition, the assessment and management of environmental and geotechnical risks, and other permitting activities. Which of these are particularly relevant to the Proposed Site Activity and Proposed Site Investment?
- 15. Please provide any additional information that you believe New York State should consider in its evaluation.

### IV. Evaluation of Responses



Applications will be evaluated by New York State against the Evaluation Criteria set out below. The content of Applications should address these criteria in reasonable detail.

A. Technical Considerations

Applications will be evaluated with focus on the following key technical areas:

- a) Applicant's understanding and assessment of the nature of the OSW supply chain;
- b) The technical needs and challenges of any proposed Site(s);
- c) Physical advantages and barriers of any proposed Site(s) and their proximity to other potential offshore wind supply chain activities; and
- d) Ability of the proposed Site(s) to support the near-term and long-term offshore wind industry.

B. Financial and Risk/Return Considerations

Applications will be evaluated with focus on the following key risk/return areas:

- a) Level and structure of requested New York State financing support;
- b) Level and structure of indicated financial commitments of the Applicant and any other parties included in the response, with an emphasis on the ratio of state to non-state funding; and
- c) Creditworthiness (e.g. counterparties, underlying technologies, EPC providers, etc. as applicable).

C. Economic Benefits

Applications will be evaluated with focus on the following key areas:

- a) Level of proposed economic benefits relative to requested New York State investment;
- b) Risks associated with achieving the proposed economic benefits; and
- c) Ability to unlock future supply chain investments at other locations in New York State.

D. Viability

Applications will be evaluated with focus on the following key areas:

- a) Demonstration of the Site's competitive advantages in the offshore wind supply chain;
- b) Level of current Site control or ability to secure long-term usage;
- c) Maturity of Site development to date;
- d) Proposed permitting and construction schedules;
- e) Engagement plan for relevant stakeholders, as necessary;
- f) Qualifications of the Applicant and the Applicant's key team members and any other parties included in the response; and
- g) Attributes of the response including but not limited to cohesiveness, clarity, and a demonstration of strong understanding of the technical, financial, and other development challenges.

V. **General Conditions**

Proprietary Information. Careful consideration should be given before confidential information is submitted as part of your response. Review should include whether it is critical for evaluating a response, and whether general, non-confidential information, may be adequate for review purposes.



The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information the State possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure, including an exception for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted that Applicant wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the corresponding regulations. However, the State cannot guarantee the confidentiality of any information submitted.

Limitation. This RFQL does not commit New York State to agree to participate in any transaction, proceed to negotiate any terms or definitive documentation, pay any costs incurred in preparing a response or procure or contract for services or supplies. The State reserves the right to cancel in part or in its entirety this RFQL when it is in its best interest. The State reserves the right to disqualify Applicants based upon the results of a background check into publicly available information or the presence of a material possibility of any reputational or legal risk in making of the award. The Applicant should disclose any indictment for any felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and describe circumstances for each. If an Applicant is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body.



## Appendix A: New York State Offshore Wind Supply Chain Incentives

<p><b>INCENTIVES</b></p>	<p><b>Investment Tax Credit up to 5%</b> Manufacturers who are new to New York are eligible for a 5%, fully-refundable investment tax credit (ITC) on eligible capital expenditures. Resident manufacturers are eligible for a non-refundable ITC.</p> <p><b>New York State Manufacturers Pay 0% Income Tax</b></p> <p><b>Excelsior Jobs Tax Credit Program</b> Fully refundable tax credits are available based on net new job creation commitments and/or capital investment commitments. Companies may qualify for four different flavors of tax credits. Learn more at <a href="https://esd.ny.gov/excelsior-jobs-program">https://esd.ny.gov/excelsior-jobs-program</a>.</p> <p><b>Grants</b>, structured as reimbursements, can be awarded to help offset project capital investments. Grants will be awarded based on milestone achievements throughout the project.</p> <p>New York Power Authority’s <b>ReCharge NY Program</b> can provide those participating in the Excelsior Jobs Tax Credit Program an allocation of lower-cost electricity. Learn more at <a href="https://www.nypa.gov/innovation/programs/recharge-ny">https://www.nypa.gov/innovation/programs/recharge-ny</a>.</p>
<p><b>INFRASTRUCTURE DIRECT INVESTMENT</b></p>	<p>New York will <b>invest up to \$200 million in offshore wind port infrastructure</b> to unlock private supply chain capital and maximize long-term economic benefits to the State.</p>
<p><b>WORKFORCE</b></p>	<p>New York State is establishing a \$20 million <b>Offshore Wind Training Institute</b> (OWTI) that will generate the institutional infrastructure to educate and train over 2,500 New Yorkers to design, manufacture, and operate cutting-edge offshore wind technology.</p> <p>New York State offers support for training and/or internships via its <b>Employee Training Incentive Program (ETIP)</b>. ETIP will pay up to 50% of approved training costs, up to \$10,000 per employee, and will pay a credit of 50% of the stipend paid to an intern, up to \$3,000 per intern. Learn more at <a href="https://esd.ny.gov/employee-training-incentive-program">https://esd.ny.gov/employee-training-incentive-program</a>.</p> <p>The New York State Department of Labor (NYSDOL) also has funds available to assist with training and workforce development. NYSDOL provides grants on a competitive basis to assist with occupational skills upgrading and training to meet the needs of the business, including on-the-job training. A description of all the business services available from NYSDOL can be found at <a href="https://www.labor.ny.gov/home/businesses.php">https://www.labor.ny.gov/home/businesses.php</a>.</p>
<p><b>FINANCE</b></p>	<p><b>New York Ventures</b> The State’s Innovation Venture Capital Fund provides equity investments in select high-growth startups. Learn more at <a href="https://esd.ny.gov/innovation-venture-capital-fund">https://esd.ny.gov/innovation-venture-capital-fund</a>.</p> <p><b>JDA Loan Program</b> This program offers financing to help New York firms pay the cost of acquiring, renovating, and constructing buildings, or for purchasing machinery and equipment. Learn more at <a href="https://esd.ny.gov/job-development-authority-direct-loan-program">https://esd.ny.gov/job-development-authority-direct-loan-program</a>.</p> <p><b>Linked Deposit Program</b> This program provides resident businesses with affordable capital based on interest rates up to 2 or 3 percentage points lower than prevailing market rates. Learn more at <a href="https://esd.ny.gov/linked-deposit-program">https://esd.ny.gov/linked-deposit-program</a>.</p> <p><b>New York Green Bank</b> NYSERDA manages the State’s Green Bank with over \$1 billion of capital to invest to support the deployment of clean energy resources. Learn more at <a href="https://greenbank.ny.gov/">https://greenbank.ny.gov/</a>.</p>





## Standards and Quality Assurance Services Request for Qualifications (RFQL) 4272

Proposals Due: **April 14, 2020** by 3:00 p.m. Eastern Time\*  
Information regarding upcoming Bidders' Conference can be  
found here: [www.NYSERDA.NY.GOV/RFQL4272](http://www.NYSERDA.NY.GOV/RFQL4272)

The New York State Energy Research and Development Authority (NYSERDA) is issuing this solicitation to establish a pool of qualified service providers to develop and implement quality initiatives in support of several NYSEDA programs and Clean Energy Technologies including:

- NY-Sun Solar Program as outlined in the NY-Sun Operational Plan
- Energy Storage Program as outlined in the Energy Storage Chapter
- Onsite Resilient Power as outlined in the Resource Acquisition Transition Chapter
- New York State Healthy Homes Value-Based Payment Pilot as outlined in the Energy Affordability and Equity Chapter
- Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

Qualified proposers will work with the NYSEDA Standards and Quality Assurance team to conduct field inspections, photo inspections and desk review services, implement existing and upcoming standards (technical, installation, data and quality standards) and deliver market-based quality assurance solutions. Proposers qualified under this solicitation will be established as a "Quality Service Provider" (QSP), instrumental in helping NYSEDA make quality a competitive determinant to drive contractor performance, build consumer and investor confidence and accelerate adoption of clean energy solutions in New York.

Interested proposers may submit their qualifications to support either one or a combination of all Service Categories and may submit bids for multiple program/technology areas:

- 1) Service Category 1: Field Inspections, Photo Inspections and Desk Review Services
- 2) Service Category 2: Technical Assistance and Standards Development Support Services
- 3) Service Category 3: Data Collection and Management System Support Services

NYSERDA anticipates qualification of one or more proposers for each Service Category. Awards for each Service Category are anticipated to be for five (5) years. Individual Task Work Orders (TWOs) will be assigned with a specified period of performance determined by NYSEDA based on the task requirements and final scope of work as new programs are approved. Qualified QSPs will initially be awarded zero-dollar umbrella contracts for all Service Categories.



Service Category 1: Inspection Services will be awarded by program and technology areas identified in this solicitation and will be contracted to support one (1) or more geographical regions or statewide.

Service Category 2: NYSERDA will qualify a pool of contractors to provide NYSERDA with diverse technical Quality Assurance (QA) and Quality Control (QC) experience, quality standards and method development and non-standard inspection service experience within the technology areas listed in the solicitation.

Service Category 3: NYSERDA will qualify a pool of contractors to provide NYSERDA with diverse technical experience of collecting and performing data management within the technology areas listed in the solicitation.

NYSERDA reserves the right to extend and/or add funding should other program funding sources become available. NYSERDA intends to periodically re-evaluate its qualified consultant pool and may reissue this RFQL in whole or in part to expand its qualified consultant pool on an annual or more frequent basis.

### **Informational Webinar**

NYSERDA will conduct an **Informational Webinar** on **Friday March 13<sup>th</sup>, 2020, 11:00 a.m. – 12:00 p.m.** Eastern Time during which NYSERDA will review the requirements of this solicitation and answer questions. Proposers who intend to participate may send an email to <mailto:Inspections@nyserda.ny.gov> with the subject line “RFQL4272 Webinar” to request information on how to participate. Questions may be submitted via the same email address prior to the Webinar and proposers can submit questions during the webinar through the web platform. NYSERDA will post questions and responses on the NYSERDA website after the Webinar. All questions will be posted anonymously, and NYSERDA’s written responses will supersede any responses given during the Webinar.

**Proposal Submission:** Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link “[Application Instructions and Portal Training Guide](#) [PDF]” located in the “Current Opportunities” section of NYSERDA’s website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted. Technical questions may be submitted by contacting the following:

Amy Kasson-Muzio at (518) 862-1090, ext.3570 or by e-mail  
[Amy.Kasson-Muzio@nyserda.ny.gov](mailto:Amy.Kasson-Muzio@nyserda.ny.gov)

Rick Sehein at (518) 862-1090, ext.3356 or by e-mail [Rick.Sehein@nyserda.ny.gov](mailto:Rick.Sehein@nyserda.ny.gov).

If you have contractual questions concerning this solicitation, contact Elsyda Sheldon at (518) 862-1090, ext. 3232 or inspections@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-responsive offeror, and (2) may result in the proposer not being awarded a contract.

**\* All proposals must be received by 3 p.m. Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that you will have to answer in addition to uploading attachments and you should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 p.m. Eastern Time, files in process or attempted edits or submission after 3 p.m. Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

## **I. INTRODUCTION**

NYSERDA's Clean Energy Fund (CEF)<sup>1</sup> is a core component of Governor Cuomo's Reforming the Energy Vision (REV), designed to achieve a clean, resilient and affordable energy system for all New Yorkers. The CEF reduces the cost of clean energy by accelerating adoption of energy efficiency to reduce load while increasing renewable energy to meet demand. NYSERDA's filings<sup>2</sup> are designed to complement the related initiatives championed by New York State, including the New York State Public Service Commission's REV regulatory proceeding<sup>3</sup> and its Clean Energy Standard proceeding.<sup>4</sup>

NYSERDA has designed the CEF to pursue three long-term outcomes: thriving and self-sustaining clean energy industries able to operate without subsidies; greater levels of private capital invested in clean energy and jobs in New York; and significant reductions in greenhouse gas (GHG) emissions from the state's energy sector.

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<sup>1</sup> Case 14-M-0094 - Proceeding on Motion of the Commission to Consider a Clean Energy Fund; Case 10-M-0457 – In the Matter of the System Benefits Charge IV; Case 07-M-0548 – Proceeding on Motion of the Commission Regarding an Energy Efficiency Portfolio Standard; Case 03-E-0188 – Proceeding on Motion of the Commission Regarding a Retail Renewable Portfolio Standard; Case 13-M-0412 – Petition of the New York State Energy Research and Development Authority to Provide Initial Capitalization for the New York Green Bank. Order Authorizing the Clean Energy Fund Framework, issued and effective January 21, 2016.

<sup>2</sup> As of January 22, 2017, NYSERDA had launched several programs outlined in earlier filing of the Resource Acquisition Transition Chapter of its Clean Energy Fund Investment Plan; additional chapters describing further interventions will follow during 2017.

<sup>3</sup> Case 14-M-0101 – Proceeding on Motion of the Commission in Regard to Reforming the Energy Vision. Order Adopting Regulatory Policy Framework and Implementation Plan, issued and effective February 25, 2015.

<sup>4</sup> Case 15-E-0302, Proceeding on Motion of the Commission to Implement a Large-Scale Renewable Program and a Clean Energy Standard.

NYSERDA's new program approaches are intended to enable NYSERDA to achieve the high-level state policy goals identified in the Climate Leadership and Community Protection Act, CLCPA, which targets net zero carbon emissions. The historic Climate Leadership and Community Protection Act (CLCPA) signed by Governor Cuomo in July 2019 requires the State to achieve a carbon free electricity system by 2040 and reduce greenhouse gas emissions 85% below 1990 levels by 2050, setting a new standard for states and the nation to expedite the transition to a clean energy economy. The new law will drive investment in clean energy solutions such as wind, solar, energy efficiency and energy storage. Importantly, implementation of the CLCPA will target investments to benefit disadvantaged communities, create tens of thousands of new jobs, improve public health and quality of life and provide all New Yorkers with more robust clean energy choices.

## II. QUALITY OVERVIEW

**Background:** NYSERDA's quality services are designed to help ensure the integrity of the programs funded by NYSERDA. NYSERDA has supported, and will continue to support, third-party field and/or photo inspections and desk review services necessary to assess contractor performance and identify corrective action needed to ensure projected performance and longevity of clean energy technologies and services. These inspection services are currently provided at no cost to New York participants for several legacy programs including, but not limited to, NY-Sun Residential and Nonresidential Program, NY-Sun Commercial / Industrial Program, Home Performance with ENERGY STAR®, EmPower New York, Air Source Heat Pump Program, Ground Source Heat Pump Program and the Multifamily Performance Program.

NYSERDA seeks to competitively select Quality Service Providers to provide quality services to the technology areas identified in Category 1. NYSERDA intends to establish an additional pool of companies with expertise in the technology areas identified in Category 2 and Category 3, to provide quality services on a Task Work Order basis as new Programs are implemented and as services are needed.

NYSERDA will re-evaluate the Quality Services Providers qualified under this solicitation on a frequent basis and may re-issue this solicitation in whole or in part, as needed.

1. **Category 1: Field Inspection, Photo Inspection and Desk Review Services:** NYSERDA seeks to competitively select qualified service providers to continue inspection services or commence new field and/or photo inspection and desk review services for the following programs:

- NY-Sun Solar Incentive Programs
  - Residential and Nonresidential
  - Commercial / Industrial
- Energy Storage Technologies
  - Retail Storage
  - Bulk Storage

- Onsite Resilient Power
  - Combined Heat and Power
- Energy Affordability and Equity
  - New York State Healthy Homes Value-Based Payment Pilot
- Other: Broad Experience across Renewable Energy, Energy Efficiency and Demand Reduction.

1A. **Data Systems:** Quality Service Providers qualified under Category 1 will use NYSERDA's quality data systems, training will be provided. These data systems are used to manage inspection related activities including, but not limited to, scheduling, field data collection, photo review data collection, corrective action tracking and reporting functions for the following program areas:

- NY-Sun Solar Incentive Programs
  - Residential and Nonresidential
  - Commercial / Industrial
- Energy Storage
- New York State Healthy Homes Value-Based Payment Pilot

Other lower volume Programs will be managed by the Qualified Services Provider using other formats acceptable to NYSERDA.

Proposers qualified to conduct field inspections, photo inspections and desk review services for NY-Sun Programs and Energy Storage Programs must become familiar with Salesforce and will be provided a secure access for designated employees. The Salesforce platform will be used to schedule inspections, record field observations, record photo review observations, notify participating contractors/builders/installers of inspection findings, track corrective action and generate summary reports.

Proposers qualified to conduct field inspections, photo inspections and desk review services for the New York State Healthy Homes Value-Based Payment Pilot must become familiar with the Quality Assurance Contractor Scoring System (QACSS), Uplight and/or Energy Savvy data platforms and will be provided with secure access for designated employees. QACSS will be used to schedule inspections, record field observations, notify participating contractors/builders/installers of inspection findings, track corrective action and generate summary reports. The QACSS platform will be transitioned to the Salesforce platform, which will be used to schedule inspections, record field observations, notify participating contractors of inspection findings, track corrective action and generate summary reports.

NYSERDA reserves the right to modify the data systems which the quality service providers will have to comply to the modification.

**1B. Anticipated Volume of Work and Geographic Coverage for Service Category 1:** There are two (2) geographic regions outlined in **Appendix 1: Regional Map and Inspection Estimates**.

**1C. Field Inspection and Photo Inspection Checklists:** Work conducted under Service Category 1 will require the use of inspection checklists which outline the qualitative and quantitative data to be collected for each Program and technology area outlined in **Appendix 2: Program Descriptions**. The time to complete field, photo and desk reviews varies by technology area and comprehensiveness of work-scope. Potential bidders should carefully consider the total amount of time required to schedule, travel to inspections, complete inspections and produce reports. Proposers should review **Appendix 3: Checklists**, giving attention to each program/technology area of interest.

**1D. Reporting:** NYSERDA has developed report templates and standard scoring criteria to assist in the creation and issuance of reports to participating contractors. The NY-Sun Residential and Nonresidential and Commercial / Industrial Programs, Energy Storage Program, New York State Healthy Homes Value-Based Payment Pilot will use NYSERDA's centralized QA module and reports will be automatically generated based on inspection data recorded. The QSP will be responsible for producing field and photo inspection reports for all other program/technology areas which are not in a current NYSERDA database, see **Appendix 4-1: Sample Inspection Report – Fail Response** and **Appendix 4-2: Sample Inspection Report – Pass Response**. NYSERDA reserves the right to modify the report templates which the quality service providers will have to comply to the modification.

**2. Category 2: Technical Assistance and Standards Development Support Services:** NYSERDA seeks to qualify one or more companies who have expertise in the following technology areas to assist with quality standard development, QA and QC method development, and non-standard inspection service experience. Further information regarding these program/technology areas can be found in **Appendix 2 – Program Descriptions**.

- NY-Sun Solar Incentive Programs
- Energy Storage Technologies
- Onsite Resilient Power Programs
- Other: Broad Experience across Renewable Energy, Energy Efficiency and Demand Reduction

#### **2A. Activities**

Activities funded under this solicitation may include, but not be limited to, successfully implement quality assurance methods, data standards, technical

and installation standards, professional certifications, and company accreditation as needed to build consumer and investor confidence. Specific tasks may include, but not be limited to, research current and upcoming standards and methods applicable to the clean energy sector, recommend quality strategies for specific markets, in-field measurement and verification of applied technical and installation standards, development and deployment of contractor performance ratings, development of quality score cards, Pareto<sup>5</sup> analysis, and overall support for new market-based quality assurance strategies. Several broad areas of NYSERDA interest regarding proposer qualifications are generally defined below:

- **Quality Methods** – Quality practices and methods recognized by the industry and make recommendations to promote efficient markets by increasing confidence in clean energy technologies and services in New York State.
- **Market-Based QA Strategies** - Market-based quality assurance strategies will be developed, deployed and supported through awards under this solicitation in partnership with NYSERDA. Activities may include researching consumer needs, implementing standards and workforce credentialing, standardizing data sets to more readily share performance data, promoting competition among clean energy providers by publicly sharing key quality and performance attributes (energy saved per square foot, realization rate (actual savings/estimated savings), health and safety, responsiveness, customer satisfaction) anticipated to help drive consumer choice and build consumer confidence.
- **Data Standards** – The U.S. Department of Energy (DOE) and other stakeholders have supported the development of consensus industry data standards to enable state governments, customers, utilities, financiers, clean energy companies, entrepreneurs, and other stakeholders to exchange energy and quality data. Below is an example of interest relative to data standards:

*Example: Data for solar energy system performance and electricity production is widely used throughout the industry by developers, utilities, consumers, and financial institutions. The [Orange Button<sup>SM</sup>](#) initiative was launched in 2016 to increase solar market transparency and fair pricing by establishing data standards for the industry. Solar data sets currently provided under OpenNY, aligned with such data standards, could be further offered through accessible, self-sustaining, industry-regulated data marketplaces to improve the ability of apps, software, and other websites to store and use energy data for the solar industry. These data marketplaces will in turn help industry more rapidly share quality data resulting in the competitive benefits of lower cost and better performance.*

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<sup>5</sup>Pareto Analysis – Bar graph where the lengths of the bars represent frequency and are arranged with longest bars on the left and the shortest to the right to visually depict more significant defect occurrences. Excerpted from Nancy R. Tague's [The Quality Toolbox](#), Second Edition, ASQ Quality Press, 2005, pages 376-378.

- **Technical Standards** – Building science and technology-specific technical standards, including, but not limited to, standards developed by the following entities listed in alphabetical order: Air Conditioning Contractors of American (ACCA), Association of Energy Engineers (AEE), American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE), Building Commissioning Association (BCA), Building Performance Institute (BPI), International Ground Source Heat Pump Association (IGSHPA), Passive House, Residential Energy Services Network (RESNET), U.S. Green Building Council (USGBC) Leadership in Energy and Environmental Design (LEED), and others.
  - **Installation Standards** – Technology-specific standards for the design, installation and operation of energy efficiency and renewable energy technologies including, but not limited to: air-source heat pumps, ground source heat pumps, air sealing and insulation, small wind, fuel cells, combined heat and power, anaerobic digesters, home energy monitoring, and real-time energy management systems.
  - **Workforce Certification and Company Accreditation** – Professional credentials related to the proper sizing, installation and operation of energy efficiency and renewable energy technologies and related auditing, commissioning and quality control processes. Professional credentials are available through several organizations including, but not limited to, ACCA, AEE, BCA, BPI, International Ground Source Heat Pump Association (IGSHPA), North American Board of Certified Energy Practitioners (NABCEP), Passive House, RESNET, Underwriter Laboratories (UL), and others.
3. **Category 3: Data Collection and Management System:** NYSERDA seeks to qualify one or more companies who have expertise in the following technology areas to assist with maintaining, further development and operating a web-based system; to acquire, store, analyze, and present Performance Data and results from NYSERDA's distributed generation, combined heat and power, and battery electric storage projects. Further information regarding these program/technology areas can be found in **Appendix 2 – Program Descriptions**.
- Energy Storage
    - Data Collection and Management System Support Service
  - Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

### **III. RANGE OF SERVICES**

NYSERDA seeks qualified proposers for the following three Service Categories requested under this solicitation. Further details regarding requested services are outlined below.

#### **1. Service Category 1: Field Inspection, Photo Inspection and Desk Review**

Proposers with expertise in delivering field inspections, photo inspections and desk reviews, and who possess required professional credentials, knowledge of energy efficiency, renewable energy, building science, applicable New York State code, and industry-recognized quality protocols will be considered for qualification as a “Quality Service Provider” to conduct field and photo inspection and desk review services.

Field inspections are in-person visual inspections of an in-process project or a completed project. Photo inspections are inspections of the photographs used to record the physical conditions of a project. Desk reviews are assessing the project by collecting, organizing and synthesizing the available information of a project.

Inspection services may include non-standard inspections involving post inspection follow-up, administrative or field inspections of flagged projects, and other requested activities at NYSERDA’s discretion. All potential non-standard inspections will be identified by NYSERDA. NYSERDA will approve the preliminary work scope and notify the Quality Service Provider. NYSERDA will then work with the provider to revise the work scope, if necessary, determine the budget, and schedule the specified work. The Quality Services Provider and NYSERDA shall agree to a final work scope and total cost in writing, and no work shall commence without written approval from the NYSERDA Project Manager.

#### **2. Service Category 2: Technical Assistance and Standards Development Support Services**

NYSERDA seeks firms to assist NYSERDA in transitioning toward market-based Quality Assurance and Quality Control strategies, researching and recommending the application of existing standards and quality methods to help accelerate market adoption of energy storage, on-site power, energy efficiency and renewable energy technologies. This transition will focus on understanding the needs of prospective consumers, implementing standards for the design, installation and operation of clean energy technologies, workforce credentialing, company accreditation, and sharing quality and performance data with stakeholders. It is anticipated that market-based strategies will highlight the work of high-performing providers, promote competition, increase consumer confidence, encourage investment in high impact practices and technologies and encourage growth in the clean energy sector.

#### **3. Service Category 3: Data Collection and Management System Support Services**

NYSERDA seeks firms to assist NYSERDA in performing an analysis of the current Distributed Generation (DG) Integrated Data System and identify areas of possible upgrade and improvement with a goal of improving the system’s functionality and usefulness. The firm will also maintain, further develop, improve integration with other NYSERDA databases



and operate a web-based system to acquire, store, analyze, and present Performance Data and results from NYSERDA's battery electric storage projects.

#### **IV. ANTICIPATED AWARDS UNDER THIS SOLICITATION**

##### **A. Overview**

NYSERDA seeks to qualify pools of Quality Service Providers by the technology groupings identified who have expertise in the technology areas identified in **Appendix 2: Program Descriptions** and who have interest in providing quality services under one or more Service Category areas outlined in this RFQL.

Funding will be allocated through individual Task Work Orders (TWO(s)) to qualified proposers as assigned by NYSERDA. NYSERDA reserves the right to determine the service period, funding level, and specific tasks to be included in all TWO(s) issued to qualified proposers.

All proposers qualified through this RFQL will enter into zero-dollar value Umbrella Agreements enabling NYSERDA to retain their services for the program/technology area(s) and Service Category(ies) in which they have been qualified. In all cases, standard inspection rates and hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement and must be reviewed and approved by NYSERDA prior to implementation.

##### **B. Anticipated Awards Service Category 1: Field Inspections, Photo Inspections and Desk Review Services**

- NY-Sun Solar Incentive Programs
  - Residential and Nonresidential
  - Commercial / Industrial
  
- Energy Storage Technologies
  - Retail Storage
  - Bulk Storage
  
- Onsite Resilient Power
  - Combined Heat and Power
  
- Energy Affordability and Equity New York State Healthy Homes Value-Based Payment Pilot
  
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

NYSERDA anticipates qualifying one or more proposers for each program/technology area. These services may be separately awarded for one or more geographical regions, or statewide (see **Appendix 1: Regional Map and Inspection Estimates**). If the top ranked qualified proposer

for a given Region (or statewide) is unable or unwilling to cost-effectively fulfill the requirements of the TWO within the required timeframe, NYSERDA will issue, in whole or in part, at NYSERDA's discretion, a TWO to the next ranked qualified proposer for the Region (or statewide) and designated program/technology area. NYSERDA strongly encourages proposals from firms with employees located within the identified geographic regions that have the requisite technical skill set and field experience. Proposals that do not include regionally located staff must demonstrate the ability to deliver cost-effective and responsive services to the region (or statewide).

NYSERDA will sign zero-dollar umbrella agreements with all qualified proposers for a period of 5 (five) years and may issue a Task Work Order (TWO) needed under any of the support areas using the following sourcing options:

- Selecting the highest ranked firm in the support area NYSERDA is seeking services for.
- Issuing a mini bid to all the firms in the support area using evaluation criteria as established for the specific set of services requested.
- Selecting any contractor in the support area – for projects with a funding amount of \$50,000 or less.

When a TWO is assigned in the case of a mini-bid or assigned to a firm with distinguished specialized capabilities, the project manager and the Scoring Committee will include appropriate, articulate and detailed justification for the TWO assignments.

### **C. Anticipated Awards Service Category 2: Technical Assistance and Standards Development Support Services**

NYSERDA anticipates qualifying a pool of contractors for each program/technology area listed to provide NYSERDA with diverse technical knowledge to assist with quality standard development, QA and QC method development, and technical assistance service experience.

- NY-Sun Solar Incentive Programs
- Energy Storage Technologies
- Onsite Resilient Power
- Energy Affordability and Equity Programs
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

When NYSERDA identifies a Task Work Order (TWO) need under any of the support areas, the process options for sourcing a contractor include:

- Selecting the highest ranked firm in the support area NYSERDA is seeking services for.
- Issuing a mini bid to all the firms in the support area using evaluation criteria as established for the specific set of services requested.
- Selecting any contractor in the support area – for projects with a funding amount of \$50,000 or less.

When a TWO is assigned in the case of a mini-bid or assigned to a firm with distinguished specialized capabilities, the project manager and the Scoring Committee will include appropriate, articulate and detailed justification for the TWO assignments.

#### **D. Anticipated Awards Service Category 3: Data Collection and Management System Support Services**

NYSERDA anticipates qualifying a pool of contractors for each program/technology area listed to provide NYSERDA with diverse technical knowledge to assist with maintaining, further development and operating a web-based system; to acquire, store, analyze, and present Performance Data and results from NYSERDA's distributed generation, combined heat and power, and battery electric storage projects

- Energy Storage
- Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

When NYSERDA identifies a Task Work Order (TWO) need under any of the support areas, the process options for sourcing a contractor include:

- Selecting the highest ranked firm in the support area NYSERDA is seeking services for.
- Issuing a mini bid to all the firms in the support area using evaluation criteria as established for the specific set of services requested.
- Selecting any contractor in the support area – for projects with a funding amount of \$50,000 or less.

When a TWO is assigned in the case of a mini-bid or assigned to a firm with distinguished specialized capabilities, the project manager and the Scoring Committee will include appropriate, articulate and detailed justification for the TWO assignments.

#### **E. Award Considerations and Restrictions**

NYSERDA intends to re-evaluate its qualified consultant pool on an annual or more frequent basis and may reissue this RFQL in whole or in part to expand support as needed.

The specific services and service period awarded to a qualified proposer will depend on NYSERDA needs and the proposer's expertise, rates, staff availability, responsiveness, and overall performance during the service period. Depending on the scope of work and period of planned performance, NYSERDA may issue a TWO directly to a specific qualified proposer or use a mini-bid process to select one from the qualified pool. Deliverables and schedule for each TWO will be established at the time of issuance.

NYSERDA reserves the right to extend and/or add funding should other program funding sources become available.

**PLEASE NOTE:**

Proposers qualified under RFQL4272 may serve in other capacities under contract with NYSERDA for related program/technology areas, provided there is no perceived or demonstrated conflict of interest as determined by NYSERDA.

**V. SPECIFIC SERVICES REQUESTED**

**A. Service Category 1: Field Inspection, Photo Inspection and Desk Review Services**

**Successful Proposals.** It is anticipated that awards under this Service Category will result in measurable reductions in energy use and carbon emissions in relevant Programs. A successful proposal will include qualifications and experience that will:

- Promote quality resulting in measurable reductions in energy use and carbon emissions;
- Drive down the amount of Program expenditures needed to achieve a unit of energy savings or carbon reduction;
- Increase consumer confidence in clean energy projects and equipment purchases.

Preference will be given to proposals that include qualifications and experience aligned with one or more of the three bullets above. Specific areas subject to proposer qualifications by program/technology area are defined below.

The projected number of inspections required by region are presented in **Appendix 1: Regional Map and Inspection Estimates.**

Proposers must submit bids using **Attachment B-1: Bid and Rate Sheet.** Proposals that do not have a bid price specified for each Inspection Type will not be considered.

**1. NY-Sun Solar Incentive Programs**

**a. NY-Sun Residential and Nonresidential Incentive Program**

It is anticipated that field inspections, photo inspections and desk reviews for the NY-Sun Residential and Nonresidential Incentive Program will begin transitioning to the newly qualified proposer under this RFQL beginning summer 2020, with full responsibility beginning July 1<sup>st</sup>, 2020.

**b. NY-Sun Commercial / Industrial Incentive Program**

It is anticipated that field inspections, photo inspections and desk reviews for the NY-Sun Commercial / Industrial Incentive Program will begin transitioning to the newly qualified proposer under this RFQL beginning summer 2020, with full responsibility beginning July 1<sup>st</sup>, 2020.

## 2. Energy Storage Technology

### a. Retail Storage

Proposers qualified under this solicitation will serve this market sector by providing field inspections, photo inspections and desk reviews of in-progress and completed projects.

### b. Bulk Storage

Proposers qualified under this solicitation will serve this market sector by providing field inspections, photo inspections and desk reviews of in-progress and completed projects.

## 3. Onsite Resilient Power

### a. Combined Heat and Power

Proposers qualified under this solicitation will serve this market sector by providing field inspections, re-commissioning inspections and desk reviews of completed projects.

## 4. Energy Affordability and Equity

### a. New York State Healthy Homes Value-Based Pilot

Proposers qualified under this solicitation will serve this market sector by providing field inspections, photo inspections and desk reviews of completed projects.

## **B. Service Category 2: Technical Assistance and Standards Development Support Services**

**Successful Proposals.** It is anticipated that awards under this Service Category will result in quality initiatives that quantitatively drive consumer and investor confidence in clean energy technologies. A successful proposal will include qualifications and experience that will:

- Demonstrate the knowledge and skills necessary to leverage quality interventions to advance the goals of the State Energy Plan / Clean Energy Fund / REV and the Climate Leadership and Community Protection Act improving resilience and reducing greenhouse gas emissions;
- Demonstrate how the market-based quality strategy can be replicated in New York State to achieve goals of the Clean Energy Fund, REV and Climate Leadership and Community Protection Act;
- Have the resources (human and financial) to involve industry, regional and national stakeholders, and consumers to achieve quality goals;
- Promote quality protocols resulting in measurable reductions in energy use and carbon emissions. Support the growth of renewable energy technologies.

Preference will be given to proposals that include qualifications and experience aligned with one or more of the four bullets above. Specific areas of interest subject to proposer qualifications by program/technology area are defined below and as outlined in **Appendix 2: Program Descriptions**.

1. NY-Sun Solar Incentive Programs
2. Energy Storage Technologies
3. Onsite Resilient Power
4. Energy Affordability and Equity Programs
5. Other: Broad experience across Renewable Energy, Energy Efficiency and Demand Reduction

### **C. Service Category 3: Data Collection and Management System**

**Successful Proposals.** It is anticipated that awards under this Service Category will result in quality initiatives that quantitatively drive consumer and investor confidence in clean energy technologies. A successful proposal will include qualifications and experience that will:

- Provide an automated means for receipt, processing and storage of 15-minute interval data from data collection systems at DG Sites, through Data Collectors.
- Allow NYSERDA to enter DG Site specific project characterization data and information using an easy to use, ADA compliant, secure password protected, web-based interface over the internet.
- Demonstrate how the website shall be constructed so that it is accessible to users with disabilities and/or impairments and conforms to the guidelines outlined in NYS policy “NYS-PO8-OO5 Accessibility of Web-Based Information and Applications Compliance Reporting”, found at: <https://www.its.ny.gov/document/accessibility-web-based-information-and-applications-compliance-reporting>.
- Demonstrate how automated data validity checking and flagging of questionable data will be provided.
- Demonstrate how the website server, databases, and applications shall be constructed so that it is secured against unauthorized threats and complies with guidelines outlined in NYS policy “NYS-S15-OO2 Enterprise Vulnerability Scanning”, found at: <https://www.its.ny.gov/document/vulnerability-scanning-standard>. The website will be scanned for vulnerabilities by the NYSERDA Information Security Officer (ISO) prior to publishing. The website will not be published until the vulnerability scan has been approved by the NYSERDA ISO. The Contractor will be responsible for applying security patches as they become available. The Contractor will notify the NYSERDA Project Manager in the event new software features/functionality have been added to the website so that it may be scanned for vulnerabilities. The Contractor will be responsible for remediating any vulnerabilities. Provide automatically generated DG system

performance reports as web pages; The Contractor will include the use of a web analytics package, such as Google Analytics, or an equivalent web analytics package. Monthly high-level web traffic reports will be provided to the NYSERDA Project Manager, which will at a minimum, include: User-sessions, Most visited pages, Least visited pages, Top entrance pages, Top Exit pages, Top Traffic Sources, Top Search Terms leading visitors to the website.

- The website is required to meet New York State and/or NYSERDA branding guidelines, including the addition of the NYS Global Navigation, NYS Universal Navigation, NYS Global Footer, and NYS Universal Footer. Resources for these common elements can be found on the GitHub website at: <https://github.com/ny>. Access to some features will require elevated permission, which can be requested by the Contractor to the NYSERDA Project Manager who will work in conjunction with NYSERDA Web Operations and New York State Information Technology Services (ITS) to establish credentials.
- The contractor will create the website using current best practices in both semantic HTML creation and search engine optimization, utilizing a “responsive” design that allows the website to gracefully scale to high-definition smart television, desktop computers, tablets, and smart phones. The website will be compatible with the current and two-previous versions of mainstream web browsers including, but not limited to: Microsoft Internet Explorer, Microsoft Edge, Google Chrome, Apple Safari, and Mozilla Firefox.
- Since data collected, analyzed and presented by the DG Integrated Data System may be used as the basis of production payments for many of the DG projects, the Contractor shall implement a data quality assurance/quality control (QA/QC) protocol. This protocol shall include automated and manual inspection of received data and data posted to the database and website for completeness and reasonableness; procedures for contacting appropriate persons and/or entities to inform them of identified problem(s); and follow-up procedures to verify timely resolution.
- The Contractor shall develop and implement an automated backup system which shall, at a minimum, provide for daily incremental backups of Database Files, weekly full backups of Database Files, monthly full backups of all DG Integrated Data System files, and the automated storage of all backup files in at least two (2) different physical locations.
- The Contractor shall provide access to a copy of the most recent full backup of the DG Integrated Data System Files to NYSERDA’s project manager.
- The Contractor shall make improvements to the Hardware and Software Environments as required to accommodate growth in data storage needs and DG Integrated Data System user loads.

- The web and database server(s) shall be hosted, for the period of this Agreement, at secure location(s) with redundant power supplies and redundant Internet access. The database server shall utilize a fault tolerant disk configuration (RAID or other functional equivalent) to ensure data integrity. It will be the Contractor's responsibility to acquire secure and reliable website hosting, which will be available to users at a minimum of 99.9% of the time during the contract period, exclusive of a scheduled maintenance window (during an agreed-upon window of low-volume traffic, typically between 2am and 5am).
- Have the resources (human and financial) to achieve quality goals.

Preference will be given to proposals that include qualifications and experience aligned with the bullets above. Specific areas of interest subject to proposer qualifications by program/technology area are defined below and as outlined in **Appendix 2: Program Descriptions**.

Proposers qualified under this solicitation will serve this market sector by performing an analysis of the current Distributed Generation, DG, Integrated Data System and identify areas of possible upgrade and improvement with a goal of improving the system's functionality and usefulness. The firm will also maintain, further develop and operate a web-based system to acquire, store, analyze, and present Performance Data and results from NYSERDA's battery electric storage projects.

## **VI. QUALIFICATIONS**

### **A. General Eligibility Requirements**

All proposers, regardless of the Service Category being proposed, must possess the following minimum, basic qualifications:

- Understanding of goals and objectives of the Clean Energy Fund and NYSERDA's mission
- Exceptional communication skills and ability to manage conflict
- Demonstrated expertise in appropriate energy efficiency and renewable energy technologies
- Computer software proficiency in MS Excel, MS Access, MS PowerPoint, MS Word, etc.

### **B. Eligibility Requirements by Program/Technology Area**

The required professional credentials by program/technology area are listed below. Proposers may highlight staff with preferred additional professional qualifications to enhance the proposal.

#### **Service Category 1: Field Inspection, Photo Inspection and Desk Review.**

In addition to the minimum general eligibility requirements listed above, proposers responding to Service Category 1 must possess the specified required professional credentials outlined below



by program/ technology area and identify such credentials held by proposed staff in **Attachment B: Qualifications Matrix.**

*Proposals that do not include staff that collectively meet the general eligibility requirements and required professional credentials for the proposed program/technology area as outlined below will not be reviewed by the scoring committee.*

**All Inspectors must meet the required professional credentials listed below.**

### **NY-Sun Solar Incentive Program**

#### **Residential and Nonresidential and Large Commercial / Industrial**

##### *Required Professional Credentials*

- NABCEP Certified PV Installer,\* OR IBEW Journeyman,\* OR UL PV Installer Certification
- Three (3) or more years of combined experience installing, designing or inspecting solar PV systems

##### *Preferred Additional Professional Qualifications*

- Professional Engineer (PE)
- Licensed Electrician in region proposed

### **Energy Storage Technologies**

##### *Required Professional Credentials*

- Three (3) or more years of combined experience installing, designing or inspecting energy storage systems

##### *Preferred additional Professional Qualifications*

- Professional Engineer (PE)
- Licensed Electrician in region proposed

### **Onsite Resilient Power**

##### *Required Professional Credentials*

- Inspection Team Lead: Three (3) or more years of combined experience installing, designing, or inspecting and assessing performance of CHP systems.
- On-Site Inspector: Familiarity with complex energy systems and comprehensive design documentation.

##### *Preferred additional Professional Qualifications*

- Professional Engineer (PE)
- Certified Commissioning Process Management Professional (CPMP)
- Certified Energy Manager (CEM)
- Certified M&V Professional (CMVP)

## **Energy Affordability and Equity**

### *Required Professional Credentials*

- BPI Healthy Home Evaluator
- BPI Building Analyst, OR BPI Energy Auditor
- BPI Envelope Professional
- BPI Heating
- BPI Manufactured Housing

### *Preferred additional Professional Qualifications*

- BPI Quality Control Inspector
- BPI Rater
- RESNET Home Energy Rater
- BPI Air Conditioning and Heat Pump

## **Service Category 2: Technical Assistance and Standards Development Support Services**

In addition to the minimum general eligibility requirements listed above, proposers responding to Service Category 2 are encouraged to identify professional credentials for proposed staff in **Attachment B: Qualifications Matrix and** are required only to describe relevant staff experience in the Personnel Qualifications section of the Proposal.

## **Service Category 3: Data Collection and Management System**

Proposers responding to Service Category 3 must possess the following minimum, basic qualifications:

- For any data collected on behalf of NYSERDA, ability to provide clean, coded data in a manner satisfactory to NYSERDA and in a manner consistent with the Open NY Handbook and Open NY Submission Guidelines.
- Ability to apply expert technical report writing and editing skills to all project deliverables.
- Demonstrated expertise in appropriate statistical sampling, analyses and interpretation of various statistical tests associated with survey or other data.
- Ability to quickly develop tactical and cost-effective approaches to evaluation and market research.
- Ability to quickly implement evaluation and market research to assist in planning future activities, as specified by NYSERDA.
- Ability to work with data provided by others (e.g., survey contractor, industry data sources – open and commercially available).

- Statistical software and data visualization expertise with SAS and Tableau are strongly preferred and are currently in use by NYSERDA; other tools for analysis may be considered on an as needed basis where appropriate.
- Web-enabled primary data collection experience with Qualtrics is strongly preferred and is currently in use by NYSERDA.
- Solid understanding and ability to engage in advisement or development of evaluation approaches to meet NYSERDA's evolving needs, as evidenced by current and cited protocols and standards.
- Computer software proficiency in the suite of Microsoft products (Excel, Access, PowerPoint, Word, Teams) and SharePoint is required

In addition to the minimum general eligibility requirements listed above, proposers responding to Service Category 3 are encouraged to identify professional credentials for proposed staff in **Attachment B: Qualifications Matrix** and are required only to describe relevant staff experience in the Personnel Qualifications section of the Proposal.

## **VII. CONTRACTUAL ARRANGEMENT AND RESPONSIBILITY**

### **A. Umbrella Agreement**

All proposers qualified through this RFQL will enter into zero-dollar value Umbrella Agreements enabling NYSERDA to retain their services for the program/technology area(s) and Service Area(s) in which they have been qualified. This Umbrella Agreement will not guarantee any specific amount of work. The amount of work and funding subsequently assigned to each Quality Assurance Service Provider via separate TWO(s) will depend on expertise, the amount of work required, past performance, current workload and deadline requirements.

The term of retention for each qualified Quality Assurance Service Provider is up to five years at NYSERDA's discretion. NYSERDA reserves the right to extend and/or add funding should additional program funding become available. It is also anticipated that NYSERDA will re-evaluate each qualified consultant and the qualified consultant pools and add new firms to the pool at any time, as needed, due to shifts in NYSERDA's emphasis, consultant performance, expertise and other similar indicators. NYSERDA will re-evaluate and potentially reissue this RFQL to expand its qualified consultant pool on an annual or more frequent basis at NYSERDA's discretion.

Quality Assurance Service Providers who, at any time, cease to provide value to NYSERDA due to poor performance, lack of timeliness, inferior deliverable quality, lack of engagement with NYSERDA and its partners, or in any way fail to meet the objectives of NYSERDA's Standards and Quality Assurance team may be issued a written warning. Should there be no improvement following this written warning, the consultant will be removed from the qualified list.

### **B. Task Work Orders**

#### **Service Category 1: Field Inspections, Photo Inspections and Desk Reviews**

Proposers qualified through this RFQL to conduct field inspections, photo inspections and desk reviews may be assigned work by program/technology area and Region through separate written TWO(s) as outlined in **Attachment C-1: Scope of Work for Field and Photo Inspection Services**, and **Attachment C-2: Scope of Work for Combined Heat and Power Services** which will become part of the binding Umbrella agreement between NYSERDA and the Quality Assurance Service Provider.

These TWO(s) may be revised to include a more recent estimated number of projects subject to inspection, regional considerations, and other pertinent information needed to manage inspection activities.

In all cases, standard inspection rates and hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement and must be reviewed and approved by NYSERDA before implementation.

***\*Note: NYSERDA will not reimburse the purchase or rental of tools and equipment or training and certification of staff.***

## **Service Category 2: Technical Assistance and Standards Development Support Services**

Proposers qualified through this RFQL to support quality methods, standards and technical assistance will be assigned work only for the program/technology area for which they are qualified. Projects will be assigned through separate written TWO(s), which will become binding agreements between NYSERDA, and the consultant qualified to perform the work. TWO(s) will either be assigned to the top ranked proposer or may be competitively bid through mini-bid request within the qualified pools of consultants in the relevant program/technology area.

TWO requests issued by NYSERDA may be fully developed by NYSERDA or may require the qualified consultant(s) to develop a proposed work scope and other key components of the TWO. Fully developed TWO requests issued by NYSERDA shall include a detailed work scope, description of the deliverables required, schedule and budget. Typically, these TWOs will be implemented according to the TWO requests as defined by NYSERDA.

In other cases, TWO requests shall include a description of NYSERDA's needs, but will require a response from the qualified consultant(s) on the specific methods, deliverables, schedule and budget to implement the work. Consultant responses to these types of TWO requests may include, but not be limited to:

- Goals and objectives of the project
- Approach that will be taken outlined by tasks
- Identification of measures and ability to track project success
- Any relevant background information
- Defined deliverables
- Communication plan to facilitate information sharing with NYSERDA (e.g., weekly meetings, status reports, etc.)
- Project schedule
- Names and titles of individuals to work on the project
- Total not-to-exceed cost of the project, including a breakout by task and by title, hourly rate, hours, and non-labor costs

***\*Note: NYSERDA will not reimburse the purchase or rental of tools and equipment or training and certification of staff.***

At NYSERDA's discretion, mini-bid requests may be issued to all qualified providers in a specified program/technology area. These requests will likely include the outline of the scope and deliverables, regional considerations, and other pertinent information needed to develop a sound proposal. Each mini-bid request will require a detailed response from the qualified providers. Mini bids will be reviewed by NYSERDA and a provider will be selected to implement the TWO.

If, following proposal review, but before implementing the TWO, the selected provider is unable to implement the work due to workload, expertise or other similar factor, NYSERDA may select the next-ranked provider to implement the work.

The details of these TWO responses will be consistent with the level of complexity of the proposed project or activity and determined in consultation with NYSERDA but are anticipated to be one - five pages in length. In limited circumstances, during the development of a work scope, NYSERDA may consider partnering and teaming arrangements between qualified consultants and other expert entities as necessary. NYSERDA will not reimburse providers for the cost of preparing TWOs.

In all cases, hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement. NYSERDA must review and approve all TWO(s) before implementation.

### **Service Category 3: Data Collection and Management System**

Proposers qualified through this RFQL will support maintaining, further development and operating a web-based system; to acquire, store, analyze, and present Performance Data and results from NYSERDA's distributed generation, combined heat and power, and battery electric storage projects program/technology area and Region through separate written TWO(s). Proposers will be assigned work only for the program/technology area for which they are qualified. Projects will be assigned through separate written TWO(s), which will become binding agreements between NYSERDA, and the consultant qualified to perform the work. TWO(s) will either be assigned to the top ranked proposer or may be competitively bid through mini-bid request within the qualified pools of consultants in the relevant program/technology area.

TWO requests issued by NYSERDA may be fully developed by NYSERDA or may require the qualified consultant(s) to develop a proposed work scope and other key components of the TWO. Fully developed TWO requests issued by NYSERDA shall include a detailed work scope, description of the deliverables required, schedule and budget. Typically, these TWOs will be implemented according to the TWO requests as defined by NYSERDA.

In other cases, TWO requests shall include a description of NYSERDA's needs, but will require a response from the qualified consultant(s) on the specific methods, deliverables, schedule and budget to implement the work. Consultant responses to these types of TWO requests may include, but not be limited to:

- Goals and objectives of the project
- Approach that will be taken outlined by tasks
- Identification of measures and ability to track project success
- Any relevant background information
- Defined deliverables
- Communication plan to facilitate information sharing with NYSERDA (e.g., weekly meetings, status reports, etc.)
- Project schedule
- Names and titles of individuals to work on the project
- Total not-to-exceed cost of the project, including a breakout by task and by title, hourly rate, hours, and non-labor costs

***\*Note: NYSERDA will not reimburse the purchase or rental of tools and equipment or training and certification of staff***

At NYSERDA's discretion, mini-bid requests may be issued to all qualified providers in a specified program/technology area. These requests will likely include the outline of the scope and deliverables, regional considerations, and other pertinent information needed to develop a sound proposal. Each mini-bid request will require a detailed response from the qualified providers. Mini bids will be reviewed by NYSERDA and a provider will be selected to implement the TWO.

If, following proposal review, but before implementing the TWO, the selected provider is unable to implement the work due to workload, expertise or other similar factor, NYSERDA may select the second-ranked provider to implement the work.

The details of these TWO responses will be consistent with the level of complexity of the proposed project or activity and determined in consultation with NYSERDA but are anticipated to be one - five pages in length. In limited circumstances, during the development of a work scope, NYSERDA may consider partnering and teaming arrangements between qualified consultants and other expert entities as necessary. NYSERDA will not reimburse providers for the cost of preparing TWOs.

In all cases, hourly rates to implement any TWO shall be consistent with those in the general Umbrella Agreement. NYSERDA must review and approve all TWO(s) before implementation.

### **C. Contractor Responsibility**

Upon selection through this RFQL and upon agreement and approval of any TWO(s), the qualified proposer shall be responsible for the following:

- Demonstrating value-added, timely completion of TWOs that align with the requirements and qualifications described in **Section III: Range of Services** and **Section V: Specific Services Requested**.
- Keeping NYSERDA informed regularly on the progress of assigned work, including meeting with NYSERDA staff on a periodic basis, as needed.

- Submitting deliverables to NYSERDA for review and approval in accordance with the timeline outlined in the TWO.
- Providing required documentation of expenditures by task when seeking reimbursement.
- Ensuring the effort is based on the following principles:
  - Objectivity, fairness, and balance in terms of the types of data collected; only those data deemed necessary for quality assessment shall be collected and reported
  - Sound methodology, credible data and analysis, adherence to professional standards

#### **D. NYSERDA’s Responsibility**

Designated NYSERDA project managers will be responsible for overseeing and managing TWOs undertaken by qualified proposers, including but not limited to reviewing, commenting and approving tasks and subsequent deliverables; coordinating with program staff and interested external stakeholders; promoting coordination among service providers qualified for each Service Area and across all program/Technology areas, as appropriate; assisting in the presentation and dissemination of findings; and reviewing and approving invoices promptly.

### **VIII. Proposal Requirements**

All Proposals should be responsive to the range of services presented in **Section III: Range of Services** and **Section V: Specific Services Requested** as relevant to the program/technology area proposed.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

#### **1) Cover Letter (1 page)**

Proposers shall submit a cover letter on company letterhead that:

- References RFQL 4272
- Specifies each specific Service Category(ies) and technology area(s) proposed
- Summarizes the proposer’s ability to perform such services
- Is signed by a person with authority to enter into a contract with NYSERDA

#### **2) Table of Contents (1 page)**

Proposers shall present a table of contents that outlines the section and page number for each Service Category and technology area proposed. Proposals will be evaluated and scored separately for each Service Category and technology area; therefore, they must be organized with a separate section for each Service Category and technology area.

A. Proposals that are not submitted electronically must include the following:

- Attachment A - Proposal Checklist

**B. Service Category 1 Proposals: Field and/or Photo Inspections and Desk Review** shall be organized with a separate section for each technology area (i.e. Proposers may respond to one or more technology areas). Each section must include the items listed below, regardless of whether they have been presented in another section:

- Attachment B: Qualifications Matrix
- Attachment B-1: Bid and Rate Sheet
- Attachment C-1: Scope of Work for Field and Photo Inspection Services
- Attachment C-2: Scope of Work for Combined Heat and Power Inspection Services
- Overall Experience and Capabilities
- Personnel Qualifications
- Cost Proposal

**C. Service Category 2 Proposals: Technical Assistance and Standards Development Support Services** shall be organized by the technology area outlined in Section II – Category 2 of the solicitation (i.e. proposers may respond to one or more technology areas). Each section must include the items listed below, regardless of whether they have been presented in another section:

- Attachment B – Qualifications Matrix
- Attachment B-2: Project Personnel and Rates Form
- Overall Experience and Capabilities
- Personnel Qualifications
- Cost Proposal

**D. Service Category 3 Proposals: Data Collection and Management System Support Services** shall be organized by the technology area outlined in Section II – Category 2 of the solicitation (i.e. proposers may respond to one or more technology areas). Each section must include the items listed below, regardless of whether they have been presented in another section:

- Attachment B – Qualifications Matrix
- Attachment B-2: Project Personnel and Rates Form
- Overall Experience and Capabilities
- Personnel Qualifications
- Cost Proposal

### **3) Overall Experience and Capabilities (2-4 pages)**

For each proposed technology area, proposers must describe their expertise and ability to deliver services. This should include the aggregate number of years working in this area and a summary of at least one, and no more than three, similar award(s). These summaries must also include the amount of the award, description of the deliverables, project references and should be no more than one page in length. Firms with NYSERDA experience must identify a NYSERDA staff reference for those projects.



**4) Personnel Qualifications (1-3 pages; résumés may be placed in an appendix and are not included in this page limit)**

For each proposed technology area, proposers must indicate the relevant qualifications for proposed personnel listed in **Attachment B: Qualifications Matrix**. Proposers must also identify the project manager within their firm who will serve as the single point of contact as well as all personnel to be involved with providing services under this RFQL and their roles. Proposers must describe the accomplishments, experiences, and expertise of all individuals comprising the proposal. Proposers must include one-page résumés that highlight recent experience of all individuals who will be directly involved in providing services. These may be compiled in an appendix to the proposal.

**5) Cost Proposal (1 page)** Proposers must provide a cost proposal per the requirements for Service Categories 1, 2 and 3.

- **Service Category 1: Field and/or Photo Inspections and Desk Review** – Proposers must complete **Attachment B-1: Bid and Rate Sheet** for each proposed technology area. The worksheet requires submission of a total cost per Inspection Type. To aid in determining total cost per inspection, NYSERDA has provided a list of qualitative and quantitative data collected during a standard field inspection for various technology areas in **Appendix 3: Checklists**.

The cost proposal section for Service Category 1 should include all assumptions and calculations (detailed cost breakdown) for all bids entered by Inspection Type. The total bid price shall include all administrative, travel and other expenses incurred in carrying out the standard inspection requirements of this solicitation. It is expected that all inspection costs including scheduling, project information gathering, project documentation analysis, travel, field data collection, inspection reporting, management oversight and approvals and routine contract status meetings with NYSERDA are included in the proposed total cost per inspection. Proposers must agree to the tasks defined in **Attachment C-1: Scope of Work for Field and Photo Inspection Services** and **Attachment C-2: Scope of Work for Combined Heat and Power Inspection Services**, as these requirements will serve as the Statement of Work under the TWO for awards granted under the field and/or photo inspection and desk review services. Any exception must be stated clearly in the Proposal. Electronic submission of redlined version of Attachment C-1 or Attachment C-2 is acceptable.

**Note:** Any escalation rates must be identified for up to a five-year contract term.

- **Service Category 2: Technical Assistance and Standards Development Support Services** - Proposers must complete **Attachment B-2: Project Personnel and Rates Form** for each proposed technology area. Proposers must submit the name, title, and fully burdened hourly salary range for everyone in the proposal who will perform the work as outlined in the respective section of this solicitation (**Section III: Range of Services** and **Section V: Specific Services Requested**).
- **Service Category 3: Data Collection and Management System Support Services** Proposers must complete **Attachment B-2: Project Personnel and Rates Form** for each proposed technology area. Proposers must submit the name, title, and fully burdened hourly salary range for everyone in the proposal who will perform the work as outlined in the

respective section of this solicitation (**Section III: Range of Services** and **Section V: Specific Services Requested**).

NYSERDA is not requiring proposers to estimate travel or other direct costs as part of proposals for Service Categories 2 and 3 but will allow for reasonable cost reimbursement for these direct costs as defined in the TWOs on an as needed basis. However, NYSERDA will not reimburse the purchase or rental of measurement tools and equipment or training and certification of staff.

**Note:** Any escalation rates must be identified for up to a five-year contract term.

## **6) Submittal**

To be eligible for selection under this RFQL, proposers must submit a complete bid package and agree to the terms and requirements of this RFQL. Proposers will not be reimbursed by NYSERDA for costs associated with the preparation of their proposals. All Proposals submitted under this solicitation become the property of NYSERDA.

Proposers may submit electronically per the requirements outlined on page 2 of this RFQL and described in **Attachment D: Instructions for Electronic Proposal Submission**, or must submit two paper copies of their proposal with a completed and signed Proposal Checklist (**Attachment A**), along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal to the attention of Elsyda Forbes at the address on page 3 of this RFQL.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), the following forms must be completed and filed with paper submission proposals: (1) a signed copy of the Proposal Checklist (**Attachment A**) including required certifications under the State Finance Law which should be attached as the front cover of your proposal and one must contain an original signature. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

### **III. Proposal Evaluation**

#### **A. Evaluation Process**

Proposals that meet the requirements described in Section VIII: Proposal Requirements of this RFQL, and where proposed staff meet the general eligibility requirements described in Section VI: Qualifications, Section A will be reviewed by a scoring committee consisting of NYSERDA staff and selected outside reviewer(s).

#### **B. Proposal Evaluation for Service Category 1: Field and/or Photo Inspection and Desk Review**

Proposals for this Service Category must include staff that collectively hold the required professional credentials for the proposed technology area as outlined in Section VI: Qualifications, Section B. Proposals that do not meet these requirements will be deemed non-responsive and will not be considered.

The scoring committee will evaluate all qualified Proposals for Service Category 1 separate from those proposed under Service Category 2 and Service Category 3. Each proposal section (by technology area) will be scored and ranked independent from other technology areas.

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Total Points	Evaluation Component
25 Points	<p><b>A: Responsiveness to the Solicitation</b></p> <ul style="list-style-type: none"> <li>• The proposer clearly demonstrated an understanding of the major objectives of the RFQL.</li> <li>• Proposer thoroughly read the RFQL and executed all Proposal Requirements fully</li> <li>• Proposal itself was well written and comprehensive</li> <li>• Proposal included a detailed cost break-down for inspection bid</li> <li>• Indicates agreement with Attachment C: Scope of Work for Field Inspection Services, or clearly indicates any exceptions.</li> </ul>
25 Points	<p><b>B: Ability to Serve Region(s) Proposed</b></p> <ul style="list-style-type: none"> <li>• Staff are regionally located to support the region(s) proposed, or a plan has been provided to ensure qualified staff by commencement of an award</li> <li>• Excellent individual and combined experience, qualifications, and expertise</li> <li>• A well-developed staffing plan including a clear description of the roles and responsibilities of each staff member</li> <li>• Skills and experience of the primary contact well-aligned with RFQL.</li> </ul>
50 Points	<p><b>C: Relevant Experience and Qualifications</b></p> <ul style="list-style-type: none"> <li>• Examples demonstrate experience conducting project inspections in Technology area proposed</li> <li>• Examples demonstrate operational excellence and industry expertise</li> <li>• Examples are consistent with the proposed execution strategy</li> <li>• Project personnel has the experience, expertise, skill and credentials (as applicable) to deliver required services</li> <li>• The project personnel involved in the example(s) are included in the proposed staffing plan</li> <li>• Resounding testimonials</li> </ul>

**C. Proposal Evaluation for Service Category 2: Technical Assistance and Standards Development Support Services**

The scoring committee will evaluate all Proposals for Service Category 2 separate from those proposed under Service Category 1 and Service Category 3. Each proposal Section (by technology area) will be scored and ranked independent from other technology areas.

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring

Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Total Points	Evaluation Component
25 Points	<b>A: Responsiveness to the Solicitation</b> <ul style="list-style-type: none"> <li>• The proposer clearly demonstrated an understanding of the major objectives of the RFQL;</li> <li>• The proposer demonstrated an understanding of the potential impact and benefit of implementing appropriate standards and market-based quality solutions to achieve goals;</li> <li>• Proposer thoroughly read the RFQL and executed all Proposal Requirements fully;</li> <li>• Proposal itself was well written and comprehensive.</li> </ul>
25 Points	<b>B: Ability to Serve Region(s) Proposed</b> <ul style="list-style-type: none"> <li>• Staff plan and organizational chart is clear, well defined, and demonstrates an ability to be responsive to the needs of the solicitation;</li> <li>• Proposed staff are located to support NYS, or there is a clear plan to ensure qualified staff by commencement of an award;</li> <li>• Excellent individual and combined experience, qualifications, and expertise;</li> <li>• Skills and experience of the primary contact well-aligned with RFQL.</li> </ul>
25 Points	<b>C: Relevant Experience and Qualifications</b> <ul style="list-style-type: none"> <li>• Examples demonstrate experience working in Technology area proposed;</li> <li>• Examples demonstrate operational excellence and industry expertise;</li> <li>• Project personnel has the experience, expertise, skill and credentials (as applicable) to deliver required services;</li> <li>• The project personnel involved in the example(s) are included in the proposed staffing plan;</li> <li>• Resounding testimonials.</li> </ul>
25 Points	<b>D: Cost</b> <ul style="list-style-type: none"> <li>• Proposed compensation demonstrated excellent cost-effectiveness while providing high quality services;</li> <li>• Relative competitiveness of fully-burdened rates and proposed escalation rates (if any);</li> <li>• Relative value of the proposed experience and benefit to the programs was excellent.</li> </ul>

**D. Proposal Evaluation for Service Category 3: Data Collection and Management System Support Services**

The scoring committee will evaluate all Proposals for Service Category 3 separate from those proposed under Service Category 1 and Service Category 2. Each proposal Section (by technology area) will be scored and ranked independent from other technology areas.

Proposals that meet solicitation requirements will be reviewed by a Scoring Committee using the Evaluation Criteria below **listed in order of importance**. At NYSERDA’s discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview.

Total Points	Evaluation Component
25 Points	<p><b>A: Responsiveness to the Solicitation</b></p> <ul style="list-style-type: none"> <li>• The proposer clearly demonstrated an understanding of the major objectives of the RFQL;</li> <li>• The proposer demonstrated an understanding of the potential impact and benefit of implementing appropriate standards and market-based quality solutions to achieve goals;</li> <li>• Proposer thoroughly read the RFQL and executed all Proposal Requirements fully;</li> <li>• Proposal itself was well written and comprehensive.</li> </ul>
25 Points	<p><b>B: Ability to Serve Region(s) Proposed</b></p> <ul style="list-style-type: none"> <li>• Staff plan and organizational chart is clear, well defined, and demonstrates an ability to be responsive to the needs of the solicitation;</li> <li>• Proposed staff are located to support NYS, or there is a clear plan to ensure qualified staff by commencement of an award;</li> <li>• Excellent individual and combined experience, qualifications, and expertise;</li> <li>• Skills and experience of the primary contact well-aligned with RFQL.</li> </ul>
25 Points	<p><b>C: Relevant Experience and Qualifications</b></p> <ul style="list-style-type: none"> <li>• Examples demonstrate experience working in Technology area proposed;</li> <li>• Examples demonstrate operational excellence and industry expertise;</li> <li>• Project personnel has the experience, expertise, skill and credentials (as applicable) to deliver required services;</li> <li>• The project personnel involved in the example(s) are included in the proposed staffing plan;</li> <li>• Resounding testimonials.</li> </ul>
25 Points	<p><b>D: Cost</b></p> <ul style="list-style-type: none"> <li>• Proposed compensation demonstrated excellent cost-effectiveness while providing high quality services;</li> <li>• Relative competitiveness of fully-burdened rates and proposed escalation rates (if any);</li> <li>• Relative value of the proposed experience and benefit to the programs was excellent.</li> </ul>

**E. Conflicts**

The firm and any personnel of the firm must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services provided to NYSERDA. Please describe all product, manufacturer or service-related affiliations. If any affiliations exist, you must provide a statement verifying that these affiliations do not conflict with or appear to conflict with the objectivity of providing services to NYSERDA and its customers. Non-disclosure of any affiliation can result in the termination of a contract, if awarded.

Proposers may not act as both the Program Implementer and Quality Service Provider for a given Technology area but shall not be precluded from bidding on other Technology areas described within this RFQL or on future Standards and Quality Assurance solicitations. However, Proposers should describe within their proposals how conflicts of interest, both actual and perceived, will be resolved should you choose to bid on other NYSERDA solicitations.

## F. Program Policy Factors

NYSERDA may consider the following program policy factors in making award selection decisions:

- The degree to which there is statewide coverage for field inspection services to best achieve the overall goals and objectives of the Program.
- The degree to which the applicant has the resources (human and financial) to be able to complete the project.
- The degree to which the applicant has successfully supported previous NYSERDA initiatives

The award selection process contains multiple phases including an initial eligibility review, ranking by a Scoring Committee of subject matter experts, considerations such as program policy factors and the amount of funds available to make the selection decisions.

NYSERDA reserves the right to accept or reject proposals based on the following factor(s):

- The degree to which pricing and hourly rates are in line with the rest of the market.

## IV. GENERAL CONDITIONS

**Proprietary Information** - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <https://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus Procurement Act of 1992** - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development  
Division for Small Business  
625 Broadway  
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development  
Minority and Women's Business Development Division  
625 Broadway  
Albany, NY 12207

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx> . Proposers are required to answer questions during proposal submission, which will include making required certification under the State Finance Law and to disclose any Prior Findings of Non-Responsibility (this includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years).

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](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](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

**Contract Award** - NYSERDA anticipates qualifying multiple consultants within each program/technology area and may make regional awards for inspection services under Service Category 1. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications during the proposal review process. NYSERDA will use the Sample Agreement (Attachment E) to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement (Attachment E) to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify Proposers in approximately ten weeks from the proposal due date whether your proposal has been qualified. NYSERDA may decline to contract with awardees

that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

**Accessibility Requirements** - If awardees from this solicitation will be posting anything on the web, or if the awardee will produce a final report that NYSERDA will post to the web, the following language must be included. NYSERDA requires contractors producing content intended to be posted to the Web to adhere to New York State's Accessibility Policy. This includes, but is not limited to, deliverables such as: documents (PDF, Microsoft Word, Microsoft Excel, etc.), audio (.mp3, .wav, etc.), video (.mp4, .mpg, .avi, etc.), graphics (.jpg, .png, etc.), web pages (.html, .aspx, etc.), and other multimedia and streaming media content. For more information, see [NYSERDA's Accessibility Requirements](#).

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

**Disclosure Requirement** - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

**Vendor Assurance of No Conflict of Interest or Detrimental Effect** - The proposer shall disclose any existing or contemplated relationship with any other person or entity, including any known relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the proposer or former officers and employees of NYSERDA, in connection with proposer's rendering services as proposed. If a conflict does or might exist, please describe how your company would eliminate or prevent it. Indicate what procedures will be followed to detect, notify NYSERDA of, and resolve any such conflicts.

The proposer must disclose whether it, or any of its members, or, to the best of its knowledge, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, "Commission"), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.



**Public Officers Law** – For any resulting awards, the Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). Proposers are reminded of the following Public Officers Law provision: contractors, consultants, vendors, and subcontractors may hire former NYSERDA employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of NYSERDA may neither appear nor practice before NYSERDA, nor receive compensation for services rendered on a matter before NYSERDA, for a period of two years following their separation from NYSERDA service. In addition, former NYSERDA employees are subject to a “lifetime bar” from appearing before any state agency or authority or receiving compensation for services regarding any transaction in which they personally participated, or which was under their active consideration during their tenure with NYSERDA.

Any awardee will be required to certify that all of its employees, as well as employees of any subcontractor, whose subcontract is valued at \$100,000 or more who are former employees of the State and who are assigned to perform services under the resulting contract, shall be assigned in accordance with all Ethics Requirements. During the term of any agreement, no person who is employed by the contractor or its subcontractors and who is disqualified from providing services under the contract pursuant to any Ethics Requirements may share in any net revenues of the contractor or its subcontractors derived from the contract. NYSERDA may request that contractors provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. NYSERDA shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed would be in conflict with any of the Ethics Requirements. NYSERDA shall have the right to terminate any contract at any time if any work performed is in conflict with any of the Ethics Requirements.

## **V. Appendices**

Appendix 1 – Regional Map and Production Estimates

Appendix 2 – Program Descriptions

Appendix 3 – Checklists

Appendix 4 – Sample Inspection Report – Pass Report

Appendix 4A – Sample Inspection Report – Fail Report

## **VI. Attachments**

All Proposals Submitted Must Include:

Attachment A – Qualifications Matrix

Attachment B – Bid and Rate Sheet

Attachment B-1 – Project Personnel and Rates Form

Attachment C – Scope of Work for Field and Photo Inspection Services

Attachment C-1 – Scope of Work for Combined Heat and Power Inspection Services

Attachment D – Sample Agreement

NYSERDA  
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Section Break

## Projects Selected for Funding by Region

Period 10/1/2019 through 3/31/2020

REDC Region	County	Electric Utility	Total Funded Amount
<b>Capital Region</b>	Albany	Central Hudson Gas and Electric	4,252,806
		Municipal Utilities	44,145
		National Grid	15,394,194
	Columbia	National Grid	85,620
		NYS Electric and Gas	311,828
	Greene	Central Hudson Gas and Electric	1,387,066
		NYS Electric and Gas	8,288
	Rensselaer	National Grid	12,533,044
		NYS Electric and Gas	17,120
	Saratoga	National Grid	4,888,699
		NYS Electric and Gas	171,742
	Schenectady	National Grid	29,808,967
	Warren	National Grid	755,341
	Washington	National Grid	1,998,622
		<b>Total</b>	
<b>Central New York</b>	Cayuga	NYS Electric and Gas	1,685,751
		Rochester Gas and Electric	234,144,030
	Cortland	National Grid	6,184,665
	Madison	National Grid	14,152
		NYS Electric and Gas	136,640
	Onondaga	National Grid	29,871,965
	Oswego	National Grid	5,462,770
		<b>Total</b>	
<b>Finger Lakes</b>	Genesee	National Grid	5,948,290
	Livingston	National Grid	27,230
		NYS Electric and Gas	914,424
		Rochester Gas and Electric	67,985
	Monroe	Municipal Utilities	5,857,348
		National Grid	3,442,602
		Rochester Gas and Electric	5,383,263
	Ontario	National Grid	6,279
		NYS Electric and Gas	63,952
		Rochester Gas and Electric	285,522
	Orleans	National Grid	1,297,487
	Seneca	NYS Electric and Gas	2,218,369
	Wayne	NYS Electric and Gas	16,222
		Rochester Gas and Electric	3,799,835
	Wyoming	NYS Electric and Gas	1,277,229
	Yates	Municipal Utilities	5,120
		NYS Electric and Gas	8,160
	<b>Total</b>		30,619,318
<b>Long Island</b>	Nassau	Long Island Power Authority	232,090

## Projects Selected for Funding by Region

Period 10/1/2019 through 3/31/2020

REDC Region	County	Electric Utility	Total Funded Amount
<b>Long Island</b>	Suffolk	Long Island Power Authority	2,321,485
	<b>Total</b>		2,553,575
<b>Mid-Hudson</b>	Dutchess	Central Hudson Gas and Electric	6,401,296
		NYS Electric and Gas	67,228
	Orange	Central Hudson Gas and Electric	5,790,507
		NYS Electric and Gas	2,489,230
		Orange and Rockland Utilities	18,990,200
	Putnam	NYS Electric and Gas	11,352
	Rockland	Orange and Rockland Utilities	661,812
	Sullivan	NYS Electric and Gas	5,270,629
		Orange and Rockland Utilities	14,018
	Ulster	Central Hudson Gas and Electric	9,783,736
		NYS Electric and Gas	13,619
	Westchester	Consolidated Edison	13,245,982
		NYS Electric and Gas	3,084,046
	<b>Total</b>		65,823,654
<b>Mohawk Valley</b>	Fulton	National Grid	6,891,178
	Herkimer	National Grid	15,429,526
	Montgomery	National Grid	230,239
	Oneida	Municipal Utilities	50,000
		National Grid	17,344,954
		NYS Electric and Gas	1,940,731
	Otsego	National Grid	5,208
		NYS Electric and Gas	1,128,986
	Schoharie	National Grid	137,886
	<b>Total</b>		43,158,709
<b>New York City</b>	Bronx	Consolidated Edison	4,638,023
	Bronx	Consolidated Edison	391,356
	New York	Consolidated Edison	282,527
		Consolidated Edison	16,268,285
	Queens	Consolidated Edison	7,879,068
	Richmond	Consolidated Edison	2,726,549
	<b>Total</b>		40,009,223
<b>North Country</b>	Clinton	NYS Electric and Gas	4,247,848
	Essex	National Grid	15,360
		NYS Electric and Gas	57,238
	Franklin	National Grid	747,248
	Jefferson	National Grid	16,282,429
	Lewis	National Grid	1,024,368
	St. Lawrence	National Grid	181,102,755
	<b>Total</b>		203,477,245
<b>Southern Tier</b>	Broome	NYS Electric and Gas	2,805,130
	Chemung	NYS Electric and Gas	7,257,088
	Chenango	NYS Electric and Gas	6,605,702

## Projects Selected for Funding by Region

Period 10/1/2019 through 3/31/2020

REDC Region	County	Electric Utility	Total Funded Amount	
<b>Southern Tier</b>	Delaware	NYS Electric and Gas	90,568	
	Schuyler	Municipal Utilities	2,536,056	
		NYS Electric and Gas	1,288,909	
	Steuben	Municipal Utilities	60,000	
		NYS Electric and Gas	3,108,850	
	Tioga	NYS Electric and Gas	3,445,838	
	Tompkins	NYS Electric and Gas	9,915,262	
<b>Total</b>			37,113,403	
<b>Statewide</b>	STATEWIDE	Statewide	6,231,948,123	
	<b>Total</b>		6,231,948,123	
<b>Western New York</b>	Allegany	National Grid	1,270,441	
		NYS Electric and Gas	64,725	
		Rochester Gas and Electric	4,518,507	
	Cattaraugus	National Grid	18,249,007	
		NYS Electric and Gas	56,986	
	Chautauqua	Municipal Utilities	150,000	
		National Grid	3,259,349	
	Erie	National Grid	4,678,160	
		NYS Electric and Gas	1,538,888	
	Niagara	National Grid	2,831,793	
	<b>Total</b>			36,617,856
	<b>Grand Total</b>			7,040,869,917

NYSERDA  
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**Projects Selected for Funding by Region**  
**Period 10/1/2019 through 3/31/2020**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	ABH Capital Management, LLC	Albany	National Grid	VDI Server for Interns	9,999
	Actasys	Albany	National Grid	Energy Storage Tech/Prod Dev, Renewable Opti..	75,000
	Active Solar Development, LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	60,588
	ADK Solar	Warren	National Grid	<200KW PV, PON 2112 NY SUN	11,732
	ADP, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, ADP Payroll and ..	205,154
	Albany Solar Solutions L.L.C.	Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	5,346
	Allegis Group Holdings Inc	Albany	National Grid	Community RH&C, Staff Augmentation Services	160,739
				NEW YORK GREEN BANK, Staff Augmentation ..	83,977
				Renewable Heat NY, Staff Augmentation Services	160,739
	Allen Power, Inc.	Albany	Municipal Utilities	<200KW PV, PON 2112 NY SUN	36,450
			National Grid	<200KW PV, PON 2112 NY SUN	162,349
	Amazon Capital Servies, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Docking Stations..	8,450
	American Energy Care, Inc.	Columbia	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,823
		Greene	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,723
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	5,600
	AMP US HoldCo Inc.	Rensselaer	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	2,358,000
		Schenectady	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	4,716,000
	Apex Solar Power LLC	Albany	National Grid	<200KW PV, PON 2112 NY SUN	17,019
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	5,642
		Washington	National Grid	<200KW PV, PON 2112 NY SUN	84
	Argus Media Inc.	Albany	National Grid	ENERGY ANALYSIS, Data & Markets	14,568
	Atlantic Data Security, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Check Point Trai..	15,000
	Ballston Mouningkill Associate..	Saratoga	National Grid	Low Rise New Construction, 2019 LRNCP	75,200
	Barbera Homes and Develop..	Schenectady	National Grid	New Construction- Housing, 2019 LRNCP	5,700
	BelGioioso Cheese	Schenectady	National Grid	Industrial Process Effic, Industrial Process Efficie..	195,192
	Belmonte Builders	Saratoga	National Grid	New Construction- Housing, 2019 LRNCP	11,400
	Bergmann Associates	Albany	National Grid	Commercial Real Estate Ten, Bergmann Associa..	2,112
		Warren	National Grid	Commercial Real Estate Ten, Bergmann Associa..	2,112
	Bizodo Inc	Albany	National Grid	Seamlessdocs Licensing 20-21	42,740
	Bloomberg Finance LP	Albany	National Grid	ENERGY ANALYSIS, Bloomberg Datafeed Acce..	47,280
				Subscription/Data Access, Bloomberg Datafeed ..	23,640
	Bond, Schoeneck & King, PLL..	Albany	National Grid	NYSERDA ADMINISTRATION, HR Outside Cou..	25,000
	Borrego Solar Systems, Inc.	Rensselaer	National Grid	>200KW PV, NY Sun	2,734,950
		Washington	National Grid	>200KW PV, NY Sun	1,480,024
	C&S Engineers, Inc.	Albany	National Grid	REV Campus Challenge, FT13036 - 432 Wester..	7,263
				REV Campus Challenge, FT13048 - Maria Colleg..	23,317
	Cairo NY 1, LLC	Greene	Central Hudson Gas and Electric	>200KW PV, NY-Sun C&I	496,776
				NY-SUN, NY-Sun C&I	876,663
	Carahsoft Technology Corporation	Albany	National Grid	EVALUATION, Qualtrics Software Renewal	67,142
				Salesforce cloud	1,405,719
	CHA Consulting Inc.	Albany	Municipal Utilities	Flexible Tech Assistance, FT12234-Lydall-68 Ge..	7,695
			National Grid	On-Site Energy Manager, Staff Augmentation Se..	132,542
		Schenectady	National Grid	Industrial Process Effic, IPE16259	16,775
	CIR ELECTRICAL CONSTRU..	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	302,778
	City of Saratoga Springs, NY	Saratoga	National Grid	Clean Energy Communities, Communities & Loc..	50,000
	Clifton Park Solar 1, LLC	Saratoga	National Grid	>200KW PV, NY-Sun C&I	1,874,340
	Clifton Park Solar 2, LLC	Saratoga	National Grid	>200KW PV, NY-Sun C&I	747,630
Crown Castle Fiber LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Primary WAN Cir..	64,512	
Darling Advertising Agency Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Marketing Suppo..	27,000	
Davies Office Refurbishing, Inc.	Albany	National Grid	Furniture	5,323	



**Projects Selected for Funding by Region**  
**Period 10/1/2019 through 3/31/2020**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Dell, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, 25 Dell Desktops	16,937	
				NYSERDA ADMINISTRATION, Dell - Precision ..	7,295	
				NYSERDA ADMINISTRATION, DELL - Wyse 50 ..	17,378	
				NYSERDA ADMINISTRATION, DELL Desktops -..	16,937	
	Delta Dental of New York	Albany	National Grid	NYSERDA ADMINISTRATION, Delta Dental Pre..	675,000	
	DG Northeast 1 LLC	Albany	National Grid	>200KW PV, NY Sun	221,850	
	Dodge Data & Analytics	Albany	National Grid	Code to Zero, Business Intelligence Subscrip	12,245	
				Eval MCDC Cross Cutting, Business Intelligence ..	34,430	
	Eden Renewables, LLC	Rensselaer	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	2,358,000	
		Schenectady	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	4,716,000	
	Elmbrook Solar, LLC	Rensselaer	National Grid	>200KW PV, NY Sun	1,498,728	
	Employee Leasing of Greater ..	Albany	National Grid	NYSERDA ADMINISTRATION, Temp TWO	33,000	
	Erdman Anthony & Associates..	Albany	National Grid	Commercial New Construc, Commercial New Co..	120,019	
	ESNY-PLD-BRONX LLC	Bronx	Consolidated Edison	>200KW PV, NY-Sun	391,356	
	Finch Paper, LLC	Warren	National Grid	Industrial Process Effic, Industrial Process Efficie..	637,199	
	Fuller Road Management Cor..	Albany	National Grid	INDUSTRIAL PROCESS EFFICIENCY, Industria..	637,495	
	General Electric International Inc	Schenectady	National Grid	>200KW PV, NY-Sun C&I	1,281,119	
				ESTOR:Retail Storage Incentive, NY-Sun C&I	2,500,001	
	Green Eagle Solar VI, LLC	Albany	Central Hudson Gas a.	>200KW PV, NY-Sun C&I	3,497,918	
		Rensselaer	National Grid	>200KW PV, NY-Sun C&I	1,775,547	
	Harris Beach PLLC	Albany	National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	20,000	
	Harris Wiltshire & Grannis LLP	Albany	National Grid	NYSERDA ADMINISTRATION, Outside Counsel ..	75,000	
				OREC: Technical Support, RFP3776 Outside Co..	60,000	
	High Peaks Solar	Rensselaer	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	11,040	
	Hodgson Russ LLP	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 3300 & RF..	15,000	
	Hope Solar Farm, LLC	Rensselaer	National Grid	>200KW PV, NY Sun C&I	942,474	
	Hudson Valley Clean Energy Inc.	Columbia	National Grid	<200KW PV, PON 2112 NY SUN	20,630	
		Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	5,292	
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	32,400	
	Hudson Valley Community Co..	Rensselaer	National Grid	Talent Pipeline:CE and OJT, PON3981 Round 3	226,212	
	Hudson Valley Wind Energy, ..	Columbia	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,750	
	HyperGen Inc	Albany	National Grid	NYSERDA ADMINISTRATION, PeopleSoft Supp..	2,000,000	
	Industrial Economics, Incorpor..	Albany	National Grid	NYSERDA ADMINISTRATION, Research of Indi..	15,000	
	Irving Community LLC	Schenectady	National Grid	New Construction- Housing, 2019 LRNCP	55,000	
	JPMorgan Chase Bank Nation..	Albany	National Grid	NYSERDA ADMINISTRATION, Depository Banki..	140,790	
	Kasselmann Solar LLC	Albany	Central Hudson Gas a..	<200KW PV, NY-Sun	6,688	
			National Grid	<200KW PV, NY-Sun	23,408	
				<200KW PV, PON 2112 NY SUN	54,054	
		Columbia	National Grid	<200KW PV, PON 2112 NY SUN	29,990	
			NYS Electric and Gas	<200KW PV, NY-Sun	8,604	
				<200KW PV, PON 2112 NY SUN	34,200	
		Greene	Central Hudson Gas a..	<200KW PV, NY-Sun	7,904	
		Rensselaer	National Grid	<200KW PV, NY-Sun	5,472	
				<200KW PV, PON 2112 NY SUN	5,106	
		Saratoga	National Grid	<200KW PV, PON 2112 NY SUN	38,567	
				NYS Electric and Gas	<200KW PV, NY-Sun	6,992
		Schenectady	National Grid	<200KW PV, NY-Sun	5,776	
		Warren	National Grid	<200KW PV, PON 2112 NY SUN	8,698	
		Kilowatt Engineering, Inc.	Albany	National Grid	Industrial Process Effic, IPE16257	26,600
					Industrial Process Effic, IPE16258	26,600
			Rensselaer	National Grid	Industrial Process Effic, IPE16253	24,978
		Davies Office Refurbishing, Inc.	Albany	National Grid	Furniture	5,323

**Projects Selected for Funding by Region**  
**Period 10/1/2019 through 3/31/2020**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	L&S Energy Services, Inc.	Schenectady	National Grid	Commercial New Construc, Commercial New Co..	175,150
	Lincoln Life & Annuity Compa..	Albany	National Grid	NYSERDA ADMINISTRATION, Long Term Disab..	738
	Low-Level Radioactive Waste ..	Albany	National Grid	NYSERDA ADMINISTRATION, Data & Markets	5,000
	Marshall & Sterling, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP 4301 Insura..	246,745
	Medusa NY 1 LLC	Albany	Central Hudson Gas a..	>200KW PV, NY-Sun	718,200
	Messer LLC	Albany	National Grid	Industrial Process Effic, Industrial Process Efficie..	
	Michaels Group Homes, LLC	Saratoga	National Grid	Low Rise New Construction, 2019 LRNCP	20,900
	MVP Consulting Plus, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, License Renewal..	
	MyPower Corp.	Washington	National Grid	>200KW PV, NY Sun	508,470
	NetSparker Limited	Albany	National Grid	NYSERDA ADMINISTRATION, NetSparker Soft..	
	Network Craze Technologies	Albany	National Grid	NYSERDA ADMINISTRATION, Network Data Ce..	24,920
	Network Experts of New York, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Helpdesk Tech. -..	
				NYSERDA ADMINISTRATION, WAN Redundan..	15,240
	New England Solar & Green S..	Rensselaer	NYS Electric and Gas	<200KW PV, NY-Sun	
	New York State Solar Farm Inc.	Greene	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,288
	Nixon Peabody LLP	Albany	National Grid	NYSERDA ADMINISTRATION, Loan Loss Reser..	
	Norstar Development USA, LP	Saratoga	National Grid	New Construction- Housing, LR NCP - Incentives..	64,800
	NRP Holdings LLC	Saratoga	National Grid	New Construction- Housing, 2019 LRNCP	
	NYS Office of Information Tec..	Albany	National Grid	NYSERDA ADMINISTRATION, Office 365: 4/201..	140,112
	Oak Hill Solar 1, LLC	Schenectady	National Grid	>200KW PV, NY Sun	
	Oak Hill Solar 2, LLC	Schenectady	National Grid	>200KW PV, NY Sun	1,498,728
	Oracle America, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Peoplesoft - Ora..	
	Orion Polymer Corp	Albany	National Grid	Energy Storage Tech/Prod Dev, PON3585 R4 En..	400,000
	OwnBackup Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, OwnBackup - Sa..	
				NYSERDA ADMINISTRATION, Ownbackup Arch..	12,931
	Penda Aiken Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Temporary Rece..	
	Pennrose LLC	Schenectady	National Grid	Low Rise New Construction, 2019 LRNCP	73,400
	Plugin Stations Online, LLC	Albany	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	
	PlugPV, LLC	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	9,776
		Schenectady	National Grid	<200KW PV, PON 2112 NY SUN	34,108
		Washington	National Grid	<200KW PV, PON 2112 NY SUN	10,044
	Power Guru, LLC	Rensselaer	National Grid	<200KW PV, PON 2112 NY SUN	
	Provantage, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, 52 Monitors ( Or..	9,343
				NYSERDA ADMINISTRATION, Monitors - 26 Pro..	5,064
	Raj Technologies Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, Modification - Na..	553,195
	Randstad North America, Inc.	Albany	National Grid	CLEANER GREENER COMMUNITIES, Payroll S..	
				Community RH&C, Payroll Services	21,600
				ENERGY ANALYSIS, Payroll Services	21,600
				Energy Storage Tech/Prod Dev, Temporary Servi..	30,206
				Environmental Research, Temp Services	56,112
				Environmental Research, Temporary Services	72,145
				High Performing Grid, Temporary Services	30,206
				Home Perf w Energy Star, Payroll Services	51,438
				NextGen HVAC, Temporary Services	30,206
				NYSERDA ADMINISTRATION, Payroll Services	82,896
				NYSERDA ADMINISTRATION, Temp Services	56,112
				NYSERDA ADMINISTRATION, Temporary Servi..	328,658
			OTHER PROGRAM AREA, Payroll Services	48,165	
			Payroll Services	21,600	
			Pub Transit & Elect Rail, Temporary Services	30,206	
			Temporary Services	106,880	
Davies Office Refurbishing, Inc.	Albany	National Grid	Furniture	5,323	

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Capital Region	Regional Economic Models, Inc	Albany	National Grid	ENERGY ANALYSIS, Modeling and Analytics	6,000	
	Rensselaer Polytechnic Institu..	Rensselaer	National Grid	Energy Storage Tech/Prod Dev, Renewable Opti..	200,000	
	Ringlead, Inc.	Albany	National Grid	RingLead Software 2020-2023	49,000	
	Rosenblum Property Services, Saratoga LLC			National Grid	SARATOGA TECHNOLOGY & ENERGY PARK, ..	218,500
				NYS Electric and Gas	SARATOGA TECHNOLOGY & ENERGY PARK, ..	164,750
	Schenectady County Solar Projects 2019,			National Grid	>200KW PV, NY-Sun Assignment	2,625,000
					>200KW PV, NY-Sun C&I Assignment	1,281,120
					>200KW PV, NY-Sun CI Full/Payee Assignmen	1,248,650
					>200KW PV, NY-Sun Full & Payee Assignment	413,270
					>200KW PV, NY-Sun Full/Payee Assignment	1,463,904
					ESTOR:Retail Storage Incentive, NY-Sun C&I As..	2,500,000
					Solar Plus Energy Storage, NY-Sun Assignment	3,500,000
	SHI, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, ADA - Complianc..	15,544	
				NYSERDA ADMINISTRATION, Adobe DC Pro C..	55,457	
				NYSERDA ADMINISTRATION, Embarcadero ER..	17,502	
				NYSERDA ADMINISTRATION, Information Tech..	5,498	
				NYSERDA ADMINISTRATION, SHI - Chromebo..	20,642	
				NYSERDA ADMINISTRATION, Storage - Virtual ..	49,976	
	Pure Storage	46,211				
	Siemens Industry, Inc.	Columbia	NYS Electric and Gas	Real Time Enrgy Management, Siemens - 73 Co ..	179,451	
	Sive Paget & Riesel PC	Albany	National Grid	NYSERDA ADMINISTRATION, FOIL related Ser..	13,363	
				NYSERDA ADMINISTRATION, Internal SEQRA ..	5,000	
				OREC: Technical Support, RFP 3300 & RFP 377..	15,943	
	Spectrotel Holding Company ..	Albany	National Grid	NYSERDA ADMINISTRATION, Spectrotel Telec..	37,980	
	Standard Solar, Inc	Saratoga	National Grid	>200KW PV, NY-Sun C&I	1,627,920	
	Systems Management Planning, Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, AeroHive Subscr..	5,414	
				NYSERDA ADMINISTRATION, SMP - Storage U..	2,400	
				NYSERDA ADMINISTRATION, VMware Licensin..	21,244	
				NYSERDA ADMINISTRATION, Webex Services ..	105	
	Taylor Group LTD	Albany	National Grid	NYSERDA ADMINISTRATION, NYS Fair 2019 D..	540	
	Tech Valley Talent, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Information Tech..	32,090	
				NYSERDA ADMINISTRATION, RFP3143 Umbre..	438,450	
				NYSERDA ADMINISTRATION, TWO Salesforce ..	380,000	
				NYSERDA ADMINISTRATION, TWO26 Server ..	267,188	
				REC:CES REC System Dev Costs, RFP3143 U..	177,450	
	SecureAuth Appliance upgrade	5,420				
	Technology Professionals Gro..	Albany	National Grid	NYSERDA ADMINISTRATION, Salesforce CRM ..	84,000	
	The Walters Company Air Co..	Albany	National Grid	HVAC Replacement	99,156	
	ThunderCat Technology LLC	Albany	National Grid	DocuSign Subscription 20 - 21	87,270	
				NYSERDA ADMINISTRATION, Rightstar Scanst..	5,390	
	Towerstream 1 Incorporated	Albany	National Grid	NYSERDA ADMINISTRATION, Secondary WAN ..	37,500	
	Town of Austerlitz, New York	Columbia	NYS Electric and Gas	CEC400162-Twn of Austerlitz	30,000	
				Clean Energy Communities, CEC400162-Twn of ..	5,000	
	Town of Canaan	Columbia	NYS Electric and Gas	Clean Energy Communities, CEC400102-Twn of ..	35,000	
	Town of Nassau	Rensselaer	National Grid	CEC400123-Town of Nassau	30,000	
				Clean Energy Communities, CEC400123-Town o..	5,000	
	Town of Westerlo	Albany	Central Hudson Gas a..	CEC400109 - Town of Westerlo	30,000	
TRC Energy Services	Albany	National Grid	Commercial New Construc, Staff Augmentation S..	10,800		
			ENERGY ANALYSIS, Staff Augmentation Servic..	253,078		
			Low Rise New Construction, Staff Augmentation ..	12,960		
			Multifam New Construction, Staff Augmentation ..	12,240		
New Construction- Commercial, Staff Augmentati..	10,800					

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Capital Region	TRC Energy Services	Albany	National Grid	New Construction- Housing, Staff Augmentation ..	25,200
				NYSERDA ADMINISTRATION, Staff Augmentati..	336,473
	Troy Housing Authority	Rensselaer	National Grid	Low Rise New Construction, New Construction	37,000
	Troy Web Consulting, LLC	Albany	National Grid	NYSERDA ADMINISTRATION, Troy Web Hostin..	7,380
	TurnKey Internet, Inc.	Albany	National Grid	Industrial Process Effic, Industrial Process Efficie..	105,756
	Unique Comp Inc.	Albany	National Grid	NYSERDA ADMINISTRATION, RFP3143 Umbre..	44,200
				NYSERDA ADMINISTRATION, TWO SQL ETL ..	176,800
				NYSERDA ADMINISTRATION, TWO Sr. System..	176,800
	Vervent Inc.	Albany	National Grid	GJGNY REVOLVING LOAN FUND, Financing S..	296,555
	Village of Kinderhook	Columbia	National Grid	CEC400049 - Village of Kinderh	30,000
				Clean Energy Communities, CEC400049 - Villag..	5,000
	W & E Phillips Locksmith, Inc	Albany	National Grid	NYSERDA ADMINISTRATION, Facilities Manag..	10,000
	Willdan Energy Solutions	Albany	National Grid	Air Source Heat Pumps, Staff Augmentation Serv..	47,008
				Campus/Technical Assistance, Staff Augmentatio..	47,008
				Code to Zero, Staff Augmentation Services	825,926
				Community RH&C, Staff Augmentation Services	47,008
				Geothermal Incentive Program, Staff Augmentati..	47,008
				Renewable Heat NY, Staff Augmentation Services	94,016
				<b>Total</b>	
	Central New York	Abundant Solar Power Inc.	Cayuga	NYS Electric and Gas	>200KW PV, NY Sun
Onondaga			National Grid	>200KW PV, NY Sun	252,288
Alternative Power Solutions of..		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	47,406
AMP US HoldCo Inc.		Oswego	National Grid	>200KW PV, NY Sun	1,173,245
Anheuser-Busch InBev World..		Onondaga	National Grid	On-Site Energy Manager, OsEM39-I Anheuser-B..	140,450
Bergmann Associates		Cayuga	NYS Electric and Gas	Technical Services, AEAP	5,750
C&S Engineers, Inc.		Onondaga	National Grid	Flexible Tech Assistance, FT12290 - Lockheed - ..	81,714
Cayuga / Onondaga BOCES		Cayuga	NYS Electric and Gas	Flexible Tech Assistance, FT12254 - Cayuga BO..	21,400
Cayuga Milk Ingredients		Cayuga	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	356,262
Christopher Community, Inc.		Cortland	National Grid	New Construction- Housing, 2019 LRNCP	25,000
		Onondaga	National Grid	New Construction- Housing, 2019 LRNCP	63,000
CNY Solar, Inc.		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	6,169
Convergent Energy and Powe..		Onondaga	National Grid	>200KW PV, NY Sun	2,284,256
Cryomech		Onondaga	National Grid	Industrial Process Effic, Industrial Process Efficie..	24,437
Currier Plastics		Cayuga	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	163,069
Delaware River Solar, LLC		Onondaga	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	22,362,290
DePaul Properties, Inc.		Cayuga	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	56,000
		Oswego	National Grid	New Construction- Housing, 2019 LRNCP	68,000
DG New York CS, LLC		Cortland	National Grid	>200KW PV, NY Sun	2,550,000
		Onondaga	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	3,750,000
		Oswego	National Grid	>200KW PV, NY Sun	789,434
				ESTOR:Retail Storage Incentive, Retail Storage	2,400,000
Douglas R Jarvis		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	5,082
DuMond Grains		Cayuga	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	41,200
East River Solar, LLC		Cortland	National Grid	>200KW PV, NY-Sun C&I	883,593
Frontier Energy, Inc.		Cayuga	NYS Electric and Gas	Industrial Process Effic, IPE16254	18,490
		Oswego	National Grid	Industrial Process Effic, IPE16163	6,000
Garnet Energy Center LLC		Cayuga	Rochester Gas and El..	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	234,144,030
Halcyon, Inc.		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	5,600
Home Leasing, LLC		Oswego	National Grid	New Construction- Housing, 2019 LRNCP	62,000
Huhtamaki, Inc.		Oswego	National Grid	Industrial Process Effic, Industrial Process Efficie..	166,010
Kasselman Solar LLC		Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	22,140
Lime Hollow Solar, LLC		Cortland	National Grid	>200KW PV, NY-Sun C&I	751,994

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Central New York	M/E Engineering, P.C.	Oswego	National Grid	Commercial New Construc, New Construction	56,925
	McLean Solar 1, LLC	Cortland	National Grid	>200KW PV, NY-Sun C&I	883,593
	MVAH Partners LLC	Onondaga	National Grid	New Construction- Housing, 2019 LRNCP	48,000
	New York State Weatherizatio..	Onondaga	National Grid	Talent Pipeline:CE and OJT, PON3981 Round 3	240,080
	Nickels Energy Solutions LLC	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	5,198
	NYS Labor Management Coo..	Onondaga	National Grid	Talent Pipeline:CE and OJT, PON3981 Round 4	171,180
	O'Brien & Gere Engineers, Inc.	Madison	NYS Electric and Gas	REV Campus Challenge, RM37 - SUNY Morrisvil..	131,348
	Onondaga Community College	Onondaga	National Grid	REV Campus Challenge, RM38 - Onondaga Co..	62,625
				Technical Services, OsEM19-C Onondaga Com ..	13,546
	Paradise Energy Solutions, LL..	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	18,191
	PlugPV, LLC	Madison	National Grid	<200KW PV, PON 2112 NY SUN	5,402
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,292
	Renovus Energy, Inc.	Cayuga	NYS Electric and Gas	<200KW PV, NY-Sun	7,728
				<200KW PV, PON 2112 NY SUN	12,075
		Madison	National Grid	<200KW PV, PON 2112 NY SUN	8,750
	Onondaga	National Grid	<200KW PV, PON 2112 NY SUN	23,667	
	Route 13 Solar, LLC	Cortland	National Grid	>200KW PV, NY-Sun C&I	938,817
	Salmon River Solar LLC	Oswego	National Grid	>200KW PV, NY-Sun C&I	603,651
	Silver Street Solar LLC	Onondaga	National Grid	<200KW PV, NY-Sun	42,752
		Oswego	National Grid	<200KW PV, NY-Sun	38,963
	SOLSTICE INITIATIVE, INC.	Cortland	National Grid	NY-SUN, CDG in Western NY	151,668
	St. Anthonys Associates LLC	Onondaga	National Grid	New Construction- Housing, 2019 LRNCP	52,400
	SUNY - ESF	Onondaga	National Grid	REV Campus Challenge, RM2 - SUNY ESF	14,132
	Sustainable Comfort, Inc	Onondaga	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	6,154
	Thomas Roach	Cayuga	NYS Electric and Gas	Anaerobic Digesters, PON 3739 CAT C	15,000
	Two Plus Four Construction Co., Inc.	Onondaga	National Grid	New Construction- Housing, 2019 LRNCP	80,000
		Oswego	National Grid	New Construction- Housing, 2019 LRNCP	65,400
	Upstate Alternative Energy	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	6,405
	Vecino Group New York, LLC	Onondaga	National Grid	New Construction- Housing, 2019 MFCNP	67,400
	Viola Homes Inc.	Oswego	National Grid	<200KW PV, PON 2112 NY SUN	8,547
	Wells College	Cayuga	NYS Electric and Gas	REV Campus Challenge, RM32 - Wells College	36,832
	<b>Total</b>				<b>277,499,973</b>
Finger Lakes	70 North MM LLC	Monroe	National Grid	New Construction- Housing, 2019 LRNCP	50,000
	Antares Group, Inc.	Monroe	Rochester Gas and El..	INDUSTRIAL PROCESS EFFICIENCY, Technic..	2,726
	Apex Solar Power LLC	Wyoming	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,405
	Arcadis of New York, Inc.	Livingston	National Grid	Technical Services, AEAP	5,978
	Barney Moravec, Inc	Yates	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	8,160
	Bergmann Associates	Monroe	Rochester Gas and El..	Technical Services, FT13039 - Marketplace - FTC	5,000
	Borrego Solar Systems, Inc.	Genesee	National Grid	>200KW PV, NY Sun	3,203,292
		Monroe	National Grid	>200KW PV, NY Sun	1,456,407
	Buffalo Renewables, Inc.	Monroe	National Grid	Small Wind, Wind Turbine Incentive	230,400
	CDS Monarch Inc	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	57,000
	CHA Consulting Inc.	Monroe	Rochester Gas and El..	Industrial Process Effic, Technical Review and Pr..	46,500
	CIR ELECTRICAL CONSTRU..	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	5,891
	Dailey Electric Inc	Yates	Municipal Utilities	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	Delaware River Solar, LLC	Genesee	National Grid	>200KW PV, NY Sun	1,688,386
		Seneca	NYS Electric and Gas	>200KW PV, NY-Sun C&I	2,218,369
		Wayne	Rochester Gas and El..	>200KW PV, NY-Sun C&I	1,669,248
		Wyoming	NYS Electric and Gas	>200KW PV, NY Sun	1,255,824
	DePaul Properties, Inc.	Orleans	National Grid	New Construction- Housing, 2019 LRNCP	40,000
	DG New York CS, LLC	Orleans	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	1,250,000
	Dimitri House, Inc.	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	6,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Finger Lakes	Dolomite Products Group, Inc.	Wayne	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	85,200
	Ecovis, Inc.	Orleans	National Grid	<200KW PV, PON 2112 NY SUN	7,487
	EMCOR Services Betlem	Monroe	Rochester Gas and El..	Technical Services, AGG1008-EMCOR Services ..	50,000
	Energiv Inc.	Monroe	Rochester Gas and El..	Real Time Enrgy Management, Energiv-Sibley 25..	17,056
	ENNOVEA, LLC	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	23,082
	Episcopal Senior Housing Pen..	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	17,100
	Finger Lakes United Cerebral ..	Ontario	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	30,000
	Fusion Energy Services LLC	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	8,750
	Gardeau Crest Farm	Wyoming	NYS Electric and Gas	Anaerobic Digesters, PON 3739 CAT C	15,000
	Garlock Sealing Technologies..	Wayne	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	9,822
	Generate NY Community Solar Lessor II, L	Monroe	Municipal Utilities	>200KW PV, NY Sun Assignment	529,046
				>200KW PV, NY Sun CI Assignment	529,046
				Rochester Gas and Electric	>200KW PV, NY Sun CI Assignment
			>200KW PV, NY-Sun Full/Payee Assignment	932,129	
	Wayne	Rochester Gas and El..	>200KW PV, NYSun CI Assignment	845,093	
	Hamlin Solar 1, LLC	Monroe	National Grid	>200KW PV, NY-Sun C&I	1,626,885
	High Falls Operating Co, LLC	Monroe	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	100,007
	Home Leasing, LLC	Genesee	National Grid	New Construction- Housing, 2019 LRNCP	53,000
		Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	63,200
	Ibero-American Development ..	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	91,600
	NSF Parma Site 2, LLC	Monroe	Municipal Utilities	>200KW PV, NY-Sun C&I	1,049,257
				ESTOR:Retail Storage Incentive, NY-Sun C&I	3,749,999
	Once Again Nut Butter	Livingston	Rochester Gas and El..	INDUSTRIAL PROCESS EFFICIENCY, Industria..	28,946
	Pactiv Corp.	Ontario	Rochester Gas and El..	Industrial Process Effic, Industrial Process Efficie..	82,808
	Paradise Energy Solutions, LL..	Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	31,532
	Pathfinder Engineers & Archit..	Livingston	Rochester Gas and El..	Commercial New Construc, Commercial New Co..	39,039
	Pathstone Corporation	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	70,400
	Pathstone Housing Action Corporation	Monroe	Rochester Gas and Electric	New Construction- Housing, 2019 LRNCP	117,400
				New Construction- Housing, New Construction	70,400
	Penfield Sq Associates MM L..	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	88,400
	Poseidon Systems, LLC	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	Providence Housing Develop..	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	225,000
	Prowind Renewables Inc.	Genesee	National Grid	>200KW PV, NY Sun	987,034
		Livingston	NYS Electric and Gas	>200KW PV, NY Sun	908,208
	RED Rochester	Monroe	Rochester Gas and Electric	Industrial Process Effic, Industrial Process Efficie..	706,613
				Real Time Enrgy Management, RED Roch-1200 ..	239,141
				Real Time Enrgy Management, RR LLC - 1200 R..	181,315
				Technical Services, FT13021 - RED Rochester - ..	29,485
	Rochester Civic Housing, Inc.	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	113,000
	Rochester Regional Health	Monroe	Rochester Gas and El..	Technical Services, OsEM42-C - Rochester Regi..	214,000
	Ruffalo Appliance	Wayne	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	Rural Housing Opportunities ..	Monroe	Rochester Gas and El..	New Construction- Housing, 2019 LRNCP	255,600
	Ryan Homes (Virginia)	Ontario	Rochester Gas and Electric	Low Rise New Construction, 2019 LRNCP	89,300
				New Construction- Housing, 2019 LRNCP	17,100
	Solar Liberty Energy Systems,..	Monroe	Rochester Gas and El..	<200KW PV, NY-Sun	141,912
	Solar Village Company LLC	Ontario	NYS Electric and Gas	Low Rise New Construction, 2019 LRNCP	52,000
				Talent Pipeline:CE and OJT, OJT HIRE	11,952
	Sustainable Comfort, Inc	Monroe	Rochester Gas and Electric	New Construction- Housing, SF183892 - 2047 C..	10,000
				New Construction- Housing, SF222055 - 2770 B..	10,000
		Ontario	Rochester Gas and El..	New Construction- Housing, SF183532_Baldwin..	10,000
Sustainable Energy Developments Inc.	Genesee	National Grid	<200KW PV, PON 2112 NY SUN	5,688	
	Monroe	National Grid	<200KW PV, PON 2112 NY SUN	7,840	

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Finger Lakes	Sustainable Energy Developments Inc.	Monroe	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	53,858
		Ontario	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	7,392
	Trane	Monroe	Rochester Gas and El..	Real Time Enrgy Management, Trane - 1 Manhat..	28,045
	True Energy Solutions	Monroe	Rochester Gas and El..	Talent Pipeline:CE and OJT, OJT HIRE	18,560
	University of Rochester	Monroe	Rochester Gas and El..	REV Campus Challenge, RM34 - University of R..	150,000
	Village of Brockport	Monroe	National Grid	Clean Energy Communities, CEC300321 Village ..	50,000
	Viola Homes Inc.	Livingston	National Grid	<200KW PV, PON 2112 NY SUN	12,502
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,216
		Monroe	National Grid	<200KW PV, PON 2112 NY SUN	21,070
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	30,578
		Ontario	National Grid	<200KW PV, PON 2112 NY SUN	6,279
			Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	17,390
	Wayne	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	7,110	
	Xzerta Energy Group LLC	Wayne	Rochester Gas and El..	>200KW PV, NY Sun	1,193,184
	Zuber Farms	Genesee	National Grid	Anaerobic Digesters, PON 3739 CAT C	5,000
	<b>Total</b>				<b>30,619,318</b>
	Long Island	Empower CES, LLC	Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN
Suffolk			Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	43,750
Global Common, LLC		Nassau	Long Island Power Au..	Anaerobic Digesters, PON 3739 CAT C	30,000
Green Hybrid Energy Solution..		Nassau	Long Island Power Au..	>200KW PV, PON 2112 NY SUN	28,080
Green Team USA, LLC		Suffolk	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT HIRE	41,120
GreenLogic, LLC		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	6,250
J Synergy Green Inc		Nassau	Long Island Power Au..	WORKFORCE DEVELOPMENT, OJT HIRE	17,760
JDC Energy Services, LLC		Suffolk	Long Island Power Au..	ENERGY STORAGE, Retail Storage	448,750
NuWorld Lighting Solutions Inc		Suffolk	Long Island Power Authority	WORKFORCE DEVELOPMENT, OJT HIRE	17,440
				WORKFORCE DEVELOPMENT, OJT HIRE Chri..	8,000
Standard Solar, Inc		Suffolk	Long Island Power Au..	ENERGY STORAGE, Retail Storage	256,500
SuNation Solar Systems, Inc.		Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	31,250
		Suffolk	Long Island Power Authority	<200KW PV, PON 2112 NY SUN	10,395
				ENERGY STORAGE, PON 2112 NY SUN	81,250
SUNRISE ELECTRICAL SERVICES		Suffolk	Long Island Power Authority	<200KW PV, NY-Sun	165,540
				<200KW PV, PON 2112 NY SUN	591,240
Tesla Energy Operations Inc		Nassau	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	43,750
		Suffolk	Long Island Power Au..	ENERGY STORAGE, PON 2112 NY SUN	56,250
United Way of Long Island		Suffolk	Long Island Power Au..	OTHER PROGRAM AREA, New Construction	595,000
Village of Garden City		Nassau	Long Island Power Au..	CLEANER GREENER COMMUNITIES, Village o..	50,000
<b>Total</b>				<b>2,553,575</b>	
Mid-Hudson	64 Solar LLC	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	288,873
	Access Supports for Living Inc.	Orange	Orange and Rockland..	New Construction- Housing, 2019 LRNCP	171,200
		Sullivan	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	68,600
	Advanced Radiant Design, Inc.	Ulster	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	Aegis Energy Services Inc.	Orange	Orange and Rockland..	Combined Heat and Power, CHPA-Valley View C..	266,836
	AES DE RS VIII, LLC	Orange	NYS Electric and Gas	>200KW PV, NY-Sun	1,506,920
	AES Distributed Energy, Inc.	Orange	Central Hudson Gas and Electric	>200KW PV, NY Sun	1,427,867
				NY-SUN, NY Sun	2,855,737
	AMERESCO, Inc.	Orange	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	154,224
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	88,128
	Apex Roofing, LLC	Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,496
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	6,048
	Beacon Lofts and Storage, LLC	Dutchess	Central Hudson Gas a..	Low Rise New Construction, 2019 LRNCP	30,300
	Black Cherry Services Group, ..	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,418
	Borrego Solar Systems, Inc.	Orange	Orange and Rockland..	NY-SUN, NY Sun	1,751,750

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Borrego Solar Systems, Inc.	Westchester	NYS Electric and Gas	ESTOR:Retail Storage Incentive, Retail Storage	3,000,000
	BQ Energy, LLC	Westchester	Consolidated Edison	ESTOR:Retail Storage Incentive, Retail Storage	417,600
	BRE Edison L.P.	Westchester	Consolidated Edison	INDUSTRIAL PROCESS EFFICIENCY, Industrial..	892,130
	Bright Power, Inc.	Westchester	Consolidated Edison	Real Time Enrgy Management, Bright Power - M..	51,390
	Buselli Plumbing & Heating	Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,649
	Cablevision of Southern West..	Westchester	Consolidated Edison	Fuel Cells, Fuel Cell Incentive - FC-042	1,000,000
	CES Danbury Solar, LLC	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,500
				>200KW PV, PON 2112 NY SUN	111,715
	City of Middletown	Orange	Orange and Rockland..	Flexible Tech Assistance, FT12264 - Middletwn ..	36,147
	CON EDISON SOLUTIONS, INC.	Dutchess	Central Hudson Gas a..	<200KW PV, NY-Sun	323,280
			Ulster	Central Hudson Gas and Electric	>200KW PV, NY-Sun C&I
		Westchester	Consolidated Edison	<200KW PV, NY-Sun	1,309,308
				ESTOR:Retail Storage Incentive, Retail Storage	3,000,000
	Cream Street Solar, LLC	Dutchess	Central Hudson Gas a..	NY-SUN, NY Sun	1,135,296
	Croton Energy Group, Inc.	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	18,889
	Cutone & Company Consultants, LLC	Westchester	Consolidated Edison	Commercial Real Estate Ten, LC Assoc - 2500 ..	11,918
				Commercial Real Estate Ten, LC Assoc- 2700 W..	10,215
	Cypress Creek Renewables LLC	Orange	NYS Electric and Gas	ESTOR:Retail Storage Incentive, Retail Storage	814,000
		Ulster	Central Hudson Gas a..	ESTOR:Retail Storage Incentive, Retail Storage	1,628,000
	Dandelion Energy Inc	Westchester	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	14,080
	Delaware River Solar, LLC	Sullivan	NYS Electric and Gas	>200KW PV, NY Sun CI Assignment	1,268,731
				>200KW PV, NY-Sun C&I	1,445,109
	Dimension Energy LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	2,384,280
	DMV EQUITY, INC.	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,740
	Dual Fuel Corp	Westchester	Consolidated Edison	Real Time Enrgy Management, DF - 1-13 Greenr..	19,950
	Eiger 3970 Consultants Inc.	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	26,270
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,547
	ELP Saugerties Solar LLC	Ulster	Central Hudson Gas a..	NY-SUN, NY Sun	1,199,016
	Empire Solar Solutions LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	20,983
			Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN
		Putnam	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,880
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	11,223
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	8,750
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	12,292
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,427
	EPR Properties	Sullivan	NYS Electric and Gas	NEW CONSTRUCTION PROGRAM, NCP13170 ..	220,000
	ESNY-SFSHPN, LLC	Westchester	Consolidated Edison	>200KW PV, NY-Sun	288,450
	Florenton River LLC	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,644
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	11,399
	ForeFront Power, LLC	Orange	Orange and Rockland..	ESTOR:Retail Storage Incentive, Retail Storage	4,000,000
	Four Points Group, Inc.	Westchester	Consolidated Edison	OTHER PROGRAM AREA, RFQL 3685 R2	150,000
	Generate NY Community Sola..	Sullivan	NYS Electric and Gas	>200KW PV, NY-Sun C&I	926,896
	Generate NY Community Sola..	Ulster	Central Hudson Gas a..	>200KW PV, NY-Sun C&I Assignment	1,172,567
	George J. Martin & Son	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	335,340
	Global Dwelling, LLC	Ulster	Central Hudson Gas and Electric	Talent Pipeline:CE and OJT, OJT HIRE	6,154
				Talent Pipeline:CE and OJT, OJT HIRE	23,594
	Green Eagle Solar VI, LLC	Ulster	Central Hudson Gas and Electric	>200KW PV, NY Sun CI Assignment	882,728
				>200KW PV, NY-Sun	884,396
	Green Hybrid Energy Solutions Inc.	Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	8,276
>200KW PV, PON 2112 NY SUN				61,248	
NYS Electric and Gas			<200KW PV, PON 2112 NY SUN	8,358	



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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Guth Deconzo Consulting Eng..	Ulster	Central Hudson Gas a..	REV Campus Challenge, RM40 - SUNY New Pal..	114,475
	Healthy Home Energy & Cons..	Westchester	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	10,880
	HK Property Monticello LLC	Sullivan	NYS Electric and Gas	Commercial New Construc, SF158447 - HK Prop..	7,355
	Hudson River Trading	Westchester	Consolidated Edison	Industrial Process Effic, Industrial Process Efficie..	313,107
	Hudson Valley Clean Energy Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	90,267
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	21,123
	IBM - East Fishkill Site	Dutchess	Central Hudson Gas a..	Technical Services, FT13000 - IBM 2455 South - ..	29,750
	Infinity Solar Systems, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	7,350
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,460
	Integral Building & Design, Inc.	Ulster	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT HIRE	9,230
	Integrity Solar Solutions, LLC	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,394
	Jones Lang LaSalle Americas, Inc.	Dutchess	Central Hudson Gas and Electric	Flexible Tech Assistance, FT12273 - IBM 2455 S..	85,979
				Real Time Enrgy Management, JLL - Multisite - R..	233,220
	Joule Capital, LLC	Westchester	Consolidated Edison	Real Time Enrgy Management, JC LLC - 97 Lake..	24,791
	Juniper Time Owner, LLC	Rockland	Orange and Rockland..	NEW CONSTRUCTION PROGRAM, NCP12321 ..	106,396
	Kasselmann Solar LLC	Putnam	NYS Electric and Gas	<200KW PV, NY-Sun	5,472
		Ulster	Central Hudson Gas and Electric	<200KW PV, NY-Sun	3,447
				<200KW PV, PON 2112 NY SUN	26,364
	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,628	
	Kilowatt Engineering, Inc.	Westchester	Consolidated Edison	Industrial Process Effic, IPE16255	25,065
				Industrial Process Effic, IPE16256	15,292
	Kinderhook AD1, LLC	Dutchess	Central Hudson Gas a.	Combined Heat and Power, CHPA - Kinderhook ..	878,428
	L&S Energy Services, Inc.	Westchester	Consolidated Edison	Industrial Process Effic, Umbrella Contract	5,229
	LaBella Associates, P.C.	Dutchess	Central Hudson Gas a.	Geothermal Incentive Program, Large-Scale GS..	1,000,000
	Libolt & Sons, Inc.	Ulster	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT HIRE	30,720
	Long Island Power Solutions	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,175
	Lower Road II LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	511,877
	Lower Road III LLC	Orange	Orange and Rockland..	>200KW PV, NY Sun	511,877
	Malcarne Contracting, Inc.	Dutchess	Central Hudson Gas a..	Talent Pipeline:CE and OJT, OJT HIRE	25,230
	Mayfair Housing, LLC	Westchester	Consolidated Edison	New Construction- Housing, 2019 LRNCP	64,400
	Metal Container Corp.	Orange	Central Hudson Gas a..	Industrial Process Effic, Industrial Process Efficie..	84,105
	Mirbeau of Rhinebeck, LLC	Dutchess	Central Hudson Gas a.	NEW CONSTRUCTION PROGRAM, NCP14036 ..	36,266
	MyPower Corp	Orange	Orange and Rockland..	>200KW PV, NY-Sun Assignment	845,093
		Ulster	Central Hudson Gas a..	>200KW PV, NY Sun CI Assignment	845,093
	Naber Electric Corp	Westchester	Consolidated Edison	>200KW PV, NY-Sun	13,584
				>200KW PV, NY-Sun	13,584
	New York State Solar Farm Inc.	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	6,804
		Orange	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,376
		Ulster	Central Hudson Gas a.	<200KW PV, PON 2112 NY SUN	35,881
	Newburgh Housing Authority	Orange	Central Hudson Gas a..	Technical Services, FT13020 - Newburgh - PON	7,500
	Nexamp Inc.	Orange	Orange and Rockland..	ESTOR:Retail Storage Incentive, Retail Storage	1,600,000
	Novel Approaches Solar Appli..	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	7,665
	NYS Office of Parks, Recreati..	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	10,323
	OnForce Solar	Rockland	Orange and Rockland..	NY-SUN, PV System @ Manhattan Beer Dis	144,203
	Pathfinder Engineers & Archit..	Ulster	Central Hudson Gas a..	Commercial New Construc, Commercial New Co..	36,524
	Pepsi-Cola Technical Operati..	Westchester	Consolidated Edison	>200KW PV, NY-Sun	141,474
	PlugPV, LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	10,304
Orange		NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,710	
			Orange and Rockland <200KW PV, NY-Sun Utilities	7,056	
Ulster		Central Hudson Gas a.	<200KW PV, PON 2112 NY SUN	8,048	
President Container Group II, ..	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	26,319	
			<200KW PV, PON 2112 NY SUN	5,072	
President Container Group II, ..	Orange	Orange and Rockland..	Industrial Process Effic, Industrial Process Efficie..	38,837	

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Mid-Hudson	Pro Custom Solar LLC	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	
			Sullivan	NYS Electric and Gas	<200KW
	Psychedelic Solar LLC	Sullivan	NYS Electric and Gas	>200KW PV, NY Sun	
		Renew Solar CS4 Fund LLC	Dutchess	Central Hudson Gas a.	>200KW
	Rural Ulster Preservation Co..	Ulster	Central Hudson Gas a..	New Construction- Housing, 2019 LRNCP	
		Siemens Industry, Inc.	Westchester	Consolidated Edison	Real Tim
	Solar Liberty Energy Systems, Inc	Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	
			Westchester	Consolidated Edison	<200KW
	South Goshen Solar LLC	Orange	Orange and Rockland	>200KW PV, NY Sun	
			Utilities	ESTOR:Retail Storage Incentive, Retail Storage	3,000,000
				NY-SUN, NY Sun	1,875,000
	Stephen Taya Property Devel..	Orange	Central Hudson Gas a..	New Construction- Housing, 2019 LRNCP	10,500
	Sun Source Technologies	Sullivan	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,268
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	26,847
	SunnyMac LLC	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	6,615
	SunPower Capital, LLC	Dutchess	Central Hudson Gas a..		
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	14,728
		Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	38,322
		Ulster	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,569
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,160
	Sunrise Solar Solutions, LLC	Westchester	Consolidated Edison	>200KW PV, PON 2112 NY SUN	544,632
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	17,705
	SunRun, Inc	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	28,069
		Orange	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	5,425
			Orange and Rockland..	<200KW PV, PON 2112 NY SUN	28,935
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	18,737
	SUNY Ulster	Ulster	Central Hudson Gas a..	Talent Pipeline:CE and OJT, PON3981 Round 4	249,700
	Tecogen	Orange	Central Hudson Gas and Electric	Combined Heat and Power, CHPA-Heritage Midd..	135,000
				Combined Heat and Power, CHPA-Meadow Hill ..	135,000
				Combined Heat and Power, CHPA-Newburgh Fr..	261,000
				Combined Heat and Power, CHPA-Temple Hill A..	135,000
	Tesla Energy Operations Inc	Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	5,292
		Westchester	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,481
	Thuesen Mechanical Corp	Dutchess	NYS Electric and Gas	Combined Heat and Power, CHPA-Silo Ridge 1.2	52,500
	Town of Marbletown	Ulster	Central Hudson Gas a..	Clean Energy Communities, Town of Marbletown	50,000
	Trane	Dutchess	Central Hudson Gas a..	Real Time Enrgy Management, Trane US Inc- M..	365,159
		Orange	Orange and Rockland..	Real Time Enrgy Management, Trane-2320 US..	264,258
	Tri State Solar Services	Rockland	Orange and Rockland Utilities	<200KW PV, NY-Sun	6,818
				<200KW PV, PON 2112 NY SUN	6,930
		Sullivan	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,216
	Trinity Heating & Air, Inc.	Orange	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	10,254
	Urban Electric Power, LLC	Rockland	Orange and Rockland..	Talent Pipeline:CE and OJT, OJT HIRE	55,360
	Vassar College	Dutchess	Central Hudson Gas a..	REV Campus Challenge, RM5 - Vassar College	8,200
	Verari Financial Services, LLC	Dutchess	Central Hudson Gas a..	Fuel Cells, Fuel cell Incentive - FC-038	862,500
		Westchester	Consolidated Edison	Fuel Cells, Fuel Cell Incentive - FC-036	1,000,000
	Vivint Solar	Dutchess	Central Hudson Gas a..	<200KW PV, PON 2112 NY SUN	8,750
		Rockland	Orange and Rockland..	<200KW PV, PON 2112 NY SUN	11,550
	Westchester	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	7,088	
Walden NY 1 LLC	Orange	Central Hudson Gas a..	>200KW PV, NY Sun CI Assignment	718,200	
Warwick Renewables, LLC	Orange	Orange and Rockland..	NY-SUN, NY Sun	472,028	
Washingtonville Solar LLC	Orange	Orange and Rockland..	>200KW PV, NY-Sun CI Payee Assignment	611,982	
President Container Group II, ..	Orange	Orange and Rockland..	Industrial Process Effic, Industrial Process Effic..	38,837	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Mid-Hudson	Wawayanda Solar LLC	Orange	Orange and Rockland Utilities	ESTOR:Retail Storage Incentive, Retail Storage	800,000	
	Wilder Balter Partners, Inc.	Westchester	Consolidated Edison	New Construction- Housing, 2019 LRNCP	274,200	
	Willdan Energy Solutions	Westchester	Consolidated Edison	Commercial Real Estate Ten, Willdan Energy - M..	15,000	
				Technical Services, FT13038 - Phelps - FTC	75,000	
<b>Total</b>					65,823,654	
Mohawk Valley	AES DE RS VIII, LLC	Fulton	National Grid	>200KW PV, NY-Sun	1,174,095	
	Alternative Power Solutions of..	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	6,185	
	AMERESCO, Inc.	Fulton	National Grid	>200KW PV, NY Sun	2,058,210	
	Apex Solar Power LLC	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	5,871	
	Arcadis of New York, Inc.	Fulton	National Grid	Flexible Tech Assistance, FT12260 - GI Joint W..	17,950	
	Beech-Nut Nutrition Company	Montgomery	National Grid	On-Site Energy Manager, OsEM37-I - Beech-Nut..	213,908	
	Bergmann Associates	Oneida	National Grid	Commercial Real Estate Ten, Bergmann Associa..	5,000	
	Borrego Solar Systems, Inc.	Fulton	National Grid	>200KW PV, NY Sun	2,339,922	
	Broadalbin-Perth CSD	Fulton	National Grid	K-12 SCHOOLS, P12GC-4_Broadalbin-Perth CS..	33,750	
	Cypress Creek Renewables L..	Fulton	National Grid	>200KW PV, NY Sun	1,200,227	
	DG New York CS, LLC	Oneida	NYS Electric and Gas	ESTOR:Retail Storage Incentive, Retail Storage	1,875,000	
	Doherty Electric, LLC	Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	15,795	
	Earth Sensitive Solutions, LLC	Oneida	National Grid	Geothermal Incentive Program, Large-Scale GS..	331,200	
	Empire Solar Solutions LLC	Otsego	National Grid	<200KW PV, PON 2112 NY SUN	5,208	
	Energy & Resource Solutions,..	Montgomery	National Grid	Technical Services, AEAP	5,637	
	ForeFront Power, LLC	Oneida	National Grid	>200KW PV, NY Sun	1,049,963	
	Fred F. Collis & Sons, Inc.	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	10,880	
	Fulton Friendship Housing De..	Fulton	National Grid	New Construction- Housing, 2019 LRNCP	58,400	
	Generate NY Community Sola..	Otsego	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,068,064	
	Hamilton College	Oneida	National Grid	REV Campus Challenge, RM31-Hamilton College	154,000	
	Herkimer Affor Jable Housing	Herkimer	National Grid	Low Rise New Construction, 2019 LRNCP	63,000	
	Kasselmann Solar LLC	Fulton	National Grid	<200KW PV, PON 2112 NY SUN	8,624	
		Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	8,750	
		Schoharie	National Grid	<200KW PV, NY-Sun	8,406	
				<200KW PV, PON 2112 NY SUN	2,880	
	Meadows Senior Living 2 L.P.	Oneida	National Grid	New Construction- Housing, 2019 LRNCP	81,200	
	Monolith Solar Associates, LLC	Montgomery	National Grid	<200KW PV, PON 2112 NY SUN	1,944	
	Munson Williams Proctor Arts ..	Oneida	National Grid	Technical Services, OSEM38-C - MWPAI	109,984	
	Next Generation Solar, LLC	Oneida	National Grid	<200KW PV, NY-Sun	8,481	
	NP Environmental LLC	Oneida	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	18,331	
	Otsego County	Otsego	NYS Electric and Gas	Flexible Tech Assistance, FT12210 - Otsego Cou..	13,750	
	Pathfinder Engineers & Archit..	Otsego	NYS Electric and Gas	Commercial New Construc, 2019 CNCP	26,258	
	Potentia Management Group ..	Oneida	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	12,154	
	Renovus Energy, Inc.	Otsego	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,119	
	Rome Housing Authority	Oneida	National Grid	Multifam Performance Pgm, Multifamily	24,900	
	SED NY Holdings	Herkimer	National Grid	REC:CES REC Contracts, SED Hills Solar	15,366,526	
		Oneida	National Grid	REC:CES REC Contracts, SED Clay Solar	15,507,594	
	Sharon Springs Village	Schoharie	National Grid	Clean Energy Communities, CEC600971 V Shar..	50,000	
	Silver Street Solar LLC	Oneida	NYS Electric and Gas	<200KW PV, NY-Sun	47,400	
	Stantec Consulting Services, I..	Oneida	National Grid	Commercial New Construc, Commercial New Co..	20,642	
	SUNY: Polytechnic Institute	Oneida	National Grid	Commercial New Construc, Comm NC Incentives..	12,932	
	Tax Credit Asset Management..	Schoharie	National Grid	New Construction- Housing, 2019 LRNCP	76,600	
	Tesla Energy Operations Inc	Oneida	National Grid	<200KW PV, PON 2112 NY SUN	3,969	
	Town of Leyden	Oneida	Municipal Utilities	Clean Energy Communities, CEC701136-Town L..	50,000	
	<b>Total</b>					43,158,709
	New York City	24-42 Bennett Avenue Corp	Queens	Consolidated Edison	>200KW PV, NY-Sun	29,230
		President Container Group II, ..	Orange	Orange and Rockland..	Industrial Process Effic, Industrial Process Effic..	38,837

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REDC Region Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City 770 Electric Corp.	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	411,180
			>200KW PV, NY-Sun	106,608
	New York	Consolidated Edison	<200KW PV, NY-Sun	23,107
			>200KW PV, NY-Sun	23,108
2050 G.C. Housing Developm..	Bronx	Consolidated Edison	New Construction- Housing, New Construction	77,600
Aeonsolar	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	11,376
Air Company Holdings, Inc.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	10,240
AKF-engineers	New York	Consolidated Edison	Commercial Real Estate Ten, AKF Engineers - M..	87,300
			Rmve Barriers Dist Enrgy Storg, FT12241-Tishm..	84,675
Albireo Energy, LLC	New York	Consolidated Edison	Real Time Enrgy Management, Albireo - 161 Willi..	99,983
			Real Time Enrgy Management, Albireo-425 E 58t..	155,000
			Real Time Enrgy Management, Albireo-Multisite-..	802,713
			Real Time Enrgy Management, ARE - 69 fifth Av..	38,412
			Real Time Enrgy Management, RXR Realty-340..	276,410
Altanova LLC	New York	Consolidated Edison	Commercial Real Estate Ten, Altanova - 195 Bro..	25,000
			Commercial Real Estate Ten, Altanova-151W42n..	34,000
Amergy Solar Inc.	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	510,822
	Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	397,632
American Solar Partners, LLC	Bronx	Consolidated Edison	<200KW PV, NY-Sun	11,375
			>200KW PV, NY-Sun	11,375
	Kings	Consolidated Edison	<200KW PV, NY-Sun	13,000
			>200KW PV, NY-Sun	13,000
	New York	Consolidated Edison	<200KW PV, NY-Sun	9,100
			>200KW PV, NY-Sun	9,100
Applied Design Initiative LLC	New York	Consolidated Edison	NYSERDA Administration	16,320
Arctic Air Mechanical Corp	New York	Consolidated Edison	NYSERDA ADMINISTRATION, HVAC for NY Off..	7,000
Astrum Solar, Inc.	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	162,430
Atash Energy, LLC	New York	Consolidated Edison	Commercial Real Estate Ten, Atash Energy - 60 ..	15,008
Atelier Ten	New York	Consolidated Edison	Commercial Real Estate Ten, Atelier Ten USA-2..	12,480
Best Energy Power	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	74,868
			>200KW PV, PON 2112 NY SUN	608,928
	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	171,912
	New York	Consolidated Edison	<200KW PV, NY-Sun	25,000
			>200KW PV, NY-Sun	56,000
			>200KW PV, PON 2112 NY SUN	65,960
Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	340,142	
Bright Power, Inc.	Bronx	Consolidated Edison	<200KW PV, NY-Sun	107,440
			>200KW PV, NY-Sun	217,044
			Real Time Enrgy Management, Bright Power -Mu..	92,883
	Kings	Consolidated Edison	<200KW PV, NY-Sun	175,265
			>200KW PV, NY-Sun	57,672
			>200KW PV, PON 2112 NY SUN	42,768
			NY-Sun	155,265
	New York	Consolidated Edison	Flexible Tech Assistance, FT12246-HamptonInn..	13,490
			Flexible Tech Assistance, FT12247-HiltonGdnTi..	15,160
			REV Campus Challenge, RM35 - NYU - Alumni ..	9,000
Queens	Consolidated Edison	Geothermal Incentive Program, FT12238-LeFrak..	20,700	
Brooklyn SolarWorks LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	19,148
	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	14,652
	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	8,658
Build Edison LLC	New York	Consolidated Edison	OTHER PROGRAM AREA, Innovation Advisors	40,000
President Container Group II, ..	Orange	Orange and Rockland..	Industrial Process Effic, Industrial Process Effic..	38,837

**Projects Selected for Funding by Region**  
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REDC Region Contractor	County	Electric Utility	Contract Description	Total Funded Amount
<b>New York City</b> Carbon Lighthouse	New York	Consolidated Edison	Real Time Enrgy Management, CL-Multisite-RTE..	800,000
CBP 441 Ninth Avenue Owner..	New York	Consolidated Edison	Commercial New Construc, SF106912 - 441 Nint..	488,362
CES Danbury Solar, LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	135,090
Citigroup Technology, Inc.	New York	Consolidated Edison	Flexible Tech Assistance, FT12294 - 390 Green..	92,500
Citistaffing, LLC	New York	Consolidated Edison	NEW YORK GREEN BANK, TS.008 - NYGB Offi..	14,500
City Parks Foundation	Bronx	Consolidated Edison	GREENING THE BRONX, Efficiency Planning & ..	92,171
Climate Change & Environmental	New York	Consolidated Edison	Commercial Real Estate Ten, CCES - 88 Pine St..	8,025
			Commercial Real Estate Ten, CCES - 110 E. 42n..	6,260
			Commercial Real Estate Ten, CCES - 801 2nd A..	8,160
			Commercial Real Estate Ten, CCES - Multisite	43,620
			Commercial Real Estate Ten, CCES - Multisite (1..	63,160
	Queens	Consolidated Edison	Commercial Real Estate Ten, CCES - Multisite	18,455
			Commercial Real Estate Ten, CCES-129-09 26th..	38,009
Code Green Solutions, Inc.	New York	Consolidated Edison	Commercial Real Estate Ten, CodeGreen - 2 Pe..	31,038
			Commercial Real Estate Ten, CodeGreen - 535 ..	5,000
			Commercial Real Estate Ten, CodeGreen-11 Ma..	5,000
			Flexible Tech Assistance, FT12269 - 1211 6th - F..	15,000
			Flexible Tech Assistance, FT12284 - 2 Penn Plaz..	26,000
Cortex Building Intelligence, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, CBI - 111 W 40th..	21,000
			Real Time Enrgy Management, CBI - 140 E 45th ..	60,697
			Real Time Enrgy Management, CBI - 441 9th Av..	29,400
			Real Time Enrgy Management, CBI - 529 5th Av..	23,660
			Real Time Enrgy Management, CBI - 600 Madiso..	5,587
			Real Time Enrgy Management, CBI - 885 2nd Av..	64,519
			Real Time Enrgy Management, CBI- 1411 Broad..	63,658
CubeSmart TRS Inc	Kings	Consolidated Edison	>200KW PV, NY-Sun	30,340
Cutone & Company Consultants, LLC	New York	Consolidated Edison	Commercial Real Estate Ten, LCA-GH Managem..	25,295
			Talent Pipeline:CE and OJT, OJT HIRE	6,400
Daroga Power LLC	Richmond	Consolidated Edison	Fuel Cells, Fuel Cell Incentive - FC-030	500,000
			Fuel Cells, Fuel Cell Incentive FC-028 IL	500,000
David Energy Systems, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, DavidEnergy-228..	23,010
Delta Connects, Inc.	Kings	Consolidated Edison	Real Time Enrgy Management, Delta - 55 Water ..	420,885
	New York	Consolidated Edison	Real Time Enrgy Management, Delta - 148 W 90 ..	37,027
Digital Energy Corp	Kings	Consolidated Edison	Energy Storage Tech/Prod Dev, PON3585 R4 En..	450,000
Digital Realty Trust	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	337,606
Dual Fuel Corp	Bronx	Consolidated Edison	Real Time Enrgy Management, DF- 819 E 173 St..	43,800
	Kings	Consolidated Edison	Real Time Enrgy Management, Dual Fuel-1710 A..	27,375
	New York	Consolidated Edison	Real Time Enrgy Management, DF - 450 W 147t..	34,800
Real Time Enrgy Management, DF - 569 W 173r..			21,900	
EME Consulting Engineering Group, LLC	New York	Consolidated Edison	Flexible Tech Assistance, FT12267 -Barnard Coll..	30,000
			Talent Pipeline:CE and OJT, OJT HIRE	57,401
Eneractive Solutions	New York	Consolidated Edison	Flexible Tech Assistance, FT12281 - Schwartz - ..	22,950
			Flexible Tech Assistance, FT12282 - Main Camp..	101,380
Energy & Resource Solutions,..	Bronx	Consolidated Edison	Industrial Process Effic, IPE16241	6,935
Energy Conservation & Suppl..	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Energy Technology Savings, I..	Queens	Consolidated Edison	Real Time Enrgy Management, ETS-90-15 Quee..	166,377
Energy Vision	Queens	Consolidated Edison	Advancing Ag Enrgy Technologie, Advancing Ag ..	878,400
Enertiv Inc.	New York	Consolidated Edison	Real Time Enrgy Management, Enertiv - 700 8th ..	8,684
			Real Time Enrgy Management, Enertiv - Multisite..	30,509
ESNY-JFK-PLDB LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	419,832
ESNY-PLD-JFKA, LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	373,716
President Container Group II, ..	Orange	Orange and Rockland..	Industrial Process Effic, Industrial Process Effic..	38,837

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City	ESNY-PLD-JFKD, LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	603,288
		New York	Consolidated Edison	NYSERDA ADMINISTRATION, Janitorial Service..	107,988
	Generate Capital Inc.	Kings	Consolidated Edison	>200KW PV, NY-Sun	1,138,548
		New York	Consolidated Edison	>200KW PV, NY-Sun	441,768
	Goldman Copeland Associates, P.C.	Queens	Consolidated Edison	<200KW PV, NY-Sun	135,864
				>200KW PV, NY-Sun	439,956
		Kings	Consolidated Edison	Commercial Real Estate Ten, GCA-60 E 42nd Fl..	5,998
				Commercial Real Estate Ten, GCA-60 E 42nd Fl..	5,998
				Commercial Real Estate Ten, GCA-SLGreen-Mul..	8,991
				Commercial Real Estate Ten, G&C Associates - ..	5,000
				Commercial Real Estate Ten, G&C Associates - ..	5,000
				Commercial Real Estate Ten, GCA - 1 Penn Plaza	22,435
				Commercial Real Estate Ten, GCA - 111 W 33rd ..	5,998
				Commercial Real Estate Ten, GCA - 111 W 33rd ..	5,998
				Commercial Real Estate Ten, GCA - 250 W 57th ..	5,997
				Commercial Real Estate Ten, GCA - 423 West 5..	5,000
				Commercial Real Estate Ten, GCA - 909 3rd Ave..	5,000
				Commercial Real Estate Ten, GCA - 909 3rd Ave..	5,000
				Commercial Real Estate Ten, GCA - 1350 Broad..	5,000
				Commercial Real Estate Ten, GCA - 1400 Broad..	9,990
		New York	Consolidated Edison	Commercial Real Estate Ten, GCA-250 W57th	5,997
				Commercial Real Estate Ten, GCA-1400 Broadw..	5,997
				Commercial Real Estate Ten, GCA-SLGreen-Mul..	115,898
				Commercial Real Estate Ten, Goldman Copela-1..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
				Commercial Real Estate Ten, Goldman Copelan..	10,997
		Commercial Real Estate Ten, Goldman-280 Park..	10,997		
		Commercial Real Estate Ten, Goldman&Copelan..	10,997		
	Commercial Real Estate Ten, Goldman&Copelan..	10,997			
	Commercial Real Estate Ten, Goldman&Copelan..	9,000			
	Rmve Barriers Dist Enrgy Storg, FT12244-1 Dag ..	11,995			
	Technical Services, AGG1005 - Goldman&Copel..	50,000			
	Technical Services, AGG1006 - GoCo - Portfolio 3	50,000			
	Technical Services, AGG1007 - GoCo - Portfolio 4	50,000			
Technical Services, FT13010 - 40 Fulton - FTC	5,496				
Technical Services, FT13011 - 350 Park - FTC	5,496				
Queens	Consolidated Edison	Commercial Real Estate Ten, GoldmanCopeland..	10,997		
		Flexible Tech Assistance, FT12275 - Cushman - ..	11,985		
Richmond	Consolidated Edison	Technical Services, FT13003 - 1466 Manor - FTC	16,488		
Grid City Electric Corp	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	6,930	
	New York	Consolidated Edison	<200KW PV, NY-Sun	8,760	
>200KW PV, NY-Sun			13,140		

**Projects Selected for Funding by Region**  
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REDC Region Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City Grid City Electric Corp	New York	Consolidated Edison	>200KW PV, PON 2112 NY SUN	22,176
	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	16,170
			>200KW PV, PON 2112 NY SUN	417,186
GridPoint, Inc	Kings	Consolidated Edison	Real Time Enrgy Management, Dos Toros - Multi..	2,963
	New York	Consolidated Edison	Real Time Enrgy Management, Dos Toros - Multi..	8,842
Group-S LLC	Kings	Consolidated Edison	Flexible Tech Assistance, FT12265 - AST Financ..	9,250
			Flexible Tech Assistance, FT12280 - 3611 14th - ..	15,500
	New York	Consolidated Edison	Real Time Enrgy Management, Group-S - 333 E ..	37,230
H.E.L.P Development Corp.	Bronx	Consolidated Edison	New Construction- Housing, 2019 MFCNP	263,505
	Kings	Consolidated Edison	New Construction- Housing, 2019 MFCNP	1,105,000
Harvest Power, LLC	Bronx	Consolidated Edison	<200KW PV, NY-Sun	212,836
			>200KW PV, NY-Sun	319,998
	Kings	Consolidated Edison	<200KW PV, NY-Sun	46,280
			>200KW PV, NY-Sun	69,420
High Hawk Owner LLC	Bronx	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, M..	43,310
Hudson HK LLC	New York	Consolidated Edison	New Construction- Housing, 2019 MFCNP	300,000
ICONICS, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, ICONICS - Multis..	48,568
	Queens	Consolidated Edison	Real Time Enrgy Management, ICONICS - Multis..	48,568
IESI NY Corporation	New York	Consolidated Edison	NYSERDA ADMINISTRATION, Trash Removal f..	7,830
IKEA	Kings	Consolidated Edison	Flexible Tech Assistance, FT12030 - IKEA Brookl..	4,755
INF Associates LLC	Kings	Consolidated Edison	Commercial Real Estate Ten, INF Associates LL..	66,912
			Commercial Real Estate Ten, INF - 299 Park Ave..	5,000
	New York	Consolidated Edison	Commercial Real Estate Ten, INF - 333 East 70t..	5,000
			Commercial Real Estate Ten, INF Associates-Mu..	50,591
			Commercial Real Estate Ten, INF-1745Broadwa..	10,000
		Commercial Real Estate Ten, INF-Multisites (134..	100,000	
InTech Energy, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, InTech - 3755 Br..	50,976
	Queens	Consolidated Edison	Real Time Enrgy Management, IE-2619 Francis ..	36,745
Jaros, Baum & Bolles	Kings	Consolidated Edison	Flexible Tech Assistance, FT12287 - 6 MetroTec..	47,388
			Commercial Real Estate Ten, JBB-80 Pine St Fl ..	15,041
	New York	Consolidated Edison	Flexible Tech Assistance, FT12274 - 80 Pine - F..	14,217
			Flexible Tech Assistance, FT12286 - 3 Times Sq..	22,250
			Technical Services, FT13001 - NYS Exchange - ..	22,250
Johnson Controls Inc.	New York	Consolidated Edison	Real Time Enrgy Management, JC-Multisite-RTE..	678,967
Jones Lang LaSalle Americas,..	New York	Consolidated Edison	Commercial Real Estate Ten, JLL Americas, Inc-..	5,000
Kamtech Restoration Corp	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	14,271
Kawi Energy Group Corp.	Bronx	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy-69 E ..	8,978
	Kings	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy Grou..	36,022
	New York	Consolidated Edison	Commercial Real Estate Ten, Kawi Energy Grou..	23,436
Kilowatt Engineering, Inc.	Kings	Consolidated Edison	Industrial Process Effic, IPE16264	18,267
			Industrial Process Effic, 2621 Umbrella Contract	6,200
	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	42,781
			Industrial Process Effic, IPE16252	28,777
			Industrial Process Effic, IPE16263	12,717
		Industrial Process Effic, IPE16265	25,000	
La Central Manager II LLC	Bronx	Consolidated Edison	New Construction- Housing, 2019 MFCNP	472,400
LastMile Energy, LLC	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	44,319
LG Broadway Management Inc	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP13138 ..	295,315
Livolt Cogen LLC	Bronx	Consolidated Edison	Combined Heat and Power, CHPA-730 E 236th St	8,616
			Combined Heat and Power, CHPA-2206 Holland ..	8,616
			Combined Heat and Power, CHPA-2418 Olinville..	8,616
			Combined Heat and Power, CHPA-4138 Barnes ..	8,616

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REDC Region Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City Livolt Cogen LLC	Kings	Consolidated Edison	Combined Heat and Power, CHPA-45 Tehama S..	8,616
			Combined Heat and Power, CHPA-1985 Ocean ..	8,616
			Combined Heat and Power, CHPA-2630 Ocean ..	8,616
MEPT 309 Fifth Avenue LLC	New York	Consolidated Edison	NEW CONSTRUCTION PROGRAM, NCP10319 ..	57,042
Morris II Apartments, LP	Bronx	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, M..	69,300
Mount Sinai Medical Center	New York	Consolidated Edison	Technical Services, OSEM34-C - Mount Sinai W..	214,000
			Technical Services, OsEM35 - Mount Sinai St Lu..	214,000
NBC Universal Media, LLC	New York	Consolidated Edison	Real Time Enrgy Management, NBC - 30 Rockef..	600,000
New York University	New York	Consolidated Edison	REV Campus Challenge, RM36-NYU-Stern Busi..	94,698
Nexant, Incorporated	Kings	Consolidated Edison	EXISTING FACILITIES, Technical Review and Pr..	1,361
Noresco LLC	New York	Consolidated Edison	Commercial New Construc, Commercial New Co..	115,525
	Richmond	Consolidated Edison	Commercial New Construc, TWO Commercial NC	10,721
North American Passive Hous..	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 WFD Ca..	248,579
NY CDG 001 LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	115,656
NY CDG 002 LLC	Bronx	Consolidated Edison	>200KW PV, NY-Sun	200,976
NY CDG 003 LLC	Richmond	Consolidated Edison	>200KW PV, NY-Sun	182,490
OnForce Solar	Bronx	Consolidated Edison	>200KW PV, NY Sun	805,344
Patriot Energy Solutions Corp	Queens	Consolidated Edison	<200KW PV, NY-Sun	12,448
Premier Solar Solutions LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	110,667
Prescriptive Data	New York	Null	Real Time Enrgy Management, PD - 300 Vesey ..	76,253
		Consolidated Edison	Real Time Enrgy Management, PD - 4 NY Plaza ..	99,999
		Consolidated Edison	Real Time Enrgy Management, PD - 40 W 57 Str..	113,069
		Consolidated Edison	Real Time Enrgy Management, Prescriptive - 133..	67,304
		Consolidated Edison	Real Time Enrgy Management, Prescriptive-630 ..	38,613
		Consolidated Edison	Real Time Enrgy Management, Prescriptive-1540..	100,000
		Consolidated Edison	Real Time Enrgy Management, PrescriptiveData-..	24,319
Pro Custom Solar LLC	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,387
Pvilion Technologies, LLC	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	20,480
Quality Installations of NY Inc.	Queens	Consolidated Edison	>200KW PV, NY Sun	27,885
Quest Energy Group	New York	Consolidated Edison	Commercial Real Estate Ten, Quest Energy - 10..	7,750
			Commercial Real Estate Ten, Quest Energy - 25..	6,500
			Commercial Real Estate Ten, Quest Energy - 62..	7,750
	Queens	Consolidated Edison	Commercial Real Estate Ten, Quest Energy - 20 ..	7,500
R3 Energy Management Audit & Review, LLC	Bronx	Consolidated Edison	Real Time Enrgy Management, CardinalHS-650 ..	25,200
	New York	Consolidated Edison	Real Time Enrgy Management, Jack Resnick-8 ..	7,200
			Real Time Enrgy Management, P Clabby-110 Ea..	10,800
			Real Time Enrgy Management, R3 - 199 Water S..	10,800
			Real Time Enrgy Management, R3 - 880 3rd Ave..	7,200
			Real Time Enrgy Management, Resnick&Sons-4..	10,800
Randstad North America, Inc.	New York	Consolidated Edison	NYSERDA ADMINISTRATION, TS.010 - Payroll ..	26,325
Ranger Sagamore Crescent O..	Queens	Consolidated Edison	MULTIFAMILY PERFORMANCE PROGRAM, As..	49,500
Research Foundation of The ..	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 Round 4	91,447
Riseboro Community Partners..	Kings	Consolidated Edison	New Construction- Housing, 2019 MFCNP	199,800
Robert Derector Associates	New York	Consolidated Edison	Commercial Real Estate Ten, RDA - 225 Liberty ..	23,700
			Commercial Real Estate Ten, RDA - 250 W 55th ..	5,000
			Commercial Real Estate Ten, RDA - 555 Madiso..	5,000
			Commercial Real Estate Ten, RDA - 1271 Avenu..	33,300
			Commercial Real Estate Ten, RDA-1114 AoA FI ..	18,750
RXR Realty LLC	New York	Consolidated Edison	Technical Services, FT13002 - RXR Realty - PON	31,600
Safari Energy LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	161,280
Sandy 350, LLC	Kings	Consolidated Edison	Multifam Performance Pgm, Multifamily	1,400
Schneider Electric Buildings	New York	Consolidated Edison	Real Time Enrgy Management, Schneider-390 M..	51,082



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New York City Schneider Electric Buildings Americas, I	New York	Consolidated Edison	Real Time Enrgy Management, SEBAI - 222 E 4..	56,461
	Queens	Consolidated Edison	Real Time Enrgy Management, SEBA - 30-19 Cr..	118,389
Sea Bright Solar, LLC	Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,692
Siemens Industry, Inc.	Kings	Consolidated Edison	Real Time Enrgy Management, Siemens Ind - M..	322,824
	New York	Consolidated Edison	Real Time Enrgy Management, Siemens Ind - M..	15,196
SJP TS, LLC	New York	Consolidated Edison	Flexible Tech Assistance, FT12252-11 Times Sq..	12,000
Smarter Grid Solutions, Inc.	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	25,600
Smith Engineering PLLC	New York	Null	Workforce Industry Partnership, PON 3715 Workf..	206,274
		Consolidated Edison	Workforce Industry Partnership, PON 3715 Workf..	510,442
Sol Ace Solar, LLC	Queens	Consolidated Edison	>200KW PV, NY-Sun	200,244
Solar Energy Systems, LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	13,824
			>200KW PV, NY-Sun	20,736
Solar Liberty Energy Systems, Inc	Bronx	Consolidated Edison	<200KW PV, NY-Sun	23,068
			>200KW PV, NY-Sun	34,602
			>200KW PV, PON 2112 NY SUN	23,430
	Kings	Consolidated Edison	>200KW PV, NY-Sun	43,700
			>200KW PV, PON 2112 NY SUN	40,986
	Queens	Consolidated Edison	<200KW PV, NY-Sun	55,768
>200KW PV, NY-Sun	88,914			
Solar One, Inc.	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	12,636
SourceOne Power Technologies, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, SourceOne - 825..	600,000
			Real Time Enrgy Management, SourceOne - Mul..	400,000
Queens	Consolidated Edison	Real Time Enrgy Management, SourceOne - Mul..	400,000	
Steven Winter Associates, Inc.	Kings	Consolidated Edison	Low Rise New Construction, SF 107580 - 211 W..	3,465
			New Construction- Housing, SF 107580 - 211 W..	2,035
	New York	Consolidated Edison	Commercial Real Estate Ten, SWA - Demand Fl..	75,070
			Talent Pipeline:CE and OJT, PON3981 Round 4	239,725
			Workforce Industry Partnership, PON 3715 Workf..	109,100
Strata Solar, LLC	Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	1,048,172
Summit Solar company LLC	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	52,392
Sumner Senior Partners LLC	Kings	Consolidated Edison	Multifam New Construction, New Construction	300,000
Sun Shelter LLC	Kings	Consolidated Edison	NEW YORK ENERGY STAR HOMES, LRNCP B..	80,000
SuNation Solar Systems, Inc.	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	13,694
SunPower Capital, LLC	Kings	Consolidated Edison	<200KW PV, PON 2112 NY SUN	11,124
	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,508
	Richmond	Consolidated Edison	<200KW PV, NY-Sun	10,328
<200KW PV, PON 2112 NY SUN			6,696	
SunRun, Inc	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,046
Sunwealth Project Pool 14 LLC	Kings	Consolidated Edison	<200KW PV, NY-Sun	21,132
			>200KW PV, NY-Sun	72,241
Switch Automation Inc.	New York	Consolidated Edison	Real Time Enrgy Management, SwitchAuto-10Hu..	354,250
T.M. Bier & Associates	New York	Consolidated Edison	Real Time Enrgy Management, TM Bier - Multisit..	313,077
			Real Time Enrgy Management, TMB&A - Multisit..	450,569
Taitem Engineering, P.C.	Queens	Consolidated Edison	Technical Services, FT13013 - Flushing Com - F..	9,965
Talva Energy	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	37,620
Tecogen	New York	Consolidated Edison	Combined Heat and Power, CHPA-9 Orchard	262,500
			Combined Heat and Power, CHPA-301 East 69th..	153,000
			Combined Heat and Power, CHPA-Masaryk Tow..	459,000
			Combined Heat and Power, CHPA-Park West Vill..	135,000
	Queens	Consolidated Edison	Combined Heat and Power, CHPA-Queens Plaz..	1,080,000
The Brooklyn Brewery Corpor..	Kings	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	16,087
Schneider Electric Buildings	New York	Consolidated Edison	Real Time Enrgy Management, Schneider-390 M..	51,082

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**Period 10/1/2019 through 3/31/2020**

REDC Region Contractor	County	Electric Utility	Contract Description	Total Funded Amount
New York City The Doe Fund Inc	Bronx	Consolidated Edison	New Construction- Housing, 2019 MFCNP	78,800
The Hartz Group, Inc.	New York	Consolidated Edison	Flexible Tech Assistance, FT12213 - Roxy Hotel ..	34,400
			Flexible Tech Assistance, FT12214 - Soho Grand..	32,800
The Hudson Companies Incor..	Kings	Consolidated Edison	New Construction- Housing, New Construction	200,000
The Union League Club of NY	New York	Consolidated Edison	Geothermal Incentive Program, FT12262 - Union..	7,810
Trane	Kings	Consolidated Edison	Real Time Enrgy Management, Trane-85 Livingst..	79,348
	New York	Consolidated Edison	Real Time Enrgy Management, Hines - 375 Huds..	10,634
			Real Time Enrgy Management, The London Hote..	156,038
			Real Time Enrgy Management, Trane - 685 3rd ..	106,560
			Real Time Enrgy Management, Trane-90 Broad..	47,670
			Real Time Enrgy Management, Trane-645 St Nic..	8,181
			Real Time Enrgy Management, Trane-1293 Broa..	12,374
Trees New York	Bronx	Consolidated Edison	GREENING THE BRONX, Efficiency Planning & ..	92,171
Trinity Real Estate	New York	Consolidated Edison	Commercial New Construc, SF106869 - 74 Trinit..	95,666
UGE USA Inc.	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	63,048
	Queens	Consolidated Edison	>200KW PV, PON 2112 NY SUN	248,640
	Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	19,703
USE ACQUISITION LLC	Kings	Consolidated Edison	Real Time Enrgy Management, USE Acq LLC - ..	9,412
	New York	Consolidated Edison	Real Time Enrgy Management, USE Acq LLC - ..	9,479
	Queens	Consolidated Edison	Real Time Enrgy Management, USE Acq LLC - ..	20,399
Utilities Program & Metering, Inc.	New York	Consolidated Edison	Real Time Enrgy Management, UPM - 11 Times ..	85,046
			Real Time Enrgy Management, utiliVisor-9 West ..	173,120
	Queens	Consolidated Edison	Real Time Enrgy Management, UPM - 56-45 Mai..	85,800
Venture Home Solar LLC	Bronx	Consolidated Edison	<200KW PV, PON 2112 NY SUN	5,025
Verari Financial Services, LLC	New York	Consolidated Edison	Fuel Cells, Fuel Cell Incentive - Mt Sinai	1,000,000
Vidaris, Inc.	Kings	Consolidated Edison	Commercial New Construc, Vidaris - EMP	10,040
	New York	Consolidated Edison	Commercial New Construc, Commercial New Co..	174,050
			Flexible Tech Assistance, FT12256 - Trinity Huds..	50,120
			Technical Services, FT13004 - 355 Lexington - F..	5,992
Vital Brookdale LLC	Kings	Consolidated Edison	New Construction- Housing, 2019 MFCNP	300,000
Voltaic Solaire LLC	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	10,880
WB Engineering & Consulting PLLC	New York	Consolidated Edison	Commercial Real Estate Ten, WB Eng+Con - 12..	37,675
			Commercial Real Estate Ten, WB Engine-61 9th..	18,750
			Commercial Real Estate Ten, WB Engineering - ..	67,750
			Commercial Real Estate Ten, WBE 510 Madison ..	12,925
Weill Medical College at Corn..	New York	Consolidated Edison	REV Campus Challenge, RM46 - Weill Cornell - ..	58,484
Willdan Energy Solutions	Bronx	Consolidated Edison	Commercial Real Estate Ten, Willdan Energy - M..	39,900
			Industrial Process Effic, IPE16224	13,719
			Rmve Barriers Dist Enrgy Storg, FT12283 - 1250 ..	60,030
	Kings	Consolidated Edison	Real Time Enrgy Management, Assignment of A..	21,000
	New York	Consolidated Edison	Industrial Process Effic, Industrial Process Effic..	34,940
			Industrial Process Effic, IPE16234	32,821
			Industrial Process Effic, IPE16240	25,263
			Industrial Process Effic, Technical Review and Pr..	2,733
Willdan Lighting & Electric, Inc.	Kings	Consolidated Edison	Talent Pipeline:CE and OJT, PON3981 Round 3	250,000
	New York	Consolidated Edison	Talent Pipeline:CE and OJT, OJT HIRE	5,400
William Reynolds	Bronx	Consolidated Edison	>200KW PV, PON 2112 NY SUN	52,080
	Queens	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,227
	Richmond	Consolidated Edison	>200KW PV, PON 2112 NY SUN	5,694
You Save Green Incorporated	Kings	Consolidated Edison	>200KW PV, PON 2112 NY SUN	483,840
	Richmond	Consolidated Edison	<200KW PV, PON 2112 NY SUN	7,500
Schneider Electric Buildings	New York	Consolidated Edison	Real Time Enrgy Management, Schneider-390 M..	51,082

**Projects Selected for Funding by Region**  
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REDC Region Contractor	County	Electric Utility	Contract Description	Total Funded Amount
<b>New York City</b> ZBF Geothermal LLC	Kings	Consolidated Edison	Large-Scale GSHP Rebate	280,248
<b>Total</b>				40,009,223
<b>North Country</b> Accelerate Solar LLC	Clinton	NYS Electric and Gas	<200KW PV, NY-Sun	8,700
Adam C. Boese	Lewis	National Grid	Technical Services, AEAP	6,000
Alternative Power Solutions of..	St. Lawrence	National Grid	<200KW PV, PON 2112 NY SUN	5,642
AMERESCO, Inc.	Jefferson	National Grid	>200KW PV, NY Sun	1,372,488
AMP US HoldCo Inc	St. Lawrence	National Grid	>200KW PV, NY SUN C&I	1,310,400
AMP US HoldCo Inc.	Jefferson	National Grid	>200KW PV, NY Sun	413,977
	St. Lawrence	National Grid	>200KW PV, NY Sun	3,270,120
Apex Solar Power LLC	Clinton	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,488
	Essex	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,765
	Franklin	National Grid	<200KW PV, PON 2112 NY SUN	7,686
	St. Lawrence	National Grid	<200KW PV, PON 2112 NY SUN	6,192
Bergmann Associates	Jefferson	National Grid	Commercial Real Estate Ten, Bergmann Associa..	2,112
Convergent Energy and Powe..	Jefferson	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	8,625,000
Delaware River Solar, LLC	Clinton	NYS Electric and Gas	>200KW PV, NY Sun CI Payee Assignment	1,108,080
			>200KW PV, NYSun CI Assignment	1,006,020
Dillon Klepetar	Essex	NYS Electric and Gas	Advancing Ag Enrgy Technologie, Advancing Ag ..	28,864
Erdman Anthony & Associates, Inc.	Franklin	National Grid	Commercial New Construc, Commerical New Co..	33,962
	Jefferson	National Grid	Technical Services, AEAP	6,000
Fourth Coast, Inc.	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	32,918
	St. Lawrence	National Grid	<200KW PV, PON 2112 NY SUN	66,623
Franklin, County of	Franklin	National Grid	Clean Energy Communities, CEC711060 - Frankl..	150,000
Frederick A Proven	Jefferson	National Grid	<200KW PV, PON 2112 NY SUN	26,298
Green Volt Solutions LLC	Lewis	National Grid	<200KW PV, PON 2112 NY SUN	14,040
Heat Keepers, Inc.	Essex	National Grid	Talent Pipeline:CE and OJT, OJT HIRE	10,240
			Talent Pipeline:CE and OJT, OJT HIRE JEROR	5,120
Helix Partners, LLC	Jefferson	National Grid	Industrial Process Effic, Industrial Process Efficie..	236,950
High Peaks Solar	Essex	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,850
L&S Energy Services, Inc.	Franklin	National Grid	REV Campus Challenge, RM43 - Paul Smith's C..	52,590
Nexamp Inc.	Jefferson	National Grid	>200KW PV, NY Sun	1,714,070
North Side Energy Center, LL..	St. Lawrence	National Grid	REC:CES REC Contracts, CESRFP1_Tier 1 RE..	176,084,277
Northbrook Lyons Falls, LLC	Lewis	National Grid	REC:CES REC Contracts, Large-Scale Renewab..	996,606
NYS Olympic Regional Devel..	Essex	NYS Electric and Gas	Industrial Process Effic, Industrial Process Efficie..	16,759
OYA ROBINSON ROAD LLC	Jefferson	National Grid	>200KW PV, NY Sun	1,270,441
Paradise Ener gy Solutions, LL..	Lewis	National Grid	<200KW PV, PON 2112 NY SUN	7,722
Saranac Lake Community Sol..	Franklin	National Grid	>200KW PV, NY-Sun C&I	503,010
Skylands Renewable Energy, ..	St. Lawrence	National Grid	Small Wind, Wind Turbine Incentive	30,250
Solitude Solar LLC	Jefferson	National Grid	>200KW PV, NY Sun	2,475,200
Storke, LLC	St. Lawrence	National Grid	Small Wind, Wind Turbine Incentive	32,214
Town of Waddington	St. Lawrence	National Grid	Clean Energy Communities, CEC701153-Town ..	50,000
Trane	Jefferson	National Grid	Real Time Enrgy Management, Trane-215 S Bro..	106,975
	St. Lawrence	National Grid	Real Time Enrgy Management, Trane - 334 Co R..	191,637
Triangle Electrical Systems, In..	Clinton	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,460
Vecino Group New York, LLC	St. Lawrence	National Grid	New Construction- Housing, 2019 MFCNP	55,400
Xzerta Energy Group LLC	Clinton	NYS Electric and Gas	>200KW PV, NY Sun	2,114,100
<b>Total</b>				203,477,245
<b>Southern Tier</b> 323T LLC	Tompkins	NYS Electric and Gas	Low Rise New Construction, 2019 LRNCP	25,600
Abundant Solar Power Inc.	Steuben	NYS Electric and Gas	>200KW PV, NY Sun	1,407,672
Barton & Loguidice, D. P.C.	Broome	NYS Electric and Gas	Flexible Tech Assistance, FT12263 - Chenango ..	5,959
Bashing Panels LLC	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,597
Schneider Electric Buildings	New York	Consolidated Edison	Real Time Enrgy Management, Schneider-390 M..	51,082

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Southern Tier	Cayuga Country Homes	Tompkins	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	6,800
	Chenango 1 Solar, LLC	Broome	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,737,513
	Corelle Brands LLC	Steuben	NYS Electric and Gas	INDUSTRIAL PROCESS EFFICIENCY, Industria..	254,938
	Cornell University	Tompkins	NYS Electric and Gas	Advancing Ag Enrgy Technologie, Advancing Ag ..	1,000,000
				Industrial Process Effic, Industrial Process Efficie..	49,445
				REV Campus Challenge, RM30A - Cornell Unive..	9,692
	Delaware River Solar, LLC	Chenango	NYS Electric and Gas	>200KW PV, NY Sun CI Payee Assignment	902,880
		Schuyler	Municipal Utilities	>200KW PV, NY Sun	488,376
				>200KW PV, NY Sun CI Payee Assignment	1,023,840
		Tioga	NYS Electric and Gas	>200KW PV, NY-Sun C&I	1,378,944
	Tompkins	NYS Electric and Gas	>200KW PV, NY-Sun CI Assignment	330,654	
	DG New York CS, LLC	Chenango	NYS Electric and Gas	>200KW PV, NY Sun	1,275,000
				ESTOR:Retail Storage Incentive, Retail Storage	3,000,000
	Doherty Electric, LLC	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,190
	DRYDEN-TOMPKINS SOLAR..	Tompkins	NYS Electric and Gas	>200KW PV, NY-Sun C&I	2,510,123
	Earth Sensitive Solutions, LLC	Tompkins	NYS Electric and Gas	Geothermal Incentive Program, Large-Scale GS..	256,200
	Extraterrestrial Materials Inc.	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	18,807
		Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,544
		Tioga	NYS Electric and Gas	<200KW PV, NY-Sun	5,494
				<200KW PV, PON 2112 NY SUN	12,214
	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	48,144	
	First Ward Action Council, Inc.	Broome	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	27,000
	George E Denmark II	Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	14,123
	Halcyon, Inc.	Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,040
	Home Leasing, LLC	Tioga	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	82,800
	Housing Visions Consultants, Inc.	Broome	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	56,600
		Chemung	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	21,000
	Huron Real Estate Associates..	Broome	NYS Electric and Gas	On-Site Energy Manager, OsEM5-I Huron Camp..	4,429
	LaBella Associates, P.C.	Steuben	Municipal Utilities	Flexible Tech Assistance, FT12278 - 3 Pultney - ..	60,000
		Tompkins	NYS Electric and Gas	Rmve Barriers Dist Enrgy Storg, FT12257 - Tom..	9,631
	Lakeview Mental Health Servi..	Tompkins	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	56,000
	Lodestar Energy	Schuyler	NYS Electric and Gas	>200KW PV, NY Sun	1,275,000
		Tioga	NYS Electric and Gas	>200KW PV, NY Sun	1,952,137
	M/E Engineering, P.C.	Tompkins	NYS Electric and Gas	Commercial Real Estate Ten, M/E Eng- 720 War..	5,000
				Flexible Tech Assistance, FT12268 - PRI - FTC	5,214
	Maifly Development LLC	Tompkins	NYS Electric and Gas	Low Rise New Construction, 2019 LRNCP	23,900
	Maine-Endwell Central School..	Broome	NYS Electric and Gas	>200KW PV, NY Sun	680,192
	Micatu, Inc.	Chemung	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	28,160
	National Solar Technologies	Delaware	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	19,872
	NY BIG FLATS I, LLC	Chemung	NYS Electric and Gas	>200KW PV, NY Sun C&I	3,845,031
	NY Dryden I, LLC	Tompkins	NYS Electric and Gas	>200KW PV, NY Sun c&I	1,281,677
	NY Horseheads I, LLC	Chemung	NYS Electric and Gas	>200KW PV, NY Sun c&I	1,281,677
	NY Horseheads II, LLC	Chemung	NYS Electric and Gas	>200KW PV, NY Sun C&I	1,281,677
	NY Newfield IV, LLC	Tompkins	NYS Electric and Gas	>200KW PV, Assignment Agreement	2,422,665
				>200KW PV, NY Sun C&I	1,211,332
	O'Brien & Gere Engineers, Inc.	Tompkins	NYS Electric and Gas	New Construction- Commercial, TWO PON 3943..	175,000
	O'Connell Electric Company	Chenango	NYS Electric and Gas	ESTOR:Retail Storage Incentive, Retail Storage	84,000
Perdita Flats Development, LL..	Tompkins	NYS Electric and Gas	Low Rise New Construction, 2019 LRNCP	6,400	
Prowind Renewables Inc.	Steuben	NYS Electric and Gas	>200KW PV, NY Sun	1,233,792	
QwikSolar, LLC	Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,750	
Renovus Energy, Inc.	Chemung	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	153,698	
	Chenango	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,072	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount	
Southern Tier	Renovus Energy, Inc.	Schuyler	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	13,909	
		Steuben	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	153,698	
		Tioga	NYS Electric and Gas	<200KW PV, NY-Sun	7,728	
				<200KW PV, PON 2112 NY SUN	6,521	
		Tompkins	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	24,460	
	Saturn Power Corporation	Chenango	NYS Electric and Gas	>200KW PV, NY Sun	1,330,560	
	SEPP, Inc.	Broome	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	25,000	
	Setty & Associates, Ltd. PC	Delaware	NYS Electric and Gas	Commercial New Construc, Commerical New Co..	20,696	
	Siemens Industry, Inc.	Chemung	NYS Electric and Gas	Real Time Enrgy Management, Siemens - Multisi..	576,177	
	Slaterville Springs Real Estate..	Tompkins	NYS Electric and Gas	Commercial New Construc, Commercial New Co..	7,425	
	Snug Planet, LLC	Tompkins	NYS Electric and Gas	Talent Pipeline:CE and OJT, OJT HIRE	32,320	
	Solar Liberty Energy Systems,...	Broome	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	8,631	
	Solar Village Company LLC	Tompkins	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	215,000	
	SOLSTICE INITIATIVE, INC.	Tompkins	NYS Electric and Gas	NY-SUN, CDG in Southern Tier	128,130	
	Sustainable Comfort, Inc	Tompkins	NYS Electric and Gas	New Construction- Housing, SF183758-46 South..	9,200	
	Taitem Engineering, P.C.	Tompkins	NYS Electric and Gas	Commercial New Construc, Commercial New Co..	48,651	
				Technical Services, AEAP	5,962	
	Town Of Hornellsville	Steuben	NYS Electric and Gas	Clean Energy Communities, CEC001379 Town o..	50,000	
	Town of Meredith	Delaware	NYS Electric and Gas	Clean Energy Communities, CEC001328 - Town ..	50,000	
	Town of Veteran	Chemung	NYS Electric and Gas	Clean Energy Communities, CEC001367 - Town ..	50,000	
	Town of Windsor	Broome	NYS Electric and Gas	Clean Energy Communities, Town of Windsor	50,000	
	Two Plus Four Construction C..	Broome	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	41,000	
	Xzerta Energy Group LLC	Schuyler	Municipal Utilities	>200KW PV, NY Sun	1,023,840	
		<b>Total</b>				37,113,403
	Statewide	AAF Rye Hotel LLC	STATEWIDE	Statewide	Environmental Research, 2020 State of the Scien..	50,000
		Abakama LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Innovation Advisory ..	75,000
Accion Group, LLC		STATEWIDE	Statewide	REC:CES REC System Dev Costs, RFP 4146 LS..	440,000	
ACEEEE		STATEWIDE	Statewide	Prof & Expert Engagement, 2020 ACEEEE Memb..	10,000	
Adam Hinge		STATEWIDE	Statewide	CI Carbon Challenge, CI Carbon Challenge_Emp..	200,000	
ADM Associates, Inc.,		STATEWIDE	Statewide	Air Source Heat Pumps, Performance Monitoring..	22,500	
				EVALUATION, Performance Monitoring and Eva	5,000	
				Geothermal Incentive Program, Performance Mo..	22,500	
AES DE HOLDINGS VI, LLC		STATEWIDE	Statewide	NY Green Bank, AES - Project Aurora	50,000,000	
AIA New York State		STATEWIDE	Statewide	New Construction- Commercial, New Construction	4,000	
				New Construction- Housing, New Construction	16,000	
Akimeka, LLC		STATEWIDE	Statewide	OTHER PROGRAM AREA, TWO#2 Resilience A..	50,000	
Alliance for Sustainable Energ..		STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 1 - 100% Carbon-fre..	100,000	
American Council for an Ener..		STATEWIDE	Statewide	Subscription/Data Access, Market Insights	70,000	
AMPLY Power Inc.		STATEWIDE	Statewide	Novel Bus Models & Offers, Fleet Charging as a ..	498,565	
Apprise, Incorporated		STATEWIDE	Statewide	Air Source Heat Pumps, TWO #3 - Survey Work	17,642	
				EVALUATION, TWO #3 - Survey Work	3,920	
				Geothermal Incentive Program, TWO #3 - Survey..	17,642	
APX Inc.		STATEWIDE	Statewide	REC:CES REC System Dev Costs, NYGATS	75,000	
				ZEC:CES ZEC System Dev Costs, NYGATS	150,000	
Aramark Services Inc.		STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, OSW Tech and Tra..	885	
				OREC: Technical Support, OSW Tech and Traini..	5,500	
Arcadis U.S., Inc.		STATEWIDE	Statewide	Advancing Ag Enrgy Technologie, AAET Tech R..	5,000	
Arch Street Communications, ..		STATEWIDE	Statewide	Clean Energy Communities, Marketing Support f..	63,000	
Autronic Plastics, Inc.		STATEWIDE	Statewide	Pub Transit & Elect Rail, Wireless Transit Lighting	142,000	
AVSC Holdings Corporation		STATEWIDE	Statewide	Buildings of Excellence, 2019 BOE Awards Cere..	22,914	
BDO USA LLP	STATEWIDE	Statewide	Background Investigation Servi	6,900		
Bergmann Associates	STATEWIDE	Statewide	Flexible Tech Assistance, Bergmann Tech Revie..	57,098		

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Bergmann Associates	STATEWIDE	Statewide	K-12 SCHOOLS, Bergmann Tech Review TWO	20,617
				REV Campus Challenge, Bergmann Tech Revie..	108,000
				Technical Services, Bergmann Tech Review TWO	68,534
	Bigwood Systems Inc	STATEWIDE	Statewide	High Performing Grid, PON4074 High Perfrm Gri..	285,000
	BioDiversity Research Institute	STATEWIDE	Statewide	Environmental Research, ENV & Fisheries Rsrch..	490,145
				OREC: Technical Support, BRI TWO1 ETWG Su..	338,483
	Black Women Talk Tech Inc	STATEWIDE	Statewide	OTHER PROGRAM AREA, Black Women Talk T..	25,000
	BLIX Consultancy BV	STATEWIDE	Statewide	Environmental Research, GG Procurement Supp..	33,758
	BQ Energy Development, LLC	STATEWIDE	Statewide	NY Green Bank, BQ Energy - Corporate	10,000,000
	Brattle Group Inc.	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, TWO #4 Large ..	219,000
				Mkt Char: Tech Assist, TWO #1 Resource Adequ..	327,000
				REC:CES REC System Dev Costs, TWO 5 LSR ..	350,000
				REC:CES REC System Dev Costs, TWO #4 Larg..	370,000
	Brazen Global Inc	STATEWIDE	Statewide	Cleantech ICC Engage, Peer Groups Software	33,885
	Bright Power, Inc.	STATEWIDE	Statewide	Combined Heat and Power, Tri-tech Feasibility & ..	50,000
				Real Time Enrgy Management, RTEM Gas Mini-..	374,975
	BTMI Engineering, PC	STATEWIDE	Statewide	OREC: Technical Support, Large-Scale Renewa..	10,000
	Buckeye Terminals, LLC	STATEWIDE	Statewide	FUEL NY, Upstate NY Strategic Fuels Res	2,686,000
	Buffalo Renewables, Inc.	STATEWIDE	Statewide	Small Wind, WWind Turbine Incentive	87,150
	C-Action LLC	STATEWIDE	Statewide	Air Source Heat Pumps, Contract with Tauris Te..	50,000
	C.J. Brown Energy, P.C.	STATEWIDE	Statewide	Advancing Ag Enrgy Technologie, AAET - Tech ..	9,320
	Capital for Communities, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank	25,000
	Caroline Hazard	STATEWIDE	Statewide	NYCH: Comfort Home, Heat Pump Ready Partici..	50,000
	CEC Stuyvesant Cove, Inc.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON3981 WFD Ca..	4,896
	Center for Sustainable Energy	STATEWIDE	Statewide	OTHER PROGRAM AREA, Centralized Services..	149,219
	CHA Consulting Inc.	STATEWIDE	Statewide	Flexible Tech Assistance, FT12295 - HVCC - CHP	147,270
				On-Site Energy Manager, Outreach Support	75,000
	Christopher Alan Hunter	STATEWIDE	Statewide	Green Bank	50,000
	Citadel SPV LLC	STATEWIDE	Statewide	Executed Services Agreement	80,000
				Green Bank	52,500
	Citigroup Technology, Inc.	STATEWIDE	Statewide	EXISTING FACILITIES, DMP Bonus - EFP2465 -..	555,598
	Citistaffing, LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, TS.008 - NYGB Offi..	3,867
	City of Rochester	STATEWIDE	Statewide	Electric Vehicles - Innovation, City of Rochester ..	310,000
	Clarkson University	STATEWIDE	Statewide	High Performing Grid, Offshore Wind Interconn S..	400,000
	Clean Energy States Alliance	STATEWIDE	Statewide	Community RH&C, Contract with CESA for CH&..	17,000
	Clean Power Research	STATEWIDE	Statewide	Electric Vehicles - Innovation, 2020 WattPlan lice..	18,000
	CleanFiber LLC	STATEWIDE	Statewide	76 West, 76West Clean Energy Bus. Comp	250,000
	CLEAResult Consulting, Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	2,331
				Centralized Services & Support	520,975
				EMPOWER NY, Centralized Services & Support	2,331
				EMPOWER NY, Technical Support SFR	20,000
				GJGNY Market Rate Audits, TWO #13 - SFR	641,274
				Healthy Homes VB Payment Pilot, Centralized S..	20,000
				Healthy Homes VB Payment Pilot, Technical Sup..	40,000
				Home Energy Ratings, TWO #13 - SFR	180,319
				Home Perf w Energy Star, Centralized Services ..	1,304,575
				Home Perf w Energy Star, Technical Support SFR	2,349,405
				Home Perf w Energy Star, TWO #13 - SFR	5,000
				HOME PERFORMANCE WITH ENERGY STAR, ..	1,065
				Multifam Performance Pgm, Centralized Services..	123,118
				Technical Support SFR	806,525
				Bergmann Associates	STATEWIDE

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Columbia University	STATEWIDE	Statewide	Environmental Research, Climate Info Needs As..	49,910
				OTHER PROGRAM AREA, On-Site Power	649,281
	Commercial Investigations LLC	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Background Che..	10,000
	Community Preservation Corp.	STATEWIDE	Statewide	New Construction- Housing, Carbon Neutral Sum..	35,000
	Consensus Building Institute, I..	STATEWIDE	Statewide	REC:CES REC System Dev Costs, Large-Scale ..	49,884
	Consortium for Energy Efficiency, Inc.	STATEWIDE	Statewide	Consumer Ed and Market Support, CEE Lighting ..	12,000
				EVALUATION, 2019 NYS Consumer Awrns Stu..	5,080
	Consumerbase LLC	STATEWIDE	Statewide	Eval MCDC Cross Cutting, Email Addresses for ..	14,177
	Converge Strategies, LLC	STATEWIDE	Statewide	High Performing Grid, Climate Resilience	49,129
				High Performing Grid, FutureGrid Summit Facilita..	48,800
	CopperTree Analytics Ltd	STATEWIDE	Statewide	Real Time Enrgy Management, RTEM Gas Mini-..	535,924
	Corelogic, Inc.	STATEWIDE	Statewide	Informat. Products & Brokering, RFQL 3711 Cor..	132,405
	Cornell Cooperative Extension..	STATEWIDE	Statewide	OTHER PROGRAM AREA, CEEP Southern Tier ..	150,000
	Cornell University	STATEWIDE	Statewide	OTHER PROGRAM AREA, 76West TWO 31	85,637
				OTHER PROGRAM AREA, 2019 Cornell Sponso..	5,000
				OTHER PROGRAM AREA, 70333 TWO 32	905,999
	Cornerstone Energy Services	STATEWIDE	Statewide	Renewable Heat NY, Cornerstone - Meissner	23,310
				Renewable Heat NY, Cornerstone - Monks-Kelly	15,750
				Renewable Heat NY, Cornerstone - Sullivan	7,000
	CTG:I LLC	STATEWIDE	Statewide	OTHER PROGRAM AREA, CTG i3Connect subs..	8,925
	D.K. & S Enterprises Inc	STATEWIDE	Statewide	NY-SUN, 2019 2GW Solar Press Event	14,915
	Darling Advertising Agency Inc.	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, Marketing Supp ort f..	158,677
	Davis Polk & Wardwell LLP	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank Outside..	7,540
	DealCloud Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, DealCloud Licensing	2,355
	DIBD NYC Inc.	STATEWIDE	Statewide	Cleantech ICC Engage, Circular City Week Spon..	10,000
				OTHER PROGRAM AREA, 2019 Climate Leader..	6,346
	DiLernia Marine Services, Inc	STATEWIDE	Statewide	OREC: Technical Support, OSW Fisheries Liaison	300,000
	DNV GL Energy Insights USA Inc.	STATEWIDE	Statewide	Clean Energy Communities, TWO 9 - CEC	727,961
				Commercial Real Estate Ten, TWO 8 CEF Com..	112,777
				ENERGY ANALYSIS, TWO#1 OSW Resource Pl..	300,000
				EVALUATION, RFQ 3183 KEMA, Inc	24,342
				EVALUATION, TWO 7 - T&MD 2014-18 Impact Ev	16,597
				K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	122,277
				OREC: Technical Support, TWO#1 OSW Resour..	500,000
	REV Campus Challenge, TWO 8 CEF Comm Im..	137,946			
	DNV GL Energy USA, Inc.	STATEWIDE	Statewide	High Performing Grid, Backfeed Control Test ng	300,000
	Dollaride, Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	98,130
	Dowd-Witbeck Printing Corp.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Printing and maili..	11,848
	Dynamo Energy Hub	STATEWIDE	Statewide	Cleantech ICC Engage, support the growth of the..	50,000
	E Source Companies LLC	STATEWIDE	Statewide	Subscription/Data Access, Market Insights	63,000
	Eastern Research Group, Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #1 CLCPA GHG	254,142
	EC Infosystems, Inc.	STATEWIDE	Statewide	EDI Vendor, EC Infosys - EDI Processing	181,300
	Ecology & Environment, Inc.	STATEWIDE	Statewide	Environmental Research, ENV & Fisheries Rsrch..	500,000
	Ecology and Environment Engineering	STATEWIDE	Statewide	OREC: Technical Support, TWO#19 SEIS fo CL..	172,241
				REC:CES REC System Dev Costs, TWO#19 SEI..	73,817
	Ecosave, Inc.	STATEWIDE	Statewide	Real Time Enrgy Management, RTEM Gas Mini-..	750,000
	Eden Devco Borrower, LLC	STATEWIDE	Statewide	NY Green Bank, EdenDevco	2,500,000
NY Green Bank, EdenDevco Upsize				1,800,000	
Edison Energy, LLC	STATEWIDE	Statewide	K-12 SCHOOLS, FlexTech Consultant Selection	502,175	
Electric Power Research Instit..	STATEWIDE	Statewide	Environmental Research, Energy Related Air Qu..	42,000	
Embterec USA, LLC	STATEWIDE	Statewide	Market Tests, Purchase 390 Tier 2 APS	15,207	
Bergmann Associates	STATEWIDE	Statewide	Flexible Tech Assistance, Bergmann Tech Revie..	57,098	

**Projects Selected for Funding by Region**  
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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Energetic Insurance, Inc.	STATEWIDE	Statewide	Novel Bus Models & Offers, 3932 R 2 Novel Busi..	500,000
				Air Source Heat Pumps, TWO 6 - Performance M..	508,018
				Campus/Technical Assistance, Concierge Servic..	50,000
				Commercial Real Estate Ten, Efficiency Planning..	100,000
				Commercial Real Estate Ten, TWO 5 CEF Com..	255,211
				Electric Vehicles - Innovation, Concierge Service..	25,000
				EVALUATION, TWO 6 - Performance Monitoring	112,893
				EXISTING FACILITIES, Technical Review and Pr..	2,808
				Geothermal Incentive Program, TWO 6 - Perform..	508,018
				Industrial Process Effic, Concierge Services - ER..	25,000
				K-12 SCHOOLS, TWO 5 CEF Comm Impact_ERS	301
				Multifam Performance Pgm, Concierge Services ..	25,000
				On-Site Energy Manager, Concierge Services - E..	25,000
				On-Site Energy Manager, Industrial & Agriculture	75,000
				Real Time Enrgy Management, Concierge Servic..	50,000
				REV Campus Challenge, Efficiency Planning & E..	230,000
				REV Campus Challenge, TWO 5 CEF Comm Im..	168,488
				Rmve Barriers Dist Enrgy Storg, FT Energy Stora..	25,000
				Technical Services, Cannabis - TWO - ERS	50,000
				Technical Services, Concierge Services - ERS - ..	50,000
				Energy and Environmental Economics Inc.	STATEWIDE
	ENERGY ANALYSIS, TWO#21 - NG Avoided Co..	150,000			
	ENERGY ANALYSIS, TWO#22 Bldg. Elec. Road..	250,000			
	EVALUATION, TWO #17 Heat Pump Analysis	50,000			
	Mkt Char: Tech Assist, TWO# 14 - Grid Value Mo..	41,000			
	New Construction- Commercial, TWO 20 NZE R..	50,000			
	New Construction- Housing, TWO 20 NZE Road ..	50,000			
	OTHER PROGRAM AREA, 101127 TWO#14	80,000			
	REC:CES REC System Dev Costs, 101127 TWO..	100,000			
	Energy Improvement Corporat..	STATEWIDE	Statewide	Clean Energy Communities, EIC PACE financin..	2,690,000
	Ensava, Inc.	STATEWIDE	Statewide	Technical Services, Agricultural Best Practices	148,398
	ESS Group, Inc.	STATEWIDE	Statewide	Off-Shore Wind Pre-Dev Act, TWO3 GG Review	13,104
	Essense Partners Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, Marketing Support ..	550,000
				OTHER PROGRAM AREA, Marketing Support fo..	387,500
	Faraday, Inc.	STATEWIDE	Statewide	Community RH&C, RFP3761 Customer Targetin..	170,000
				Informat. Products & Brokering, RFP3761 Custo..	30,000
	Federated Conservationists of..	STATEWIDE	Statewide	OREC: Technical Support, West. Youth Climate ..	5,000
	First Republic Corp of America	STATEWIDE	Statewide	Home Perf w Energy Star, 2019 NY Res Home R..	1,185
	Frontier Energy, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, TWO - ASHP Pro Forma	47,000
				ENERGY ANALYSIS, TWO - Heat Pump Analysis	49,750
				Geothermal Incentive Program, Technical Revie..	48,000
K-12 SCHOOLS, P12GC- Tech Support - Frontier				49,000	
G.W. Ehrhart, Inc.	STATEWIDE	Statewide	Renewable Heat NY, Ehrhart - Bass	21,000	
			Renewable Heat NY, Ehrhart - Redman	21,000	
GDS Associates, Inc.	STATEWIDE	Statewide	Technical Services, Agricultural Best Practices	95,547	
General Electric International, ..	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO 2 2019 T&D Reliabili..	49,900	
Generate PPL SPV I, LLC	STATEWIDE	Statewide	NY Green Bank, Generate Capital - 2	35,000,000	
Georgetown Climate Center	STATEWIDE	Statewide	ENERGY ANALYSIS, TCI cap-and-invest analysis	250,000	
Glenwood Management Corp	STATEWIDE	Statewide	EXISTING FACILITIES, DMP Bonus - EFP2308 -..	203,196	
Global Change Associates Inc.	STATEWIDE	Statewide	Cleantech ICC Engage, 2020 Wall Street Green ..	5,000	
GreenBiz Group, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Verge 2019	7,500	
Greentech Media Inc.	STATEWIDE	Statewide	NY-SUN, NY-Sun	26,000	



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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Guidehouse Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, TWO #1 - Price For..	250,000
				NEW YORK GREEN BANK, TWO #2 - Bulk Stor..	45,000
	HALO Branded Solutions, Inc.	STATEWIDE	Statewide	POLICY DEVELOPMENT, DPS 2019 NYS Fair g..	60,336
	Harris Wiltshire & Grannis LLP	STATEWIDE	Statewide	OREC: Technical Support, RFP3776 Outside Co..	220,000
				REC:CES REC System Dev Costs, 2020 RES A..	49,950
				REC:CES REC System Dev Costs, CES 2.0 Sup..	250,000
				Rmve Barriers Dist Enrgy Storg, Cluster Study T..	6,000
	Health Research, Inc.	STATEWIDE	Statewide	Healthy Homes VB Payment Pilot, NYS HH VBP ..	2,943,654
	Highland DG LLC	STATEWIDE	Statewide	ESTOR:Bulk Storage Incentive, Bulk Storage Inc..	9,900,000
	Holland & Knight LLP	STATEWIDE	Statewide	Commercial Real Estate Ten, Green Bank Outsid..	33,727
				Green Bank Outside Legal Serv.	150,000
				NEW YORK GREEN BANK, Green Bank Outside..	141,284
				NEW YORK GREEN BANK, RFP 12 - NYGB Leg..	44,373
				RFP 12 - NYGB Legal Services	81,335
	Honeywell International Inc.	STATEWIDE	Statewide	Healthy Homes VB Payment Pilot, Technical Ass..	20,000
				NYCH: Comfort Home, Technical Assurance	28,000
	Houlihan Lokey Financial Advi..	STATEWIDE	Statewide	Green Bank	25,000
	HUB Controls USA Inc	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	47,605
	ICE Data, LP	STATEWIDE	Statewide	ENERGY ANALYSIS, Data & Markets	20,220
	ICF Resources, LLC	STATEWIDE	Statewide	Campus/Technical Assistance, Natural Gas Cons..	464,663
				Combined Heat and Power, TWO #5 - RNG Pote..	156,863
				ENERGY ANALYSIS, RFQL 3685 - Flexergy 3.0	150,000
				ENERGY ANALYSIS, Tech Assist, REV Pool	60,000
				ENERGY ANALYSIS, TWO #4 - Statewide NG S..	300,000
				Environmental Research, TWO #5 - RNG Potenti..	39,216
				OREC: Technical Support, Tech Assist, REV Pool	60,000
	IHS Global Inc.	STATEWIDE	Statewide	ENERGY ANALYSIS, PointLogic Gas Service Su..	20,000
				FUEL NY, OPIS Rack Price Subscription	9,324
	Illume Advising LLC	STATEWIDE	Statewide	Home Perf w Energy Star, Analysis Support for N..	50,000
	Impact by Design Inc.	STATEWIDE	Statewide	Low-Income Forum on Energy, Facilitation Supp..	49,500
	Inclusive Fund I, LLC	STATEWIDE	Statewide	NY Green Bank, Inclusive Prosperity Capital	25,000,000
	Indeed Inc.	STATEWIDE	Statewide	NYSERDA ADMINISTRATION, Job Postings	19,500
	Industrial Economics, Incorporated	STATEWIDE	Statewide	Environmental Research, TWO#4 Climate Econ. ..	99,949
				EVALUATION, TWO 1 Grid Moderniz Case Study	4,843
				High Performing Grid, TWO 1 Grid Moderniz Cas..	4,843
				Mkt Char: Tech Assist, TWO 1 EE Supply Curve ..	49,000
	Institute for Building Technology and Sa	STATEWIDE	Statewide	<200KW PV, TWO No. 7 NY-Sun C&I QA TWO	39,340
				COMMUNITY SOLAR, TWO No. 7 NY-Sun C&I ..	9,835
				NY-SUN, TWO No. 7 NY-Sun C&I QA TWO	300,825
	Intralinks, Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, 3PC VDR Services	2,250
	Investors Circle	STATEWIDE	Statewide	Cleantech ICC Engage, 2020 Investor Circle Spo..	40,000
	JC Solutions LLC	STATEWIDE	Statewide	Nat'l OffShWind R&D Consortium, Natl Offshore ..	550,000
				Natl Offshore Wind R&D	550,000
	JouleSmart Solutions, Inc.	STATEWIDE	Statewide	Real Time Enrgy Management, RTEM Gas Mini-..	209,810
	Katherine MacDonald	STATEWIDE	Statewide	OTHER PROGRAM AREA, Tech to Market Asse..	11,150
	Kelliher Samets Volk	STATEWIDE	Statewide	Consumer Awareness, KSV TWO 30 Consumer ..	2,803,610
				ESTOR:Consumer Education, KSV TWO 31 Ene..	31,940
				Home Perf w Energy Star, KSV TWO 32 LMI We..	300,000
				Marketing Support for NYSERDA	125,000
				NYSERDA ADMINISTRATION, KSV TWO 30 Co..	2,473,290
	Key Capture Energy, LLC	STATEWIDE	Statewide	ESTOR:Bulk Storage Incentive, Bulk Storage Inc..	35,450,000
	L&S Energy Services, Inc.	STATEWIDE	Statewide	ANAEROBIC DIGESTER, ADG - L&S - TWO	43,000

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	L&S Energy Services, Inc.	STATEWIDE	Statewide	Campus/Technical Assistance, L&S Technical R..	32,500
				Combined Heat and Power, ADG - L&S - TWO	43,000
				Flexible Tech Assistance, L&S Technical Review ..	75,689
				K-12 SCHOOLS, L&S Technical Review - TWO	33,179
				REV Campus Challenge, L&S Technical Review ..	12,000
				Technical Services, L&S Technical Review - TWO	200,658
Level Agency for Infrastructur..	STATEWIDE	Statewide	CI Carbon Challenge, C&I Carbon Challenge Insi..	50,000	
Levitan & Associates, Inc.	STATEWIDE	Statewide	OREC: Technical Support, Large-Scale Renewa..	831,000	
Luminate, LLC	STATEWIDE	Statewide	Outside Technical and Eng. Srv	12,321	
Maalka Inc	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000	
Mamerck Solutions LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank	60,000	
Manifold Robotics, Inc.	STATEWIDE	Statewide	High Performing Grid, PON4074 High Perfrm Gri..	250,000	
Martin J. Wolff	STATEWIDE	Statewide	Pub Transit & Elect Rail, Magnetic rail propulsion..	125,000	
Mendelsohn Consulting, Inc.	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank	50,000	
Molecular Glasses, Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000	
NASEO	STATEWIDE	Statewide	EVALUATION, USEER Support	50,000	
National Renewable Energy Laboratory	STATEWIDE	Statewide	Cleantech ICC Engage, 2020 NREL Sponsorship	6,000	
			Environmental Research, ENV & Fisheries Rsrch..	500,000	
Navigant Consulting Inc.	STATEWIDE	Statewide	Environmental Research, TWO #2 Equitable Coo..	350,000	
			NEW YORK GREEN BANK, Outside Technical a..	1,498	
			REV Connect, REV Connect Initiative	1,930,000	
NESCAUM	STATEWIDE	Statewide	Electric Vehicles - Innovation, Joint EV Mktg Ca..	275,000	
			ENVIRONMENTAL RESEARCH, TWO #7 Comp..	394,500	
			ENVIRONMENTAL RESEARCH, TWO #7 LISTO..	134,500	
			ENVIRONMENTAL RESEARCH, TWO #8 Wood ..	217,000	
			ENVIRONMENTAL RESEARCH, TWO #9 IDC T..	100,000	
			OTHER PROGRAM AREA, TWO #6 VOCs on St..	397,500	
NESEA	STATEWIDE	Statewide	New Construction- Housing, 2020 NESEA ProTo..	25,000	
New Buildings Institute, Inc.	STATEWIDE	Statewide	Code to Zero, TWO #3 - Policy Research	85,000	
			New Construction- Commercial, NBI- GTZF REQ..	37,350	
			New Construction- Housing, NBI- GTZF REQ4185	74,650	
New Energy Nexus New York ..	STATEWIDE	Statewide	Cleantech POCC, Cleantech Accelerator	6,000,000	
New York Battery and Energy ..	STATEWIDE	Statewide	Rmve Barriers Dist Energy Storg, TWO #4	135,000	
New York Power Authority,	STATEWIDE	Statewide	Electric Vehicles - Innovation, 2019 NY Auto Show	15,000	
Newport Ventures, Inc.	STATEWIDE	Statewide	Code to Zero, Newport TWO #1 Training	399,809	
			Code to Zero, TWO2 NYStretch Outreach	50,000	
NextCorps Inc	STATEWIDE	Statewide	Cleantech POCC, Cleantech Accelerator	10,000,000	
Nixon Peabody LLP	STATEWIDE	Statewide	Green Bank Outside Legal Serv.	22,500	
NMR Group, Inc.	STATEWIDE	Statewide	Eval MCDC Clean Transportation, Clean Transp..	49,895	
			EVALUATION, RFQ 3183 NMR Group, Inc.	57,552	
			Home Perf w Energy Star, RFQ 3183 NMR Grou..	29,463	
			NEW YORK GREEN BANK, RFQ 3183 NMR Gr..	14,808	
Noresco LLC	STATEWIDE	Statewide	Code to Zero, TWO1-ENERGY STAR NYSTRET..	15,000	
North American Passive House Network, In	STATEWIDE	Statewide	New Construction- Housing, Passive House 2020	16,667	
			Retrofit NY, Passive House 2020	8,334	
North Branch Services, LLC	STATEWIDE	Statewide	Code to Zero, NYStretch Outreach Circuit Ri	65,000	
North Catskill DG LLC	STATEWIDE	Statewide	ESTOR: Bulk Storage Incentive, Bulk Storage Inc..	9,900,000	
Northeast Energy Efficiency Partnerships	STATEWIDE	Statewide	Clean Energy Communities, 2019 NEEP Sponso..	10,000	
			Code to Zero, 2019 NEEP Sponsorship	10,000	
			NextGen HVAC, End-Use Load Profiles	49,949	
			NYSERDA ADMINISTRATION, 2019 NEEP Spo..	3,600	
			On-Site Energy Manager, 2019 NEEP Sponsorsh..	10,000	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Northeast Green Building Con..	STATEWIDE	Statewide	Code to Zero, TWO#1 NYStretch Outreach	50,000
	NY Community Solar (Fund III..	STATEWIDE	Statewide	NY Green Bank, CIT Group	20,000,000
	NYS Economic Development Council	STATEWIDE	Statewide	New Construction- Commercial, General marketi..	10,000
				New Construction- Housing, General marketing a..	40,000
	NYS Office of Parks, Recreati..	STATEWIDE	Statewide	MOU	2,000,000
	Oliver Kinross Ltd.	STATEWIDE	Statewide	New Construction- Housing, Exhibit at NYBuild 2..	5,895
	PA Consulting Group	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #1 Enbridge Pipeline..	35,000
				ENERGY ANALYSIS, TWO #2 Downstate Resea..	50,000
				ENERGY ANALYSIS, TWO #3 Nat. Gas Tech. S..	500,000
	Passive House Institute US	STATEWIDE	Statewide	New Construction- Housing, PHIUS 2020	50,000
	Paul A Bradbury	STATEWIDE	Statewide	POLICY DEVELOPMENT, DPS 2020 giveaways	10,952
	PC Learning Centers, Inc.	STATEWIDE	Statewide	OREC: Technical Support, E- and F-TWG meetin..	5,000
	Performance Systems Develo..	STATEWIDE	Statewide	Code to Zero, PSD TWO #1 Training	1,999,497
	Performance Systems Develo..	STATEWIDE	Statewide	Market Tests, TWO 3 - HPR OpenStudio/EPI	292,214
	Philip Hopke	STATEWIDE	Statewide	Environmental Research, Health/Reduced Emissi..	20,000
	PitchBook Data, Inc.	STATEWIDE	Statewide	OTHER PROGRAM AREA, Online Subscription	24,000
	PLB Oil & Gas Consult LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank	50,000
	Plugged In Strategies	STATEWIDE	Statewide	EVALUATION, Data Privacy and Data Access	49,999
	Proenergy Consulting LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Green Bank	50,000
	Propmodo Inc.	STATEWIDE	Statewide	Real Time Enrgy Management, Strategic Industry..	50,000
	ProsumerGrid, Inc	STATEWIDE	Statewide	76 West, 76 West Clean Energy	250,000
	Public Utility Law Project of N..	STATEWIDE	Statewide	SFY 19-20 PULP Appropriation	900,000
	Quanta Technology LLC	STATEWIDE	Statewide	DER Integration(Intrcnct), Next Generation DER..	400,000
	R.W. Beck Group, Inc.	STATEWIDE	Statewide	Electric Vehicles - Innovation, Concierge Service..	25,000
				Industrial Process Effic, Concierge Services - Lei..	25,000
				Multifam Performance Pgm, Concierge Services ..	25,000
				On-Site Energy Manager, Concierge Services - L..	25,000
				Real Time Enrgy Management, Concierge Servic..	50,000
				Technical Services, Concierge Services - Leidos	50,000
	Radiant Labs, LLC	STATEWIDE	Statewide	Informat. Products & Brokering, TWO 1 SFR and ..	50,000
	Reed Midem SAS	STATEWIDE	Statewide	Informat. Products & Brokering, 2019 PropTech ..	50,000
	Regional Greenhouse Gas Init..	STATEWIDE	Statewide	ENERGY ANALYSIS, 2020 RGGI Funding Agree..	612,619
	Rensselaer Polytechnic Institute-LRC	STATEWIDE	Statewide	OTHER PROGRAM AREA, Lighting Research C..	25,000
				Prof & Expert Engagement, LRC partners Progra..	60,000
	Research Foundation of CUNY	STATEWIDE	Statewide	Rmve Barriers Dist Enrgy Storg, RFP 3407 Cate..	93,257
	Research Foundation of SUNY	STATEWIDE	Statewide	Environmental Research, Graduate Fellowship - ..	45,000
				Environmental Research, IDEA-NYS air quality fo..	49,361
				OTHER PROGRAM AREA, 2020 Advanced Ener..	70,000
	Resource Refocus LLC	STATEWIDE	Statewide	Code to Zero, TWO 2 NYStretch Res CE	3,000
	Resources for the Future Inc	STATEWIDE	Statewide	ENERGY ANALYSIS, TWO #1 Social Cost of Ca..	150,000
	Responsible Offshore Develo..	STATEWIDE	Statewide	Environmental Research, ENV & Fisheries Rsrch..	297,972
	RHM Inc.	STATEWIDE	Statewide	Renewable Heat NY, Aeon Heating - Bonno	21,000
				Renewable Heat NY, Aeon Heating-Thomas	19,555
	Rochester Institute of Technol..	STATEWIDE	Statewide	High Performing Grid, PON 3770	87,209
	Rocky Mountain Institute	STATEWIDE	Statewide	Code to Zero, 140390 TWO#1	96,875
				Consumer Ed and Market Support, 140390 TWO..	96,875
				ENERGY ANALYSIS, TWO# 2 Bldg. Elec. Road..	50,000
				New Construction- Commercial, 140390 TWO#1	96,875
				New Construction- Housing, 140390 TWO#1	193,750
				Remote Energy Management, Technical support ..	187,500
Technical Services, Technical support for NYSE..				62,500	
Rosenblum Property Services,..	STATEWIDE	Statewide	SARATOGA TECHNOLOGY & ENERGY PARK, ..	23,640	

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REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Statewide	Russell Unger Consulting LLC	STATEWIDE	Statewide	MF Market Transformation, MF Energy Efficiency..	200,000
	SBW Consulting	STATEWIDE	Statewide	Air Source Heat Pumps, Heat Pump Impact Eval..	22,500
				EVALUATION, Heat Pump Impact Evaluation	5,000
				Geothermal Incentive Program, Heat Pump Impa..	22,500
	Scanify, Inc.	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	99,750
	Sive Paget & Riesel PC	STATEWIDE	Statewide	CI Engy Siting & Soft Cost Red, Large-Scale Ren..	500,000
				OREC: Technical Support, RFP 3300 & RFP 377..	83,328
				WEST VALLEY DEVELOPMENT PROGRAM, R..	100,000
	Skyven Technologies, Inc	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000
	Smarter Grid Solutions, Inc.	STATEWIDE	Statewide	DER Integration(Intrcnct), PON4094 DER Interc..	221,250
	Solar Tompkins Inc.	STATEWIDE	Statewide	Community RH&C, CH&C Communities Round 3	200,000
	SolarKal LLC	STATEWIDE	Statewide	Novel Bus Models & Offers, 3932 R 2 Novel Busi..	500,000
	Southern Tier Technologies L..	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	100,000
	Stacks and Joules Inc.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON3981 Round 4	249,955
	Steven Winter Associates, Inc.	STATEWIDE	Statewide	Market Tests, Market Insights	288,680
				New Construction- Commercial, TWO PON 3943	110,216
				New Construction- Housing, TWO PON 3943	110,216
				NextGen HVAC, NextGen HVAC Innovation	118,176
				Novel Bus Models & Offers, Novel Business Mod..	500,000
				NYCH: Comfort Home, Heat Pump Ready Traini..	128,766
				Talent Pipeline:CE and OJT, PON3981 WFD Ca..	249,985
	Stevens Institute of Technology	STATEWIDE	Statewide	Environmental Research, SIT Storm Surge	42,500
	Studioverde, LLC	STATEWIDE	Statewide	CI Engy Siting & Soft Cost Red, Wind Energy Siti..	32,440
	Sunrise Wind LLC	STATEWIDE	Statewide	OREC:OffShore Wind-1st solicit, Large-Scale Re..	2,320,000,000
	Sunrun SafeHarbor OpCo, LLC	STATEWIDE	Statewide	NY Green Bank, Sunrun Safe Harbor	10,000,000
	Sunset Green Home LLC	STATEWIDE	Statewide	NEW YORK GREEN BANK, Third-Party Capital ..	50,000
	SUNY - ESF	STATEWIDE	Statewide	REV Campus Challenge, SUNY ESF - Energy M..	18,112
	SUNY Binghamton	STATEWIDE	Statewide	Energy Storage Tech/Prod Dev, NECCES	250,000
	Sustainable Energy Advantag..	STATEWIDE	Statewide	REC:CES REC System Dev Costs, RES Progra..	199,950
	Sustainable South Bronx Inc.	STATEWIDE	Statewide	Talent Pipeline:CE and OJT, PON3981 WFD Ca..	250,000
	Syracuse University	STATEWIDE	Statewide	Retrofit NY, Syracuse University-Retrofit	50,000
	Taitem Engineering, P.C.	STATEWIDE	Statewide	Code to Zero, TWO#1 NYStretch Outreach CR	50,000
				Geothermal Incentive Program, Technical Revie..	129,974
	Tetra Tech MA, Inc.	STATEWIDE	Statewide	OREC: Technical Support, TWO#1 OSW Fisheri..	330,000
	The Cadmus Group, LLC	STATEWIDE	Statewide	ENERGY ANALYSIS, RFQL 3685 R2 Umbrella	72,000
				Home Perf w Energy Star, EnergyAffordability an..	99,725
				Mkt Char: Tech Assist, RFQL 3685 R2 Umbrella	30,000
				OREC: Technical Support, TWO 4 - RegionalFun..	34,180
				TWO 4 - RegionalFundingEntity	34,180
	The Levy Partnership, Inc.	STATEWIDE	Statewide	NextGen HVAC, NextGen HVAC Innovation	104,363
	The Radiant Store	STATEWIDE	Statewide	Renewable Heat NY, Radiant - Walters	23,000
	The Renewables Consulting ..	STATEWIDE	Statewide	OREC: Technical Support, Large-Scale Renewa..	133,631
The Research Foundation for the State	STATEWIDE	Statewide	Code to Zero, 2020 NYS Green Building Conf	1,000	
			New Construction- Housing, 2020 NYS Green Bu..	5,000	
The RF of SUNY Binghamton ..	STATEWIDE	Statewide	Pub Transit & Elect Rail, XFC onboard charger	175,000	
Therm Controls Incorporated	STATEWIDE	Statewide	NextGen HVAC, NextGen HVAC Innovation	81,250	
Town of Bethlehem	STATEWIDE	Statewide	CEC400006 - Town of Bethlehem	30,000	
TRC Energy Services	STATEWIDE	Statewide	Low-Income Forum on Energy, LIFE Implementat..	83,022	
			Multifam Performance Pgm, CRIS Project Macro ..	35,000	
			Multifam Performance Pgm, Rose Hamm Multifa..	5,918	
			NYCH: Comfort Home, Comfort Home Implement..	199,980	
Trove Predictive Data Science,	STATEWIDE	Statewide	Informat. Products & Brokering, DER Data Platfor..	225,000	

**Projects Selected for Funding by Region**  
**Period 10/1/2019 through 3/31/2020**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount			
Statewide	Trove Predictive Data Science, Inc.	STATEWIDE	Statewide	Informat. Products & Brokering, RFQL3711 TWO..	300,000			
	Trust for Conservation Innovat..	STATEWIDE	Statewide	Code to Zero, BCAP Alt Enforcement Research	47,817			
	U.S. Geological Survey (Troy).	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, ALTM Stream ..	44,600			
	U.S. Green Building Council, ..	STATEWIDE	Statewide	Code to Zero, Urban Green TWO#1 Training	1,508,643			
	Ulster, County of	STATEWIDE	Statewide	Pub Transit & Elect Rail, Bus fleet electrification ..	40,000			
	Union Avenue DG LLC	STATEWIDE	Statewide	ESTOR: Bulk Storage Incentive, Bulk Storage Inc..	9,900,000			
	Unique Electric Solutions of NYS LLC	STATEWIDE	Statewide	Cleantech Ignition, PON 3871 Ignition Grants	99,960			
				Electric Vehicles - Innovation, PON 3578 R1 Cat2	499,531			
	United States Department of t..	STATEWIDE	Statewide	Environmental Research, ENV & Fisheries Rsrch..	290,205			
	University of North Carolina at..	STATEWIDE	Statewide	Environmental Research, AQHE PON 3921	363,115			
	Uplight, Inc.	STATEWIDE	Statewide	ASSISTED HOME PERFORMANCE WITH ENE..	1,250			
				EMPOWER NY, Residential Program MgtRFP35..	1,250			
				GJGNY Market Rate Audits, Residential Program..	81,250			
				GJGNY REVOLVING LOAN FUND, Residential ..	17,578			
				Home Perf w Energy Star, Residential Program ..	193,245			
				HOME PERFORMANCE WITH ENERGY STAR, ..	1,250			
				Upstate Capital Association of..	STATEWIDE	Statewide	OTHER PROGRAM AREA, NY Business Plan C..	40,000
				Vermont Energy Investment Corporation	STATEWIDE	Statewide	Electric Vehicles - Innovation, EV Policies and Pil..	299,992
	Geothermal Incentive Program, Heat Pump Supp..	50,000						
	Home Perf w Energy Star, P4P_POTF_Minibid_T..	125,000						
	Pay for Performance, Umbrella Contract	77,618						
	Strategic Energy Manager, RFP 3352	400,000						
	VHB Engineering, Surveying and	STATEWIDE	Statewide	New Construction- Commercial, New Construction	25,000			
				New Construction- Housing, New Construction	25,000			
	Vidaris, Inc.	STATEWIDE	Statewide	Code to Zero, TWO #4 Review Fan Power	17,000			
	Vincents Heating and Fuel Service, LLC	STATEWIDE	Statewide	Renewable Heat NY, Vincents Heating - Cross	26,120			
				Renewable Heat NY, Vincents Heating - O'Rourke	20,420			
	Walter Snyder Printer, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, Printing and Mailing ser..	7,000			
	Water Research Foundation	STATEWIDE	Statewide	ENVIRONMENTAL RESEARCH, Collaboration w..	733,043			
	West Hill Energy & Computing, Inc.	STATEWIDE	Statewide	Air Source Heat Pumps, Heat Pump Impact Eval..	22,500			
				EVALUATION, Heat Pump Impact Evaluation	5,000			
				Geothermal Incentive Program, Heat Pump Impa..	22,500			
	Wildlife Conservation Society.	STATEWIDE	Statewide	Environmental Research, Environmental Research	50,000			
Willdan Energy Solutions	STATEWIDE	Statewide	Commercial Real Estate Ten, Efficiency Planning..	200,000				
Wood Mackenzie Power & Renewables, Inc.	STATEWIDE	Statewide	Cleantech ICC Engage, 2020 GTM Sponsorship	5,000				
			Subscription/Data Access, Grid Edge, Storage an..	60,500				
WTJ US Energy Services Inc	STATEWIDE	Statewide	Novel Bus Models & Offers, 3932 R 2 Novel Busi..	496,250				
Yale University	STATEWIDE	Statewide	U.S. DOE SEP Grant for oTherm	98,611				
Yue Chen	STATEWIDE	Statewide	OTHER PROGRAM AREA, Consulting contract	48,000				
<b>Total</b>					<b>6,231,948,123</b>			
Western New York	3M Company	Erie	National Grid	Industrial Process Effic, Industrial Process Effic..	62,016			
	AECOM Technical Services In..	Cattaraugus	National Grid	WEST VALLEY DEVELO PMENT PROGRAM, E..	149,747			
	AES DE RS VIII, LLC	Niagara	National Grid	>200KW PV, NY-Sun C&I	1,326,780			
	AES DE RS XI, LLC.	Erie	National Grid	>200KW PV, NY-Sun C&I	875,336			
	AMERESCO, Inc.	Erie	NYS Electric and Gas	>200KW PV, NY Sun	1,174,173			
	Bergmann Associates	Cattaraugus	National Grid	Industrial Process Effic, Tech Review_Support_U..	1,250			
		Erie	NYS Electric and Gas	Commercial Real Estate Ten, Bergmann Associa..	5,000			
	Borrego Solar Systems, Inc.	Erie	National Grid	>200KW PV, NY Sun	1,100,498			
		Niagara	National Grid	>200KW PV, NY Sun	997,682			
	Buffalo Geothermal Heating	Niagara	National Grid	Geothermal Incentive Pro gram, Large-Scale GS..	18,504			
	Buffalo Renewables, Inc.	Erie	National Grid	Small Wind, Wind Turbine Incentive	47,700			
	Buffalo Solar Solutions Inc	Cattaraugus	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	6,986			

**Projects Selected for Funding by Region**  
**Period 10/1/2019 through 3/31/2020**

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	Buffalo Solar Solutions Inc	Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	8,330
		Erie	NYS Electric and Gas	<200KW PV, NY-Sun	32,760
				<200KW PV, PON 2112 NY SUN	6,426
					ESTOR:Retail Storage Incentive, Energy Storage
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	16,842
	Campus West, LLC	Erie	National Grid	New Construction- Housing, 2019 LRNCP	168,000
	CannonDesign	Erie	National Grid	REV Campus Challenge, RFP3628FlexTechCon..	13,700
	CDS Monarch Inc	Cattaraugus	National Grid	New Construction- Housing, 2019 LRNCP	46,000
		Erie	National Grid	New Construction- Housing, 2019 LRNCP	46,000
	CHA Consulting Inc.	Erie	National Grid	Industrial Process Effic, IPE16249	9,901
	Chautauqua County	Chautauqua	Municipal Utilities	Clean Energy Communities, CEC111465 Chauta..	150,000
	CIR ELECTRICAL CONSTRUCTION CORP.	Cattaraugus	National Grid	<200KW PV, PON 2112 NY SUN	5,198
		Erie	National Grid	<200KW PV, PON 2112 NY SUN	13,866
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	30,317
	David Homes, Inc.	Erie	NYS Electric and Gas	New Construction- Housing, 2019 LRNCP	19,950
	Delaware River Solar, LLC	Allegany	Rochester Gas and El..	>200KW PV, NY Sun	1,116,288
	Dimension Energy LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	566,100
				ESTOR:Retail Storage Incentive, Retail Storage	1,109,125
	Enercon Services Inc	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, R..	30,000
	ENGIE North America Inc.	Niagara	National Grid	<200KW PV, PON 2112 NY SUN	250,614
	Ensave, Inc.	Niagara	National Grid	Advancing Ag Enrgy Technologie, Advancing Ag ..	142,719
	Erie County	Erie	National Grid	CLEANER GREENER COMMUNITIES, CGC - E..	1,500,000
	Forbes-Capretto Homes	Erie	NYS Electric and Gas	Low Rise New Construction, 2019 LRNCP	15,200
				New Construction- Housing, 2019 LRNCP	5,700
	Green Machine Equipment Inc	Erie	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	70,500
	Greenpac Mill, LLC	Niagara	National Grid	On-Site Energy Manager, OsEM15 - Greenpac M..	33,143
	GZA GeoEnvironmental of Ne..	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Tr..	58,650
	InStream, LLC	Cattaraugus	National Grid	microfilm reader/scanner	9,645
				WEST VALLEY DEVELOPMENT PROGRAM, mi..	300
	Kilowatt Engineering, Inc.	Erie	National Grid	Industrial Process Effic, IPE16260	15,000
				Industrial Process Effic, IPE16261	15,000
	Linde, LLC	Erie	National Grid	Industrial Process Effic, Industrial Process Efficie..	141,399
	M/E Engineering, P.C.	Allegany	NYS Electric and Gas	Commercial New Construc, Commercial New Co..	64,725
		Erie	National Grid	Commercial New Construc, Commercial New Co..	65,200
	McMahon and Mann Consulting Engineers	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, T..	40,000
				WEST VALLEY DEVELOPMENT PROGRAM, T..	20,000
	Messer LLC	Erie	National Grid	Industrial Process Effic, Industrial Process Efficie..	300,230
	Natale Builders	Erie	National Grid	Low Rise New Construction, 2019 LRNCP	16,550
				New Construction- Housing, 2019 LRNCP	43,200
	NSF Angelica Site 1, LLC	Allegany	Rochester Gas and El..	>200KW PV, NY Sun	1,274,728
	NSF Angelica Site 2, LLC	Allegany	Rochester Gas and El..	>200KW PV, NY Sun	1,060,800
	NSF Angelica Site 3, LLC	Allegany	Rochester Gas and El..	>200KW PV, NY Sun	1,060,800
	NYSDEC	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, W..	450,000
	OYA INDEPENDENCE ROAD..	Allegany	National Grid	>200KW PV, NY Sun	1,270,441
	Polly Jean Suites LLC	Erie	National Grid	New Construction- Housing, 2019 LRNCP	8,000
	Prowind Renewables Inc.	Cattaraugus	National Grid	>200KW PV, NY Sun	1,233,792
	Silver Creek Solar, LLC	Chautauqua	National Grid	>200KW PV, NY Sun	1,275,000
	Solar Liberty Energy Systems, Inc	Allegany	Rochester Gas and El..	<200KW PV, PON 2112 NY SUN	5,891
		Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	21,571
		Erie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,346
		Niagara	National Grid	<200KW PV, PON 2112 NY SUN	45,509
	Source Renewables, LLC	Chautauqua	National Grid	ESTOR:Retail Storage Incentive, Retail Storage	1,875,000

## Projects Selected for Funding by Region

Period 10/1/2019 through 3/31/2020

REDC Region	Contractor	County	Electric Utility	Contract Description	Total Funded Amount
Western New York	SunPower Capital, LLC	Chautauqua	National Grid	<200KW PV, PON 2112 NY SUN	6,066
	SUNY Fredonia	Chautauqua	National Grid	NEW CONSTRUCTION PROGRAM, NCP12636 ..	73,382
	The Garrick Co., LLC	Cattaraugus	National Grid	WEST VALLEY DEVELOPMENT PROGRAM, Pr..	25,000
	TM Montante Solar Developments, LLC	Erie	National Grid	<200KW PV, PON 2112 NY SUN	44,064
			NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	206,550
	Town of Conewango	Cattaraugus	NYS Electric and Gas	Clean Energy Communities, Town of Conewango	50,000
	U.S. Department of Energy/Wv	Cattaraugus	National Grid	WVDP PO – FFY 2020	10,000,000
	Village of Williamsville	Erie	National Grid	Clean Energy Communities, PON 3298 CEC	50,000
	Viola Homes Inc.	Erie	NYS Electric and Gas	<200KW PV, PON 2112 NY SUN	5,216
	West Valley Solar LLC	Cattaraugus	National Grid	>200KW PV, NY Sun	4,500,000
	Western New York Veterans ..	Erie	National Grid	New Construction- Housing, 2019 LRNCP	72,000
	WNY Rural Preservation, LP	Cattaraugus	National Grid	Multifam Performance Pgm, Multifamily	4,200
	<b>Total</b>				
<b>Grand Total</b>					7,040,869,917

NYSERDA  
Public Authority Law Report  
October 1, 2019 to March 31, 2020

Section Break



**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
1st Light Energy, Inc.	>200KW PV, PON 2112 NY SUN	58,320
2 North 6th Venture LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	249,300
2G Energy Inc.	Combined Heat and Power, CHPA - 2070-2080 Housing Corp	235,634
	Combined Heat and Power, CHPA - 2100 1st Avenue Bldg BC	323,904
	Combined Heat and Power, CHPA - Building D	235,634
8-11 & 13 43rd Road LLC	Commercial New Construc, SF106887 - 8-11 43rd Rd-OFLT	64,137
15 William Street Condominium	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	96,000
20 West 40 Bryant Park Owner LLC	NEW CONSTRUCTION PROGRAM, NCP12032 - 20 West 40th Street	48,048
22nd Century Technologies, Inc.	NYSERDA ADMINISTRATION, Staff Augmentation	89,033
30-30 Equities LLC	NEW CONSTRUCTION PROGRAM, NCP11345 - The Apple Building	17,883
32-42 Broadway Owner LLC	Flexible Tech Assistance, FlexTech Program - PON 1746	40,498
33 Bond St LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	321,300
34-10 Development, LLC	NEW CONSTRUCTION PROGRAM, NCP11565 - 3410 Development LL	12,317
40 Tiemann Place H.D.F.C.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	4,200
41-07 Crescent St JV LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	6,750
42 West Broad Developers LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	29,880
112 East Clarke Housing Development..	Multifam New Construction, MFNC_Clarke Place Sr. Res.	23,300
145 West Street, LLC	NEW CONSTRUCTION PROGRAM, NCP7241 - Waterfront Tower (14	445,391
175 Pearl Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11972 - 175 Pearl Street Br	27,047
233 West 125th Street Danforth, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	63,030
	NEW CONSTRUCTION PROGRAM, NCP11259 - Victoria Theater	65,940
301/69 Condominium	Multifam Performance Pgm, Multifamily	0
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	19,600
333 Lenox Associates, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	34,800
425 Park Owner LLC	NEW CONSTRUCTION PROGRAM, NCP12544 - 425 Park Avenue	70,310
606 West 57 LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	138,780
770 Electric Corp.	<200KW PV, NY-Sun	34,060
	>200KW PV, NY-Sun	63,426
2015 ESA Project Company, LLC	FUEL CELLS, RPS FC - Home Depot #1256	105,000
	FUEL CELLS, RPS FC - Home Depot #8456	77,461
2605 GC Owner, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	47,382
3349 Webster Avenue Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	69,000
3475 Third Avenue Owner Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	13,770
Abakama LLC	OTHER PROGRAM AREA, Innovation Advisory Services	54,497
ABB, Incorporated	High Performing Grid, PON 3770 Smart Grid	55,000
Abt Associates Inc.	ENVIRONMENTAL RESEARCH, Environmental Res. Outreach	2,505
	ENVIRONMENTAL RESEARCH, Flex Energy Tech Analysis 2	45,399
	ENVIRONMENTAL RESEARCH, TWO#1 Pathways Health	44,503
Abundant Solar Power Inc.	>200KW PV, NY Sun	866,694
Accelerate Solar LLC	<200KW PV, PON 2112 NY SUN	5,670
Access Supports for Living Inc.	Low Rise New Construction, New Construction	42,600
Accord Power, Inc.	<200KW PV, NY-Sun	7,020
ACM Medical Laboratory, Inc.	>200KW PV, NY Sun	36,069
Action Research Inc.	ADVANCED BUILDINGS, Behavior Integrated Clean Ener	1,561
	ADVANCED BUILDINGS, Behavior Research Pilot Design	570
	CLEAN TRANSPORTATION, Behavior Research Pilot Design	124
Active Solar Development, LLC	<200KW PV, NY Sun	30,828
Adam C. Boese	Commercial New Construc, RFP3771 Umbrella Contract	1,664

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Adam C. Boese</b>	Commercial Real Estate Ten, Daylight Saving-162 OldMill Rd	8,374
	Commercial Real Estate Ten, Daylight-225 Westchester Ave	4,000
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	1,464
	Technical Services, AEAP	6,000
	Technical Services, RFP3628FlexTechConsultUmbrella	5,000
<b>Adirondack Center for Loon</b>	ENVIRONMENTAL RESEARCH, Loons: monitor biotic mercury	4,400
<b>Adirondack Farms LLC</b>	ANAEROBIC DIGESTER, RPS ADG - Adirondack	103,970
<b>Adirondack Lakes Survey Corporation</b>	Environmental Research, RFP 3702 Stream Sampling	43,846
<b>Adirondack North Country Association</b>	CLEANER GREENER COMMUNITIES, CGC54038 - ANCA	85,935
	CLEANER GREENER COMMUNITIES, Green Jobs Green New York Outr	5,500
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	360
<b>Adirondack Solar, LLC</b>	>200KW PV, NY-SUN C&I	76,902
<b>Advanced Radiant Design, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	11,520
<b>AECOM Technical Services Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Environmental Monitoring S..	219,724
<b>Aegis Energy Services Inc.</b>	COMBINED HEAT AND POWER, 113 Nassau	90,525
	Combined Heat and Power, CHPA - 42 Broad Street	70,290
	Combined Heat and Power, CHPA - 180 West End	103,950
	Combined Heat and Power, CHPA - 1865 Broadway	50,490
	Combined Heat and Power, CHPA - 2501 Nostrand Ave.	13,860
	Combined Heat and Power, CHPA - Regina Pacis	41,580
	Combined Heat and Power, CHPA - The Promenade	53,460
	Combined Heat and Power, CHPA-3 Hanover Square	13,860
	Combined Heat and Power, CHPA-Centers - Brooklyn	101,640
	Combined Heat and Power, CHPA-Kenmore Hall	65,789
	Combined Heat and Power, CHPA-North Rockland High Schoo	27,844
	Combined Heat and Power, CHPA-The Citadel-The Salvation	92,400
	Combined Heat and Power, CHPA-Valley View Center for Nu	88,056
<b>Aegis Solar, LLC</b>	>200KW PV, NY-Sun C&I	228,348
<b>AEP Onsite Partners, LLC</b>	>200KW PV, PV System @ Camden Central Sch	264,936
	>200KW PV, PV System @ Madison County	309,366
<b>AES Broadalbin Solar, LLC</b>	>200KW PV, NY Sun C/I	125,136
<b>AES Holland Solar, LLC</b>	>200KW PV, NY-Sun C&I	21,375
<b>Affordable Housing Partnership</b>	CLEANER GREENER COMMUNITIES, CGC54941 - AHP	20,800
	Community Energy Engagement, CEEP Capital Region (AHP)	79,430
<b>Agri-Energy USA, LLC</b>	ANAEROBIC DIGESTER, RPS CST-ADG Milk Street	129,787
<b>AIA New York State</b>	New Construction- Commercial, New Construction	1,560
	New Construction- Housing, New Construction	6,240
<b>Air Company Holdings, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	10,240
<b>Akimeka, LLC</b>	CLEAN TRANSPORTATION, Oneida County ITS Study	15,000
	CLEANER GREENER COMMUNITIES, Animating the EV market in NYS	62,410
	Electric Vehicles - Innovation, Planning Board EVSE Promotion	14,700
	OTHER PROGRAM AREA, TWO#2 Resilience Assistance	100,434
<b>Akwasne Housing Authority</b>	NY-SUN, Affordable Solar Akwasne	100,000
<b>Albany County Dept. of Public Works</b>	CLEANER GREENER COMMUNITIES, CGC30552 - Albany County DPW	961,939
<b>Albany Engineering Corp.</b>	LARGE SCALE RENEWABLES, Mechanicville Hydro	166,075
	LARGE SCALE RENEWABLES, Stuyvesant Falls Hydroelectric	78,273
<b>Albany Medical Center</b>	Technical Services, OsEM3-C Albany Medical Center	50,000
<b>Albany Solar Solutions L.L.C.</b>	<200KW PV, NY Sun	5,182

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Albany Solar Solutions L.L.C.</b>	<200KW PV, PON 2112 NY SUN	13,996
<b>Albee Development</b>	NEW CONSTRUCTION PROGRAM, NCP98814 - Albee Development L	5,198
<b>Alberio Energy, LLC</b>	Real Time Enrgy Management, 1 Dag Hammarskjold Plaza-RTEM	3,750
	Real Time Enrgy Management, Alberio Energy-500 W 33rd-RTEM	79,517
<b>All HVAC Service Co. Inc</b>	Commercial Real Estate Ten, Bright Energy-Multisite-CT	17,987
<b>All-State Air Control Sales &amp; Service In</b>	Talent Pipeline:CE and OJT, OJT HIRE	7,680
<b>Allegis Group Holdings Inc</b>	Campus/Technical Assistance, Staff Augmentation Services	9,966
	Community RH&C, Staff Augmentation Services	29,898
	Consumer Ed and Market Support, SA.054_TWO #9 - SFR PM	0
	ENERGY ANALYSIS, Staff Augmentation Services	37,281
	Leveraging Upstream Partners, SA.054_TWO #9 - SFR PM	41,035
	NEW YORK GREEN BANK, Staff Augmentation Services	30,125
	NY-SUN, Staff Augmentation Services	2,460
	Pay for Performance, SA.055_TWO #10 - P4P PM	67,348
	Real Time Enrgy Management, SA.043a - RTEM_PM	68,290
	Real Time Enrgy Management, Staff Augmentation Services	131,615
	Renewable Heat NY, Staff Augmentation Services	26,576
	SA.050_TWO #8 - DER Coordinato	3,536
<b>Allen Power, Inc.</b>	<200KW PV, PON 2112 NY SUN	84,375
<b>Allen Stevenson School</b>	NEW CONSTRUCTION PROGRAM, NCP13052 - Townhouse Project	6,655
<b>Alliance for Sustainable Energy, LLC</b>	ENERGY ANALYSIS, TWO 1 - 100% Carbon-free Power	30,000
	Nat'l OffShWind R&D Consortium, NREL for OSW Consortium	13,279
	NREL for OSW Consortium	6,721
<b>alpha-En Corporation</b>	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	390,000
<b>Altanova LLC</b>	Commercial New Construc, Commercial New Construction	96,171
	Commercial Real Estate Ten, Altanova-151W42ndFL26-28-CTP	10,336
	Flexible Tech Assistance, FT12223-MealsWheels-SI.CHP-FTC	8,620
<b>Alternative Power Solutions of NY, LLC</b>	<200KW PV, PON 2112 NY SUN	23,867
<b>American Energy Care, Inc.</b>	<200KW PV, PON 2112 NY SUN	16,423
<b>American Solar Partners, LLC</b>	>200KW PV, PON 2112 NY SUN	83,500
<b>Ampersand Tannery Island Hydro, LLC</b>	REC:CES REC Contracts, 11th Main Tier Solicitation	1,815
<b>Amphenol Corporation</b>	>200KW PV, NY Sun	1,108,485
<b>Antares Group, Inc.</b>	Campus/Technical Assistance, FT12091-St. John's U - FTC	7,627
	COMBINED HEAT AND POWER, Technical Review and Program S	14,820
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	169
	Geothermal Incentive Program, Technical Review and Program S	736
	Industrial Process Effic, Technical Review and Program S	-2,018
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	12,748
<b>Apex Solar Power LLC</b>	<200KW PV, NY Sun	6,388
	<200KW PV, PON 2112 NY SUN	61,538
	Talent Pipeline:CE and OJT, OJT HIRE	10,282
<b>Applied Energy Group, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	67,334
<b>Apprise, Incorporated</b>	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	181
	Air Source Heat Pumps, TWO #3 - Survey Work	16,570
	EVALUATION, TWO #3 - Survey Work	3,682
	Geothermal Incentive Program, TWO #3 - Survey Work	16,570
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	181
	Technical Services, RFQ3183 Umbrella Agreement	181

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>APX Inc.</b>	LARGE SCALE RENEWABLES, NYGATS	199,718
	REC:CES REC System Dev Costs, NYGATS	28,333
	ZEC:CES ZEC System Dev Costs, NYGATS	4,167
<b>Arcadis of New York, Inc.</b>	Commercial New Construc, Staff Augmentation Services	26,545
	Commercial Real Estate Ten, SA.046_TWO #4 - EPE	19,991
	Flexible Tech Assistance, FT12203-TownofUlster WWTP-FTC	3,226
	Flexible Tech Assistance, FT12260 - GI Joint WWTF - FTC	17,949
	Industrial Process Effic, RFP3628FlexTechConsultUmbrella	37,213
	Low Rise New Construction, Staff Augmentation Services	31,853
	Multifam New Construction, Staff Augmentation Services	30,084
	New Construction- Commercial, Staff Augmentation Services	26,545
	New Construction- Housing, Staff Augmentation Services	61,937
	REV Campus Challenge, SA.046_TWO #4 - EPE	19,991
	Technical Services, AEAP	13,883
	Technical Services, RFP3628FlexTechConsultUmbrella	999
Technical Services, SA.046_TWO #4 - EPE	19,991	
<b>Arcadis U.S., Inc.</b>	ANAEROBIC DIGESTER, ADG - Arcadis - TWO	11,950
	Combined Heat and Power, ADG - Arcadis - TWO	11,950
	COMBINED HEAT AND POWER, Tech Review & Program Staff	11,613
	EXISTING FACILITIES, Tech Review & Program Staff	6,388
	FUEL NY, Tech Review & Program Staff	395,845
	Industrial Process Effic, Tech Review & Program Staff	9,499
	K-12 SCHOOLS, P-12 Gap Pre-Qual Incentive	74,855
	Real Time Enrgy Management, Tech Review & Program Staff	2,738
<b>Arch Street Communications, Inc.</b>	CI Engy Siting & Soft Cost Red, TWO 3: LSR RFP Outreach	807
	Clean Energy Communities, Marketing Support for NYSERDA	60,945
<b>Asian Americans for Equality, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	103,950
<b>Aspden Assets, Inc</b>	>200KW PV, Assignee/Vendor 37085	57,016
<b>Association for Energy Affordability, In</b>	Talent Pipeline:CE and OJT, OJT HIRE	7,920
	Talent Pipeline:CE and OJT, OJT HIRE	18,063
<b>Atelier Ten</b>	Commercial New Construc, SUNY - Mini Bid (2019)	49,359
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	0
<b>Autronic Plastics, Inc.</b>	Pub Transit & Elect Rail, Wireless Transit Lighting	260,000
<b>Avangrid Renewables, LLC</b>	LARGE SCALE RENEWABLES, Hardscrabble Wind Energy	694,493
	LARGE SCALE RENEWABLES, Hardscrabble Wind Power LLC	820,617
<b>Avenue D Investors LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,500
<b>Baldor Specialty Foods</b>	NEW CONSTRUCTION PROGRAM, NCP11949 - Baldor Expansion Ph	98,602
<b>Ballston Spa Central School</b>	Technical Services, OSEM27-C - Ballston Spa CSD	42,108
<b>Barbera Homes and Development, Inc.</b>	Low Rise New Construction, 2019 LRNCP	5,700
	Low Rise New Construction, New Construction	45,250
<b>Bard College</b>	REV Campus Challenge, RFP 3214 REV Campus Challenge	51,412
<b>Barnard College</b>	NEW CONSTRUCTION PROGRAM, NCP12987 - New Building aka Te	25,000
	Technical Services, OsEM26-C Barnard College Mult	45,563
<b>Bashing Panels LLC</b>	<200KW PV, PON 2112 NY SUN	5,208
<b>Battelle Memorial Institute</b>	Code to Zero, BMI TWO #1-NYStretch Support	13,393
<b>Bausch &amp; Lomb</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	698,571
<b>BCD:A, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	22,140
<b>BDO USA LLP</b>	Background Investigation Servi	10,200

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Beech-Nut Nutrition Company</b>	On-Site Energy Manager, OsEM37-I - Beech-Nut Nutrition	7,647
<b>Belmonte Builders</b>	Low Rise New Construction, 2019 LRNCP	10,450
<b>Bergmann Associates</b>	Commercial Imp Assist, Tech Review_Support_Umbrella	61
	Commercial Real Estate Ten, Berg-125EJefferson8,10,12,14	4,010
	Commercial Real Estate Ten, Bergman-125EJefferson7,9,11,15	3,926
	Commercial Real Estate Ten, Bergmann - Eaton Center Bldg 31	4,610
	Commercial Real Estate Ten, Bergmann - Tenant Bldout	5,000
	Commercial Real Estate Ten, Bergmann Associates - 125 E J	4,010
	Commercial Real Estate Ten, Bergmann-125EJefferson TBG	4,342
	Commercial Real Estate Ten, Bergmann-224 Harrison 8th fl	4,064
	Commercial Real Estate Ten, Bergmann-224 Harrison St	3,848
	Commercial Real Estate Ten, Bergmann-224 HarrisonTnt BI Gd	3,889
	Commercial Real Estate Ten, Bergmann-5000 Campuswood	4,615
	Commercial Real Estate Ten, Bergmann-5000 CampuswoodTBG	4,643
	EXISTING FACILITIES, Tech Review_Support_Umbrella	4,638
	Flexible Tech Assistance, FlexTech Umbrella Agreement	717
	Flexible Tech Assistance, Tech Review_Support_Umbrella	11,133
	FLEXIBLE TECHNICAL ASSISTANCE, Tech Review_Support_Umbrella	3,513
	Industrial Process Effic, IPE16237	2,882
	Industrial Process Effic, Tech Review_Support_Umbrella	7,015
	INDUSTRIAL PROCESS EFFICIENCY, Tech Review_Support_Umbrella	1,118
	REV Campus Challenge, Tech Review_Support_Umbrella	10,780
	Technical Services, Tech Review_Program Support	182
<b>Best Energy Power</b>	<200KW PV, NY Sun	358,120
	<200KW PV, NY-Sun	128,848
	>200KW PV, NY-Sun	207,552
	>200KW PV, PON 2112 NY SUN	50,682
<b>Binghamton Regional</b>	Community RH&C, PON3723 RH&C Campaigns	10,000
	REVitalize, RFP 3584 Revitalize	19,500
<b>Binghamton University</b>	NEW CONSTRUCTION PROGRAM, NCP11870 - Energy Rd Building	40,551
<b>BioDiversity Research Institute</b>	Environmental Research, ENV & Fisheries Rsrch for OSW	34,580
	Off-Shore Wind Pre-Dev Act, BRI: TWO umbrella agreement	148,166
	OREC: Technical Support, BRI TWO1 ETWG Support	23,102
<b>BJ's Wholesale Club</b>	>200KW PV, NY-Sun	374,544
<b>Black River Hydroelectric, LLC</b>	REC:CES REC Contracts, 11th Main Tier Solicitation	198,615
<b>BlocPower Community Corporation</b>	Community RH&C, PON 3922 CH&C Communities	6,000
<b>Bloom Energy Corporation</b>	FUEL CELLS, CST FC Home Depot 1223	96,384
	FUEL CELLS, HD #1236-Dewitt, NY	89,840
	FUEL CELLS, HD #1239-Schenectady, NY	88,326
	FUEL CELLS, HD #1241-Albany, NY	90,087
	FUEL CELLS, HD #1254-Utica, NY	94,393
	FUEL CELLS, HD #1262-Albany, NY	76,753
	FUEL CELLS, HD #1263-North Greenbush, NY	99,882
	REC:CES REC Contracts, 11th Main Tier Solicitation	25,549
<b>Bloomberg, L.P.</b>	NEW CONSTRUCTION PROGRAM, NCP14014 - 919 Third Avenue	68,526
<b>BOCES of Rockland</b>	NEW CONSTRUCTION PROGRAM, NCP12950 - Jesse Kaplan Buildi	1,845
<b>Bond, Schoeneck &amp; King, PLLC</b>	NYSERDA ADMINISTRATION, HR Outside Counsel Assistance	10,494
	NYSERDA ADMINISTRATION, Outside Legal Services	1,158

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Bond, Schoeneck &amp; King, PLLC</b>	OREC: Technical Support, RFP 3300 Outside Counsel Servi	934
<b>BOP Manhattan West Holdings, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10559 - Tower 1	458,906
<b>BOP West 31st Street LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12078 - Manhattan West	25,000
<b>Boston Properties</b>	NEW CONSTRUCTION PROGRAM, NCP14016 - BNYT Associates LLC	82,942
<b>BP/CGCENTER AQUISITION CO., LLC</b>	NEW CONSTRUCTION PROGRAM, NCP14055 - 601 Lexington	9,556
<b>Brattle Group Inc.</b>	ENVIRONMENTAL RESEARCH, TWO #4 Large Scale Hydropower	154,296
	REC:CES REC System Dev Costs, TWO #4 Large Scale Hydropower	270,019
<b>BRE Edison L.P.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	145,016
<b>Bridge Land Hudson LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11144 - Hudson Street	105,200
<b>Bridge Land Vestry LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12093 - 268 West Street	45,618
<b>Bridge Metals Industries</b>	Industrial Process Effic, Industrial Process Efficiency	15,362
<b>Bright Power, Inc.</b>	<200KW PV, NY Sun	208,984
	<200KW PV, NY-Sun	6,048
	>200KW PV, NY Sun	3,726
	>200KW PV, NY-Sun	9,072
	Flexible Tech Assistance, FT12093 - 205 W 39th St. - FTC	2,768
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	24,500
	Geothermal Incentive Program, FT12238-LeFracCity-5917Jct-FTC	19,884
	Novel Bus Models & Offers, 3932 Novel Business Models	200,000
	Real Time Enrgy Management, Brght Pwr-9745 Queens Blv-RTEM	56,883
	Real Time Enrgy Management, Bright Power - 221 E 71st-RTEM	12,150
	Real Time Enrgy Management, Bright Power-3000 Bronx - RTEM	0
	Real Time Enrgy Management, Bright Power-Multisite-RTEM	545,078
	Real Time Enrgy Management, BrightPower-333 Lenox-RTEM	14,111
	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	74,995
	Real Time Enrgy Management, Selfhelp Comm-Multisite-RTEM	30,360
<b>Bronx Pro Group, LLC</b>	Multifam New Construction, New Construction	28,930
<b>Bronx Pro Real Estate Management</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	21,550
<b>Bronx River Art Center, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP98026 - Bronx River Art Cen	35,138
<b>Brooklyn Healthcare Investors LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12315 - 4813 Ninth Ave Medi	48,200
<b>Brooklyn Solar One LLC</b>	>200KW PV, NY Sun	74,919
<b>Brooklyn Solar Two LLC</b>	>200KW PV, NY Sun	124,085
<b>Brooklyn SolarWorks LLC</b>	>200KW PV, PON 2112 NY SUN	42,458
<b>Broome County</b>	Clean Energy Communities, CEC011267-Broome Cnty	37,500
<b>BTMI Engineering, PC</b>	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	37,442
	OREC: Technical Support, Large-Scale Renewables	16,570
<b>Buckeye Terminals, LLC</b>	FUEL NY, Upstate NY Strategic Fuels Res	671,341
<b>Buckhurst, Fish, Jacquemart, Inc.</b>	CLEAN TRANSPORTATION, Mobile New Rochelle Feasibilit	5,795
<b>Buena Vista Associates</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	158,900
<b>Buffalo Energy, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	4,785
<b>Buffalo Geothermal Heating</b>	Geothermal Incentive Program, Large-Scale GSHP Rebate	7,402
<b>Buffalo Niagara Medical Campus, Inc.</b>	CLEAN TRANSPORTATION, Buffalo Smart Corridor Plan	35,000
	SMART GRID SYSTEMS, RFP 3044 R2	428,000
<b>Buffalo Renewables, Inc.</b>	Small Wind, Wind Turbine Incentive	35,875
<b>Buffalo Solar Solutions Inc</b>	<200KW PV, NY-Sun	32,760
	<200KW PV, PON 2112 NY SUN	47,503
	ESTOR:Retail Storage Incentive, Energy Storage	32,250
<b>Buffalo Urban Development Corporati..</b>	Commercial New Construc, NCP15003 - Workforce Train Ctr	88,269

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Build Edison LLC</b>	OTHER PROGRAM AREA, Innovation Advisors	45,457
<b>Building Media, Inc.</b>	ADVANCED ENERGY CODES, Energy Code Training and Suppo	41,821
<b>Buzzard's Ridge Group LLC</b>	<200KW PV, PON 2112 NY SUN	8,750
<b>BVG Associates LLC</b>	REC:CES REC System Dev Costs, TWO-1-IE-2019	38,500
<b>BW Research Partnership</b>	ENERGY ANALYSIS, New York Clean Energy Jobs Stu	36,875
<b>Byrne Dairy, Inc.</b>	On-Site Energy Manager, OsEM31-I - Byrne Dairy	66,347
<b>C.J. Brown Energy, P.C.</b>	Advancing Ag Enrgy Technologie, AAET - Tech Review - CJ Brown	5,791
	Commercial New Construc, Commercial New Construction	3,885
	Flexible Tech Assistance, FT12102- Gates Chili CSD - FTC	6,262
	Flexible Tech Assistance, FT12200 - Moravia CSD - FTC	3,418
	Flexible Tech Assistance, FT12228-ErieCo-92Franklin-FTC	52,448
<b>C&amp;R Housing Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	3,149
<b>Cadenza Innovation, Inc.</b>	Energy Storage Tech/Prod Dev, PON3249 ACE	67,500
<b>Callanan Industries</b>	Industrial Process Effic, Industrial Process Efficiency	13,208
<b>Calstart</b>	CLEANER GREENER COMMUNITIES, CGC54612 - CALSTART	709,794
<b>CAMBA Housing Ventures, Inc.</b>	Multifam New Construction, MFNCP PPES T2-210-214 Hege	15,550
<b>Candor Central School</b>	>200KW PV, NY Sun	5,170
<b>Capital Construction Services of NY, I..</b>	NEW YORK ENERGY STAR HOMES, New Construction	90,000
<b>Capital District Regional Planning Comm.</b>	CGC53356 - CDRPC	9,610
	CLEANER GREENER COMMUNITIES, CGC53356 - CDRPC	204,374
	Community RH&C, Cap Dist Heat & Cool Smart Cam	45,500
<b>Capital Region Gaming LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13190 - Mohawk Casino-OFLT	102,651
<b>Carbon Trust Advisory Limited</b>	Carbon Trust OSW Consortium	20,332
	Nat'l OffShWind R&D Consortium, Carbon Trust OSW Consortium	40,168
<b>Cascades Containerboard Packaging</b>	Flexible Tech Assistance, FT12204-CCP-Niagara Falls-PON	6,166
<b>CDG Huron Solar 1 LLC</b>	>200KW PV, NY Sun	218,903
<b>CDG Sodus Solar 1 LLC</b>	<200KW PV, NY-Sun	303,345
<b>CDS Monarch Inc</b>	Low Rise New Construction, New Construction	50,000
<b>CEC Stuyvesant Cove, Inc.</b>	CLEANER GREENER COMMUNITIES, CGC55294 - Solar One	324,386
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	16,988
<b>Center for Community Transportation</b>	CLEAN TRANSPORTATION, H+T index for Tompkins County	25,796
<b>Center for Sustainable Energy</b>	CLEAN TRANSPORTATION, Centralized Services & Support	33,072
	Consumer Ed and Market Support, RFP3945 Home Energy Rating Pil	-97,740
	Electric Vehicles - Rebate, TWO #3 - Drive Clean Program	231,113
	Home Energy Ratings, RFP3945 Home Energy Rating Pil	187,067
	OTHER PROGRAM AREA, Centralized Services & Support	64,737
<b>Centerstate Corporation for</b>	Cleantech Incubator, PON3413 Clean Energy Incubator	130,000
<b>Central New York Regional Planning and</b>	CLEANER GREENER COMMUNITIES, CGC57053 - CNY RPDB	428,226
	Community RH&C, PON3723 RH&C Campaigns	16,000
	SMART GRID SYSTEMS, RFP 3044 R2	99,140
<b>CES Danbury Solar, LLC</b>	>200KW PV, PON 2112 NY SUN	319,302
<b>CH4 Generate Cayuga, LLC</b>	Anaerobic Digesters, ADG-to-Electricity Project	162,297
<b>CHA Consulting Inc.</b>	CI Carbon Challenge, CICC RED Roch. Tech Review	24,343
	Commercial Real Estate Ten, SA.051_TWO #6_EP&E APM	9,204
	EXISTING FACILITIES, SA.051_TWO #6_EP&E APM	28,404
	EXISTING FACILITIES, Technical Review and Program S	31,628
	Flexible Tech Assistance, FT12226-UltraDairy-6750W-FTC	34,490
	Flexible Tech Assistance, FT12234-Lydall-68 George-FTC	5,563

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>CHA Consulting Inc.</b>	Flexible Tech Assistance, FT12261 - Union Coll CHP - FTC	4,881
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	11,631
	Flexible Tech Assistance, Staff Augmentation Services	33,166
	FLEXIBLE TECHNICAL ASSISTANCE, Staff Augmentation Services	0
	Industrial Process Effic, IPE16249	4,088
	Industrial Process Effic, Outreach Support	106,002
	Industrial Process Effic, Staff Augmentation Services	49,602
	Industrial Process Effic, Technical Review and Program S	166,833
	INDUSTRIAL PROCESS EFFICIENCY, Staff Augmentation Services	86,434
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	94,394
	K-12 SCHOOLS, SA.051_TWO #6_EP&E APM	16,764
	On-Site Energy Manager, Outreach Support	11,794
	On-Site Energy Manager, Staff Augmentation Services	0
	REV Campus Challenge, SA.051_TWO #6_EP&E APM	9,230
	Strategic Energy Manager, Outreach Support	10,530
	Strategic Energy Manager, Staff Augmentation Services	4,180
Technical Services, SA.051_TWO #6_EP&E APM	8,092	
<b>Channel Capital LLC</b>	OTHER PROGRAM AREA, Innovation Advisor	31,347
<b>Chautauqua County</b>	Clean Energy Communities, CEC111465 Chautauqua Co	41,250
	LARGE SCALE RENEWABLES, Chautauqua LFGE	125,675
<b>Chelsea W26 LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	69,369
<b>Chester NY 1, LLC</b>	>200KW PV, NY-Sun C/I	124,046
<b>Choice New York Management</b>	Technical Services, OsEM22-C - Choice New York	43,948
<b>CIR ELECTRICAL CONSTRUCTION C..</b>	<200KW PV, PON 2112 NY SUN	364,587
<b>Citigroup Technology, Inc.</b>	ADVANCED BUILDINGS, EFP/DMP2465 - Citigroup	0
	COMBINED HEAT AND POWER, CHPA - 390 Greenwich St	825,000
	EXISTING FACILITIES, DMP Bonus - EFP2465 -CitiGroup	555,598
	EXISTING FACILITIES, EFP/DMP2465 - Citigroup	506,134
	Flexible Tech Assistance, FT12294 - 390 Greenwich - CHP	92,500
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	842,864
<b>Citistaffing, LLC</b>	NEW YORK GREEN BANK, TS.008 - NYGB Office Admin	18,962
<b>Citizens Chenango Solar LLC</b>	>200KW PV, NY Sun	767,981
<b>City of Amsterdam</b>	Clean Energy Communities, CEC600876 City of Amsterdam	36,750
<b>City of Auburn</b>	LARGE SCALE RENEWABLES, Mill Street Dam Hydro	9,416
	REC:CES REC Contracts, 11th Main Tier Solicitation	10,575
<b>City of Binghamton</b>	Clean Energy Communities, City of Binghamton	0
	SMART GRID SYSTEMS, RFP 3044 R2	895,649
<b>City of Canandaigua</b>	Clean Energy Communities, CEC300331 - City of Canandaigu	49,750
<b>City of Cortland</b>	Anaerobic Digesters, ADG-to-Electricity Project	375,089
	CLEANER GREENER COMMUNITIES, CGC29757 - City of Cortland	27,188
<b>City of Long Beach</b>	CLEANER GREENER COMMUNITIES, City of Long Beach	24,994
<b>City of Peekskill</b>	CLEANER GREENER COMMUNITIES, City of Peekskill	50,000
<b>City of Poughkeepsie</b>	CLEANER GREENER COMMUNITIES, CGC40849 - City of Poughkeepsi	125,500
<b>City of Rensselaer</b>	CLEANER GREENER COMMUNITIES, CGC41631 - City of Rensselaer	53,375
<b>City of Rochester</b>	Community RH&C, PON3723 RH&C Campaigns	19,000
	Technical Services, OsEM32-C - City of Rochester	18,594
<b>City of Salamanca</b>	CLEANER GREENER COMMUNITIES, City of Salamanca	25,000
<b>City of Sherrill</b>	CLEANER GREENER COMMUNITIES, CEC600925 - City of Sherrill	16,250



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>City of Troy</b>	CEC410003 - City of Troy	2,500
	Clean Energy Communities, CEC410003 - City of Troy	12,500
<b>City of Utica</b>	Clean Energy Communities, CEC610836 - City of Utica	128,866
	CLEANER GREENER COMMUNITIES, CGC40774 - City of Utica	118,050
	Community RH&C, Heat & Cool for Utica NYTBD	33,000
	NY-SUN, Affordable Solar in Utica	20,000
<b>City of Watervliet</b>	CLEANER GREENER COMMUNITIES, CGC39768 - City of Watervliet	33,500
<b>City Parks Foundation</b>	GREENING THE BRONX, Efficiency Planning & Engineer	684,750
<b>CJ Plaza One LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	135,000
<b>CJ Plaza Two LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	39,000
<b>CJ Solar 1, LLC</b>	>200KW PV, C&I PV Project City of Utica	188,490
<b>Clarkson University</b>	OTHER PROGRAM AREA, PON3249 Additive Manufacturing	150,000
<b>Clean Technologies A LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	16,892
<b>CLEAResult Consulting, Inc.</b>	>200KW PV, Centralized Services & Support	40,494
	Air Source Heat Pumps, Centralized Services & Support	52,549
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Centralized S..	0
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Technical Sup..	13,811
	Centralized Services & Support	0
	Commercial New Construc, Centralized Services & Support	20,483
	Commercial Real Estate Ten, Centralized Services & Support	38,146
	EMPOWER NY, Centralized Services & Support	20,000
	EMPOWER NY, Technical Support SFR	74,202
	ESTOR: Implementation Support, Centralized Services & Support	17,189
	EXISTING FACILITIES, Centralized Services & Support	41,987
	Geothermal Incentive Program, Centralized Services & Support	50,212
	GJGNY Market Rate Audits, TWO #13 - SFR	0
	Healthy Homes VB Payment Pilot, Centralized Services & Support	0
	Healthy Homes VB Payment Pilot, Technical Support SFR	8,862
	Home Energy Ratings, TWO #13 - SFR	6,639
	Home Perf w Energy Star, Centralized Services & Support	605,331
	Home Perf w Energy Star, Technical Support SFR	1,337,746
	Home Perf w Energy Star, TWO #13 - SFR	1,660
	HOME PERFORMANCE WITH ENERGY STAR, Centralized Services & Su..	0
	HOME PERFORMANCE WITH ENERGY STAR, Technical Support SFR	28,145
	Industrial Process Effic, Centralized Services & Support	13,794
	K-12 SCHOOLS, Centralized Services & Support	-41,942
	LMI Community Solar, Centralized Services & Support	64,363
	Low Rise New Construction, Centralized Services & Support	89,241
	Multifam New Construction, Centralized Services & Support	37,476
	Multifam Performance Pgm, Centralized Services & Support	33,893
New Construction- Commercial, Centralized Services & Support	0	
New Construction- Housing, Centralized Services & Support	0	
NEW YORK ENERGY STAR HOMES, Centralized Services & Support	1,293	
NYSERDA ADMINISTRATION, Phone Email & Web Support	60,937	
Renewable Heat NY, Centralized Services & Support	22,544	
Technical Services, Centralized Services & Support	24,478	
Technical Support SFR	250,810	
<b>Climate Action Associates LLC</b>	OTHER PROGRAM AREA, DOE grant - UER - CAA Admin	105,496

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Climate Change &amp; Environmental</b>	Commercial Real Estate Ten, CCES - Multisite	18,455
<b>CMC Energy Services, Inc</b>	Market Tests, Community Blitz Pilot Project	170,000
<b>CMR Solar LLC</b>	>200KW PV, NY-Sun C/I	587,373
<b>CNY Solar, Inc.</b>	<200KW PV, PON 2112 NY SUN	68,288
<b>Code Green Solutions, Inc.</b>	Commercial Real Estate Ten, CodeGreen_Madam Tussauds	11,000
	Flexible Tech Assistance, FT12063- ABS 270 Madison - FTC	3,099
	Flexible Tech Assistance, FT12083-Met Tower Diamond-FTC	4,989
	Flexible Tech Assistance, FT12201 - Super Nova 330 - FTC	4,990
	Flexible Tech Assistance, FT12202 - 3ColumbusCircle - FT	11,476
	Flexible Tech Assistance, FT12230-CBRE-123 William-FTC	12,006
	Flexible Tech Assistance, FT12235-OneCity-111 8th-FTC	13,495
	Flexible Tech Assistance, FT12240-RXR Realty-530 5th-FTC	7,993
	Flexible Tech Assistance, FT12251 - Macklowe - FTC	11,273
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	76,880
<b>Cogen Power Technologies LLC</b>	SMART GRID SYSTEMS, RFP 3044 R2	396,200
<b>Cogeneration Contractors, Inc.</b>	COMBINED HEAT AND POWER, CHP Acceleration Program	510,400
	Combined Heat and Power, CHPA - Memorial Sloan Ketterin	445,500
	COMBINED HEAT AND POWER, CHPA - River Park Residences	459,000
	COMBINED HEAT AND POWER, CHPA - Village East Towers	76,577
<b>Cohen Ventures Inc</b>	Air Source Heat Pumps, Product and Appliance Standard	37,572
<b>Columbia University</b>	Industrial Process Effic, Industrial Process Efficiency	60,771
<b>Columbia University Medical Center</b>	NEW CONSTRUCTION PROGRAM, NCP10439 - Columbia Universit	29,669
<b>Combined Energies LLC</b>	Energy Storage Tech/Prod Dev, PON 3585 Energy Storage Cat B	91,475
<b>COMMET 380, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP11588 - Better Madison Aven	179,540
<b>Common Energy LLC</b>	LMI Community Solar, RFP3802 Low Income Comm Solar	111,530
<b>Common Ground Community II HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	375,900
<b>Community Access, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	75,600
<b>Comunilife, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	238,450
<b>CON EDISON SOLUTIONS, INC.</b>	>200KW PV, Commercial/Industrial	128,551
<b>Concern for Independent Living, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,750
<b>Conductors Court NY TC, LP</b>	Multifam Performance Pgm, Multifamily	29,400
<b>Corelle Brands LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	125,142
<b>Corelogic, Inc.</b>	Informat. Products & Brokering, RFQL 3711 CoreLogic Bldg Data	42,000
<b>Cornell Cooperative Ext. Dutchess Co..</b>	Community Energy Engagement, CEEP Mid-Hudson Region (CCEDC)	46,766
<b>Cornell Cooperative Extension - Tompkins</b>	Community Energy Engagement, CEEP North Country	20,515
	Community Energy Engagement, CEEP Southern Tier Region (CCE	59,419
	OTHER PROGRAM AREA, CEEP North Country	8,833
	OTHER PROGRAM AREA, CEEP Southern Tier Region (CCE	31,500
<b>Cornell University</b>	>200KW PV, NY Sun	101,554
	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	18,000
	Environmental Research, AQHE PON 3921	9,511
	ENVIRONMENTAL RESEARCH, improve EE of crop production	0
	OTHER PROGRAM AREA, 76West Building a Clean Energy	310,046
	OTHER PROGRAM AREA, 76West TWO 27	161,440
	OTHER PROGRAM AREA, 76West TWO 28	80,627
	OTHER PROGRAM AREA, 76West TWO 29	133,935
	OTHER PROGRAM AREA, 70333 TWO 30	13,106
<b>Cornell University-Office of Sponsored</b>	ENVIRONMENTAL RESEARCH, Building Downwash Effect	53,959

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Cornell University-Office of Sponsored P</b>	RENEWABLE HEAT NY, Biomass-Fired Emission Sources	49,494
	SMART GRID SYSTEMS, Anaerobic Digestion Assistance	88,063
<b>Cornerstone Energy Services</b>	Renewable Heat NY, Cornerstone - Meissner	23,310
	Renewable Heat NY, Cornerstone - Monks-Kelly	15,750
	Renewable Heat NY, Cornerstone - Sullivan	7,000
	Talent Pipeline:CE and OJT, OJT HIRE	280
<b>Corning Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP10752 - New Corning Hospita	25,000
<b>Corning Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	743,404
	On-Site Energy Manager, OsEM14-I-Erwin Manufacturing	97,262
<b>Cortex Building Intelligence, Inc.</b>	Real Time Enrgy Management, Cortex-350 5th Ave-RTEM	32,400
<b>County of Chenango</b>	Clean Energy Communities, CEC011260-Chen Cnty	750
<b>County of Oneida</b>	ANAEROBIC DIGESTER, RPS ADG - Oneida County Sewer	247,194
<b>Credit Suisse USA</b>	NEW CONSTRUCTION PROGRAM, NCP12333 - Eleven Madison Aven	9,555
<b>CrystalCreek Organics Inc.</b>	OTHER PROGRAM AREA, Trial to enhance anaerobic dig	149,000
<b>CSA Parma Solar 1, LLC</b>	>200KW PV, NY Sun C/I	243,945
<b>Culture Shed</b>	NEW CONSTRUCTION PROGRAM, NCP11418 - Culture Shed	132,759
<b>Currier Plastics</b>	Industrial Process Effic, Industrial Process Efficiency	160,573
<b>Cutone &amp; Company Consultants, LLC</b>	Commercial Real Estate Ten, LC Assoc-575 Lex Ave-CT	10,568
	Commercial Real Estate Ten, LCA-2488 Grand Concourse-CT	4,029
	Commercial Real Estate Ten, LCA-JPMC#4-Multisite-CT	0
<b>Cypress Hills Local Development Corporat</b>	GREEN AFFORDABLE HOUSING, Multifamily	4,742
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	23,708
<b>D &amp; R International Ltd</b>	Eval MCDC Cross Cutting, Heating & Cooling Reports	0
	EVALUATION, Heating & Cooling Reports	23,100
<b>Dagmy Motors Inc.</b>	Energy Storage Tech/Prod Dev, PON 3585 R2	8,247
<b>Dailey Electric Inc</b>	Talent Pipeline:CE and OJT, OJT HIRE	1,248
<b>Dandelion Energy Inc</b>	NextGen HVAC, PON3519 Round 1	375,000
	Novel Bus Models & Offers, 3932 Novel Business Models	135,417
	Talent Pipeline:CE and OJT, OJT HIRE	10,526
<b>Darling Advertising Agency Inc.</b>	New Construction- Housing, Marketing Support for NYSERDA	28,252
	Off-Shore Wind Pre-Dev Act, Marketing Support for NYSERDA	88,778
<b>David Homes, Inc.</b>	Low Rise New Construction, New Construction	10,450
<b>David P Bruns</b>	NEW YORK ENERGY STAR HOMES, New Construction	96,000
<b>Davidson Equities LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11857 - Vernon Blvd Towers	64,727
<b>Davis Polk &amp; Wardwell LLP</b>	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	7,540
<b>Dayton T. Brown, Inc.</b>	Pub Transit & Elect Rail, Subway energy use analysis	17,596
<b>Delaware River Solar, LLC</b>	>200KW PV, NY Sun C&I	786,240
	>200KW PV, NY Sun CI Assignment	634,365
	>200KW PV, NY-Sun CI Assignment	165,327
<b>Delta Dental of New York</b>	NYSERDA ADMINISTRATION, Delta Dental Premiums 2020-202	105,445
<b>DePaul Properties, Inc.</b>	Low Rise New Construction, New Construction	48,000
<b>DiLernia Marine Services, Inc</b>	OREC: Technical Support, OSW Fisheries Liaison	22,044
<b>Dillon Klepetar</b>	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	11,500
<b>Dimien Inc.</b>	Energy Storage Tech/Prod Dev, zVO pouch cell proof concept	67,500
<b>Dithold Associates LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13141 - Ditmas Park Care Ce	24,354
<b>DMV EQUITY, INC.</b>	<200KW PV, PON 2112 NY SUN	5,740
<b>DNV GL Energy Insights USA Inc.</b>	ADVANCED BUILDINGS, Evaluation Oversight Services	62,215
	Campus/Technical Assistance, RFQ 3183 KEMA, Inc	4,246

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>DNV GL Energy Insights USA Inc.</b>	Clean Energy Communities, TWO 9 - CEC	217,596
	Commercial Real Estate Ten, TWO 1 - CRE Tenant MAR Survey	114,831
	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	8,488
	Community RH&C, RFQ 3183 KEMA, Inc	3,244
	ENERGY ANALYSIS, TWO#1 OSW Resource Planning	48,580
	EVALUATION, RFQ 3183 KEMA, Inc	139,301
	EVALUATION, TWO 7 - T&MD 2014-18 Impact Ev	77,483
	Geothermal Incentive Program, RFQ 3183 KEMA, Inc	23,941
	K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	9,203
	NEW YORK GREEN BANK, RFQ 3183 KEMA, Inc	88,795
	Off-Shore Wind Pre-Dev Act, RFP3855 Cat2 DMAC Float. LiDar	7,500
	OREC: Technical Support, TWO#1 OSW Resource Planning	80,966
	Renewable Heat NY, RFQ 3183 KEMA, Inc	13,115
	REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	10,382
<b>DNV GL Energy Services USA Inc.</b>	ENVIRONMENTAL RESEARCH, Building-Resiliency Assessment	40,269
<b>Dolomite Products Group, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	13,307
<b>DRYDEN-TOMPKINS SOLAR I LLC</b>	>200KW PV, NY-Sun C&I	5,630,429
<b>Dual Fuel Corp</b>	Real Time Enrgy Management, DF - 105 East 29th St - RTEM	30,863
	Real Time Enrgy Management, DF - 569 W 173rd St - RTEM	19,950
	Real Time Enrgy Management, DF - 718 Broadway - RTEM	5,055
	Real Time Enrgy Management, DF - 815 West 180th St - RTEM	18,000
	Real Time Enrgy Management, Dual Fuel – 70 Prospect - RTEM	27,300
	Real Time Enrgy Management, Dual Fuel-36 E 22nd St-RTEM	0
	Real Time Enrgy Management, Dual Fuel-60 W Broad-RTEM	43,892
	Real Time Enrgy Management, Dual Fuel-100 Lawn Terr-RTEM	0
	Real Time Enrgy Management, Dual Fuel-215 E 59th St-RTEM	0
	Real Time Enrgy Management, Dual Fuel-304 St Johns PI-RTEM	0
	Real Time Enrgy Management, Dual Fuel-409 E 84th St-RTEM	0
	Real Time Enrgy Management, Dual Fuel-447 Fort Washin-RTEM	0
	Real Time Enrgy Management, Dual Fuel-905-907 Palmer-RTEM	49,394
	Real Time Enrgy Management, Dual Fuel-3400 Ft Ind St-RTEM	0
Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	150,000	
<b>Dunkirk Renovation and Ownership, L..</b>	Low Rise New Construction, New Construction	27,600
<b>Dunn Paper</b>	Industrial Process Effic, Industrial Process Efficiency	117,277
<b>Dynamic Energy Solutions, LLC</b>	>200KW PV, NY Sun	234,807
	>200KW PV, NY-Sun C&I	41,844
<b>E&amp;S Environmental Chemistry Inc.</b>	ENVIRONMENTAL RESEARCH, 127159 TWO#1	9,877
<b>Eagle Creek Hydro Power LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	65,800
<b>Earth Environmental Group, LLC</b>	RENEWABLE THERMAL, Solar Thermal Incentives	10,000
<b>Earth Sensitive Solutions, LLC</b>	Geothermal Incentive Program, Large-Scale GSHP Rebate	4,700
<b>East 138th Street, LLC.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	57,600
<b>East Village 14 LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	77,400
<b>Eastern Research Group, Inc.</b>	CLEAN TRANSPORTATION, eTru Standards Development	16,103
	Environmental Research, Environmental Outreach	22,506
<b>Ecolectro Inc</b>	Cleantech Ignition, PON 3871 Ignition Grants	20,000
	Energy Storage Tech/Prod Dev, Modular Ultra-Stable Alkaline	72,800
	OTHER PROGRAM AREA, PON3249 ACE-Exploratory resear	105,092
<b>Ecology and Environment Engineering</b>	CLEANER GREENER COMMUNITIES, CGC Implementation Contractor	246,686

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Ecology and Environment Engineering</b>	Off-Shore Wind Master Plan, RFP3462 Umbrella Agreement	0
	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	39,988
	Off-Shore Wind Pre-Dev Act, TWO#17 Fishing Lanes	6,584
	OREC: Technical Support, TWO#19 SEIS for CLCPA	62,936
	REC:CES REC System Dev Costs, TWO#19 SEIS for CLCPA	26,973
<b>EcoMarkets LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	24,240
<b>Edison Energy Group Inc</b>	K-12 SCHOOLS, FlexTech Consultant Selection	50,057
<b>Eiger 3970 Consultants Inc.</b>	<200KW PV, NY-Sun	337,329
	<200KW PV, PON 2112 NY SUN	10,819
	NY-SUN, NY-Sun	224,886
<b>Einhorn Yaffee Prescott Architecture ..</b>	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10129	0
<b>Ekostinger, Inc.</b>	76 West, 76 West Energy Bus Competition	150,000
	OTHER PROGRAM AREA, 76 West Energy Bus Competition	0
<b>Electric Power Research Institute</b>	DER Integration(Intrcnct), PON 3404 DER Integration	60,000
	Environmental Research, Energy Related Air Quality	34,370
	High Performing Grid, PON 3397 CAT D	155,900
<b>ELH Construction Company, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	56,000
<b>Elisa Miller-Out</b>	OTHER PROGRAM AREA, RFP 3859	36,916
<b>Elmwood East Solar 1, LLC</b>	>200KW PV, NY-Sun C&I	112,294
<b>Elmwood West Solar 1, LLC</b>	>200KW PV, NY-Sun C&I	135,992
<b>EMCOR Services Betlem</b>	Flexible Tech Assistance, FT12084 - Gleason Works - FTC	4,791
	Flexible Tech Assistance, FT12207-AmericanPack-FTC	9,448
	Flexible Tech Assistance, FT12222-IsleChem-2801 Long-FTC	10,176
<b>EME Consulting Engineering Group, LLC</b>	Commercial Real Estate Ten, FlexTech Consultant Selection	13,338
	Commercial Real Estate Ten, SA.052_TWO#9_EP&E PM	10,625
	Commercial Real Estate Ten, Staff Augmentation Services	73,137
	EXISTING FACILITIES, SA.052_TWO#9_EP&E PM	48,166
	EXISTING FACILITIES, Staff Augmentation Services	52,816
	Flexible Tech Assistance, FT12080-NYU Langone Bkyn-FTC	36,424
	Flexible Tech Assistance, FT12267 -Barnard College- FTC	5,087
	Flexible Tech Assistance, Staff Augmentation Services	73,905
	Home Perf w Energy Star, Staff Augmentation Services	37,636
	Industrial Process Effic, Staff Augmentation Services	12,958
	INDUSTRIAL PROCESS EFFICIENCY, Staff Augmentation Services	65,419
	K-12 SCHOOLS, SA.052_TWO#9_EP&E PM	16,791
	MARKET PATHWAYS, FlexTech Consultant Selection	37,821
	NEW CONSTRUCTION PROGRAM, Tech Review and Program Staff	6,327
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	0
	New Construction- Commercial, SA.038A_TWO #7 - New Con	29,740
	New Construction- Housing, SA.038A_TWO #7 - New Con	59,480
	NY-SUN, Staff Augmentation Services	-529
	NYSERDA ADMINISTRATION, Staff Augmentation Services	0
	Real Time Enrgy Management, SA.056_TWO #10_RTEM MF PM	75,383
	Renewable Heat NY, Staff Augmentation Services	9,409
	Retrofit NY, SA.057_TWO #11 - Multifam APM	56,230
	REV Campus Challenge, SA.036c_TWO#8_EP&E PM	41,892
REV Campus Challenge, SA.052_TWO#9_EP&E PM	10,535	
REV Campus Challenge, Staff Augmentation Services	18,210	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>EME Consulting Engineering Group, LLC</b>	Staff Augmentation Services	48,747
	Strategic Energy Manager, Staff Augmentation Services	5,257
	Talent Pipeline:CE and OJT, OJT HIRE	33,772
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
	Technical Services, SA.036c_TWO#8_EP&E PM	41,892
	Technical Services, SA.052_TWO#9_EP&E PM	9,426
	Technical Services, Westchester Tech Services	10,008
<b>Empire Solar Solutions LLC</b>	<200KW PV, PON 2112 NY SUN	40,246
<b>Empire State Realty Trust</b>	EXISTING FACILITIES, EFP1855 - Empire State Buildin	84,225
<b>Empower CES, LLC</b>	<200KW PV, NY Sun	62,144
	<200KW PV, PON 2112 NY SUN	10,987
	ENERGY STORAGE, PON 2112 NY SUN	25,000
<b>Empower Equity Inc</b>	Novel Bus Models & Offers, EMPEQ - Scaling a Novel Busine	190,000
<b>ENER-G Rudox, LLC</b>	Combined Heat and Power, CHPA - 250 South Street	112,646
	Combined Heat and Power, CHPA - 685 1st Avenue	147,010
	COMBINED HEAT AND POWER, CHPA - Michaelangelo Hotel	154,747
	Combined Heat and Power, CHPA - The Rector	112,646
<b>Eneractive Solutions</b>	K-12 SCHOOLS, FlexTech Consultant Selection	0
<b>Enercon Services Inc</b>	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licence Consultat..	12,757
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 1 - Review of Draft Re..	30,593
<b>Energy &amp; Resource Solutions, Inc.</b>	Air Source Heat Pumps, TWO 6 - Performance Monitoring	39,340
	Campus/Technical Assistance, Concierge Services - ERS - TWO	1,702
	Combined Heat and Power, RFP 3643 Tech To Market	422,166
	Commercial New Construc, New Construction	0
	Commercial Real Estate Ten, Efficiency Planning & Engineer	56,599
	Commercial Real Estate Ten, TWO 5 CEF Comm Impact_ERS	3,216
	Electric Vehicles - Innovation, Concierge Services - ERS - TWO	851
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	45,729
	EVALUATION, TWO 2 - EEPS2 Closeout	1,226,675
	EVALUATION, TWO 3 - GJGNY Audit Only Study	50,025
	EVALUATION, TWO 6 - Performance Monitoring	8,742
	EXISTING FACILITIES, Technical Review and Program S	10,008
	Flexible Tech Assistance, Efficiency Planning & Engineer	2,436
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	23,243
	Geothermal Incentive Program, TWO 6 - Performance Monitoring	39,340
	Industrial Process Effic, Concierge Services - ERS - TWO	1,288
	Industrial Process Effic, Industrial & Agriculture	20,578
	Industrial Process Effic, Technical Review and Program S	12,491
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	13,406
	K-12 SCHOOLS, Efficiency Planning & Engineer	0
	K-12 SCHOOLS, TWO 5 CEF Comm Impact_ERS	4
	Multifam Performance Pgm, Concierge Services - ERS - TWO	851
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	0
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	6,223
	On-Site Energy Manager, Concierge Services - ERS - TWO	851
	On-Site Energy Manager, Industrial & Agriculture	2,991
	Real Time Enrgy Management, Concierge Services - ERS - TWO	1,702
Real Time Enrgy Management, Efficiency Planning & Engineer	4,083	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Energy &amp; Resource Solutions, Inc.</b>	REV Campus Challenge, Efficiency Planning & Engineer	112,045
	REV Campus Challenge, TWO 5 CEF Comm Impact_ERS	2,123
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Categories 2 & 3A	147,374
	Strategic Energy Manager, Industrial & Agriculture	2,671
	Technical Services, Concierge Services - ERS - TWO	1,702
	Technical Services, Efficiency Planning & Engineer	6,287
<b>Energy and Environmental Economics Inc.</b>	Community RH&C, TWO 18 for Phase 2 Analysis	123,460
	Electric Vehicles - Innovation, TWO#19 - EVSE/Util. Investment	10,526
	ENERGY ANALYSIS, 101127 TWO#14	50,243
	ENERGY ANALYSIS, TWO#15 Solar PV Adoption Forec	20,510
	EVALUATION, TWO #17 Heat Pump Analysis	37,446
	EVALUATION, TWO# 14 - Grid Value Model	41,000
	Mkt Char: Tech Assist, Tech Assist, REV Pool.	15,584
	Mkt Char: Tech Assist, TWO 13 - VDER Phase 2	28,426
	Mkt Char: Tech Assist, TWO #17 Heat Pump Analysis	1,660
Mkt Char: Tech Assist, TWO# 14 - Grid Value Model	755	
<b>Energy Futures Group, Inc.</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	44,676
<b>Energy Improvement Corporation</b>	Community RH&C, PON3723 RH&C Campaigns	41,250
<b>Energy Power investment Company, L..</b>	LARGE SCALE RENEWABLES, Large-Scale Renewables	291,765
<b>Energy Technology Savings, Inc.</b>	Real Time Enrgy Management, Edison Prop-5020 Broadway-RTEM	3,360
	Real Time Enrgy Management, Energy Tec-108 W 107th St-RTEM	7,893
	Real Time Enrgy Management, Energy Tech-131 Varick St-RTEM	8,493
	Real Time Enrgy Management, Energy Tech-552 Main St-RTEM	1,968
	Real Time Enrgy Management, Energy Tech-645 W 45th St-RTEM	8,415
	Real Time Enrgy Management, Energy Tech-757 3rd Ave RTEM	33,126
	Real Time Enrgy Management, Energy Tech-2138 1st Ave-RTEM	8,493
	Real Time Enrgy Management, ETS - 21 West End Ave - RTEM	0
	Real Time Enrgy Management, ETS - 101 West End Ave - RTEM	0
	Real Time Enrgy Management, ETS - 353 Chester St - RTEM	1,691
	Real Time Enrgy Management, ETS, Inc - 757 3rd Ave - RTEM	61,997
<b>Energy Vision</b>	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	9,500
<b>Enertiv Inc.</b>	Real Time Enrgy Management, Enertiv - 100 Willoughby -RTEM	0
	Real Time Enrgy Management, Enertiv - 401 W 25th St - RTEM	5,505
	Real Time Enrgy Management, Enertiv-146 E 56th Street-RTEM	1,170
<b>Ensave, Inc.</b>	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech PON	25,500
	AGRICULTURE ENERGY EFFICIENCY, AEEP Implementation Contractor	2,669
	Technical Services, AEEP Implementation Contractor	172,889
	Technical Services, Agricultural Best Practices	1,137
<b>EnterSolar LLC</b>	<200KW PV, NY Sun	116,708
	<200KW PV, PON 2112 NY SUN	45,126
	>200KW PV, NY Sun	216,171
	>200KW PV, NY-Sun C/I	88,304
<b>Environmental Defense Fund</b>	Commercial Real Estate Ten, Support_NYC Carbon Challenge	7,952
<b>Eonix LLC</b>	Energy Storage Tech/Prod Dev, PON 3585 R2	98,246
<b>EPP Team, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	8,956
<b>EPR Properties</b>	NEW CONSTRUCTION PROGRAM, NCP13170 - Adelaar Hotel and I	220,000
<b>Equinix Inc.</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	199,861
<b>Erdman Anthony &amp; Associates, Inc.</b>	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUmbrella	2,172

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Erdman Anthony &amp; Associates, Inc.</b>	Commercial New Construc, Commercial New Construction	38,619
	Commercial New Construc, Commerical New Construction	1,048
	Commercial New Construc, RFP3771 Umbrella Contract	6,859
	Industrial Process Effic, Technical Review and Program S	1,715
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	1,309
	NEW CONSTRUCTION PROGRAM, NCP TA Contract - STD10134	0
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	0
	Technical Services, AEAP	1,062
	Technical Services, RFP3628FlexTechConsultUmbrella	1,021
<b>Erie Boulevard Hydropower LP</b>	LARGE SCALE RENEWABLES, RPS Program Purchase of Renewa	4,064
	LARGE SCALE RENEWABLES, School Street Hydro Project	61,021
	LARGE SCALE RENEWABLES, Stewarts Bridge Hydro Project	94,731
	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	14,565
	REC:CES REC Contracts, 11th Main Tier Solicitation	36,247
<b>ERY Retail Podium LLC</b>	COMBINED HEAT AND POWER, Supplier Name Change	300,000
<b>ERY South Residential Tower LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11332-15 Hudson Yards-OFLT	401,656
<b>Ery Tenant LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10227 - 30 Hudson Yards	309,847
	NEW CONSTRUCTION PROGRAM, NCP10565 - Retail Hudson Yards	50,133
	NEW CONSTRUCTION PROGRAM, NCP11551 - Hudson Yards E	325,730
<b>Essense Partners Inc.</b>	Cleantech ICC Engage, Marketing Support for NYSERDA	33,728
	Electric Vehicles - Innovation, Marketing Support for NYSERDA	142,611
	Electric Vehicles - Innovation, PON 3578 R1 CAT4	32,815
	OTHER PROGRAM AREA, Marketing Support for NYSERDA	41,758
	REV Connect, Marketing Support for NYSERDA	4,500
<b>Essex County Government Center</b>	CLEANER GREENER COMMUNITIES, CGC31777 - Essex County	64,769
<b>EV Connect Inc.</b>	CLEANER GREENER COMMUNITIES, CGC55811 - EV Connect	158,544
<b>Extraterrestrial Materials Inc.</b>	<200KW PV, NY-Sun	5,494
	<200KW PV, PON 2112 NY SUN	31,743
<b>Fairport Municipal Commission</b>	CLEANER GREENER COMMUNITIES, CEC300330-Vill of Fairport	37,500
<b>Faraday, Inc.</b>	Air Source Heat Pumps, RFP3761 Customer Targeting Too	34,083
	Community RH&C, RFP3761 Customer Targeting Too	68,167
	Informat. Products & Brokering, RFP3761 Customer Targeting Too	0
<b>FFP NY Guilderland Project1, LLC</b>	>200KW PV, NY-Sun C&I	107,342
<b>FFP NY Schaghticoke Project1, LLC</b>	>200KW PV, NY-Sun C&I Payee Assignment	105,815
<b>FFP NY Schenectady Project1, LLC</b>	>200KW PV, NY-Sun C&I Assignment	109,578
<b>FFP NY Watertown Project1, LLC</b>	>200KW PV, NY-Sun C&I Assignment	96,474
<b>Fifth Avenue Committee, Inc.</b>	NY-SUN, FAC Solar	72,330
<b>Finch Paper, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	540,461
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	45,751
<b>First Columbia Property Services, LLC</b>	NYSERDA ADMINISTRATION, Property Management	99,383
<b>First Jamaica Community &amp; Urban</b>	Multifam New Construction, MFNCP PHIUS T3-Tree of Life	75,000
<b>Flexo Transparent Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	22,645
<b>Flight Center Hotel, LLC</b>	Commercial New Construc, NCP16002 - TWA Hotel	283,161
<b>Florenton River LLC</b>	<200KW PV, PON 2112 NY SUN	14,411
<b>Forbes-Capretto Homes</b>	Low Rise New Construction, 2019 LRNCP	14,250
	New Construction- Housing, 2019 LRNCP	5,700
<b>Fortuna Fifth Ave LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11596 - 25-27 West 38th Str	75,816
<b>Four Points Group, Inc.</b>	OTHER PROGRAM AREA, RFQL 3685 R2	37,814



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Fourth Coast, Inc.	<200KW PV, PON 2112 NY SUN	61,612
Franklin Plaza Apartments, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	538,560
Fred F. Collis & Sons, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	40,379
Frederick A Proven	<200KW PV, PON 2112 NY SUN	23,184
Friends Seminary	NEW CONSTRUCTION PROGRAM, NCP13054-TownhousesRenovation	35,236
Frontier Energy, Inc.	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	Air Source Heat Pumps, TWO - ASHP Pro Forma	33,850
	ANAEROBIC DIGESTER, ADG - Frontier - TWO	3,908
	Combined Heat and Power, ADG - Frontier - TWO	3,908
	COMBINED HEAT AND POWER, CHP System Inspection and ReCo	126,055
	COMBINED HEAT AND POWER, DG Integrated Data System	376,778
	COMBINED HEAT AND POWER, Technical Review_Prgm Support	26,916
	Community RH&C, Technical Review_Prgm Support	19,237
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	10,810
	ENERGY ANALYSIS, TWO - Heat Pump Analysis	20,546
	EVALUATION, Technical Review_Prgm Support	11,258
	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	135,679
	Geothermal Incentive Program, Technical Review_Prgm Support	21,934
	Industrial Process Effic, IPE16163	4,950
	Industrial Process Effic, Technical Review_Prgm Support	10,188
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review_Prgm Support	379
FS Energy, LLC	Workforce Industry Partnership, PON 3442 Workforce Training	25,749
Fuller Road Management Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	637,495
Fulton County	Clean Energy Communities, CEC610872 - Fulton County	111,000
Fulton Franklin Housing Development..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	56,000
Fund for Public Housing, Inc.	NY-SUN, Affordable Solar NYCHA ACCESSo	41,835
Fusco Personnel, Inc.	Multifam Performance Pgm, TS.002_Multifamily Coordinator	2,892
	NYSERDA ADMINISTRATION, Temp Services - Marketing PM	1,260
	NYSERDA ADMINISTRATION, TS.002_Multifamily Coordinator	16,514
	REC:CES REC System Dev Costs, TS.007/TS.016 - Office Adm LSR	23,344
Fusion Energy Services LLC	<200KW PV, PON 2112 NY SUN	14,640
G.W. Ehrhart, Inc.	Renewable Heat NY, Ehrhart - Bass	21,000
	Renewable Heat NY, Ehrhart - Redman	21,000
Garlock Sealing Technologies, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	160,784
Garnet Solar Partners LLC	>200KW PV, Commercial/Industrial PV	163,054
Gas Technology Institute	NextGen HVAC, PON3519 Round 1.	41,357
Gateway Energy Services Group. LLC	EXISTING FACILITIES, Gateway One CHP Project	530,706
GCOM Software LLC	NYSERDA ADMINISTRATION, Salesforce	853,833
Geatain Engineering PLLC	Commercial Real Estate Ten, Geatain Engineer - 485 5th Ave	5,000
GenE Solar I LLC	>200KW PV, NY-Sun C&I	98,504
General Electric Co. Global Research	On-Site Energy Manager, OsEM23- GE Global Research Cen	59,731
General Electric International Inc	>200KW PV, Commercial/Industrial PV	261,930
	>200KW PV, NY-Sun CI	85,245
Generate NY Community Solar I, LLC	>200KW PV, NY-Sun C&I	2,190,878
	LMI Community Solar, RFP3802 Low Income Comm Solar	100,490
Generate NY Community Solar Lessor II, L	>200KW PV, NY Sun	823,966
	>200KW PV, NY Sun Assignment	264,523
	>200KW PV, NY Sun C&I	562,317

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>	
<b>Generate NY Community Solar Lessor II, L</b>	>200KW PV, NY Sun CI Assignment	606,199	
	>200KW PV, NY-Sun C&I	543,573	
	>200KW PV, NY-Sun C&I Assignment	586,283	
	>200KW PV, NY-Sun Full/Payee Assignment	466,064	
<b>Genesee Region Clean Communities, ..</b>	CLEAN TRANSPORTATION, GRCC will seek proposals for A	23,961	
<b>Genesis Housing Development Corpo..</b>	Low Rise New Construction, New Construction	91,800	
<b>George E Denmark II</b>	<200KW PV, PON 2112 NY SUN	21,809	
<b>George J. Martin &amp; Son</b>	<200KW PV, PON 2112 NY SUN	335,340	
<b>George Washington Bridge Bus Statio..</b>	NEW CONSTRUCTION PROGRAM, NCP11748 - GWB Bus Station	149,292	
<b>Geotherm Inc.</b>	<200KW PV, PON 2112 NY SUN	11,928	
<b>GES MEGAELEVEN, LLC</b>	>200KW PV, NY Sun	154,945	
<b>GIP III Zephyr Acquisition Partners L.P.</b>	LMI Community Solar, RFP3802 Low Income Comm Solar	311,319	
<b>Gladstein, Neandross &amp; Associates, L..</b>	Electric Vehicles - Innovation, DCFC Permitting Study	60,546	
	ADVANCED BUILDINGS, EFP2308 - Glenwood Management	78,960	
	EXISTING FACILITIES, DMP Bonus - EFP2308 - Glenwood	203,196	
<b>Glenwood Management Corp</b>	EXISTING FACILITIES, EFP2308 - Glenwood Management	236,880	
	Talent Pipeline:CE and OJT, OJT HIRE	4,243	
<b>Global Dwelling, LLC</b>			
<b>Global Resource Funding Partners LLC</b>	>200KW PV, NY-Sun	78,508	
<b>Gloversville-Johnstown Joint Wastew..</b>	ANAEROBIC DIGESTER, Gloversville-Johnstown Joint W	86,059	
<b>Goldman Copeland Associates, P.C.</b>	Commercial Real Estate Ten, G&C Associates - 40 Fulton St	5,000	
	Commercial Real Estate Ten, GCA - 423 West 55th St Fl 6-12	5,000	
	Commercial Real Estate Ten, GCA - 909 3rd Ave Alix Fl 28	5,000	
	Commercial Real Estate Ten, GCA-60 E 42nd Fl27	5,998	
	Commercial Real Estate Ten, GCA-60 E 42nd Fl42	5,998	
	Commercial Real Estate Ten, GCA-250 W57th	4,797	
	Commercial Real Estate Ten, GCA-1400 Broadway	4,736	
	Commercial Real Estate Ten, Goldman Copela-1 Penn Plaza-CT	10,997	
	Commercial Real Estate Ten, Goldman Copeland - 909 3rd Ave	10,997	
	Commercial Real Estate Ten, Goldman Copeland-1 Park Ave-CT	13,101	
	Commercial Real Estate Ten, Goldman Copeland-2 Penn Pla-CT	13,308	
	Commercial Real Estate Ten, Goldman Copeland-40 Fulton-CT	10,997	
	Commercial Real Estate Ten, Goldman Copeland-90 Park Av-CT	10,997	
	Commercial Real Estate Ten, Goldman Copeland-100 W 33rd-CT	10,997	
	Commercial Real Estate Ten, Goldman Copeland-150 E 58th-CT	10,997	
	Commercial Real Estate Ten, Goldman Copeland-330MadisonAve	10,997	
	Commercial Real Estate Ten, Goldman Copeland-510 5th Av-CT	13,691	
	Commercial Real Estate Ten, Goldman Copeland-888 7th Av-CT	10,997	
	Commercial Real Estate Ten, Goldman Copeland-1290 AoA-CT	10,997	
	Commercial Real Estate Ten, Goldman-280 Park Ave-CT	10,997	
	Commercial Real Estate Ten, Goldman&Copeland-595 Madison	2,248	
	Commercial Real Estate Ten, Goldman&Copeland-885 Second	1,062	
	Commercial Real Estate Ten, GoldmanCopeland-33-00 N Blv-CT	13,080	
	Flexible Tech Assistance, FT12070-Vornado655-663 5th-FTC	1,693	
	Flexible Tech Assistance, FT12101 - ERT 250 W 57th - FTC	1,674	
	<b>Golub Corporation</b>	NEW CONSTRUCTION PROGRAM, NCP13091 - M32 Plattsburgh	17,987
		NEW CONSTRUCTION PROGRAM, NCP13093 - The Golub Corp.	70,313
		NEW CONSTRUCTION PROGRAM, NCP13094 - Market 32 Brunswick	8,960
	<b>Gotham 360 LLC</b>	Remote Energy Management, RFP 3683 REM Program	9,375

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Goulds Pumps</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	51,863
<b>Goya Foods, Inc.</b>	>200KW PV, NY Sun	65,820
<b>Grabinski Solar LLC</b>	>200KW PV, NY Sun	522,901
<b>GRE Fund II Holdco LLC</b>	>200KW PV, NY Sun C&I	24,756
	>200KW PV, NY-Sun	114,387
	>200KW PV, NY-Sun CI Assignment	28,954
	>200KW PV, NY-Sun Payment assignee	39,501
<b>GRE Fund III Holdco LLC</b>	>200KW PV, NY Sun C/I	101,302
<b>Green Eagle Solar II, LLC</b>	>200KW PV, NY-Sun C/I	529,701
	>200KW PV, NY-Sun C&I	266,658
<b>Green Eagle Solar VI, LLC</b>	>200KW PV, NY Sun CI Assignment	441,364
	>200KW PV, NY-Sun	442,198
	>200KW PV, NY-Sun C&I	887,774
<b>Green Hybrid Energy Solutions Inc.</b>	<200KW PV, NY-Sun	8,424
	<200KW PV, PON 2112 NY SUN	175,398
	>200KW PV, PON 2112 NY SUN	11,934
<b>Green Street Power Partners LLC</b>	>200KW PV, NY Sun	36,741
	>200KW PV, PON 2112 NY SUN	349,488
	NY-Sun	115,000
<b>Green Team USA, LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	-4,926
	WORKFORCE DEVELOPMENT, OJT HIRE	43,934
<b>Greenmount Lane Solar 1, LLC</b>	>200KW PV, NY-Sun C&I	136,089
<b>Greenpac Mill, LLC</b>	On-Site Energy Manager, OsEM15 - Greenpac Mill	56,372
<b>Greenville NY 1, LLC</b>	>200KW PV, NY-Sun C/I	250,984
<b>Greenwood Dairy Farm, LLC</b>	ANAEROBIC DIGESTER, RPS CST ADG to Electricity Pro	28,608
	NEW CONSTRUCTION PROGRAM, RPS CST ADG to Electricity Pro	28,608
<b>Grid City Electric Corp</b>	<200KW PV, NY-Sun	9,648
	<200KW PV, PON 2112 NY SUN	16,170
	>200KW PV, NY-Sun	14,472
	>200KW PV, PON 2112 NY SUN	109,263
<b>Group-S LLC</b>	COMBINED HEAT AND POWER, Luna Park CHP Demonstration	645,000
	Flexible Tech Assistance, FlexTech Consultant Selection	11,000
	Real Time Enrgy Management, Group S - 308 W 103 St - RTEM	14,203
<b>GSPP SP 1 55-30 58th St., LLC</b>	>200KW PV, NY-Sun C&I	279,853
<b>GSPP SP 2 Sing Po, LLC</b>	>200KW PV, NY-Sun C&I	115,801
<b>GTT Communications, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	19,808
<b>Guth Deconzo Consulting Engineers</b>	REV Campus Challenge, RFP3628FlexTechConsultUmbrella	17,577
<b>GWE Project HoldCo 4, LLC</b>	>200KW PV, NY-Sun C&I	102,616
<b>H.E.L.P Development Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	24,000
	New Construction- Housing, 2019 MFCNP	108,830
<b>H/R Tech Residential LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	158,400
<b>Habitat for Humanity - New York City</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	7,695
<b>Habitat for Humanity (Capital District)</b>	Low Rise New Construction, 2019 LRNCP	1,700
<b>Halcyon Inc.</b>	Novel Bus Models & Offers, Clean Energy as a Service	115,000
<b>Halcyon, Inc.</b>	<200KW PV, PON 2112 NY SUN	11,802
	Talent Pipeline:CE and OJT, OJT HIRE	42,284
<b>HANAC, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	34,000
<b>Harris Beach PLLC</b>	GJGNY REVOLVING LOAN FUND, RFP 3300 Outside Counsel Servi	5,319

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Harris Beach PLLC	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Outside Couns..	6,195
Harris Wiltshire & Grannis LLP	NYSERDA ADMINISTRATION, Green Economy Research	70,490
	NYSERDA ADMINISTRATION, Outside Counsel for Resource A	10,993
	OREC: Technical Support, RFP3776 Outside Counsel Servic	53,045
	Rmve Barriers Dist Enrgy Storg. Cluster Study Tariff Research	3,413
Harvest Power, LLC	<200KW PV, NY Sun	49,732
	<200KW PV, NY-Sun	6,630
	>200KW PV, NY-Sun	9,945
	>200KW PV, PON 2112 NY SUN	16,320
Hawn Heating & Energy Services LLC	Talent Pipeline:CE and OJT, OJT HIRE	7,823
Hazen & Sawyer, P.C.	ENVIRONMENTAL RESEARCH, Climate & algal blooms	16,804
HB Architectural Lighting	Industrial Process Effic, Industrial Process Efficiency	77,612
Health Research, Inc.	RENEWABLE HEAT NY, Ultrafine Particle Emissions	25,441
Healthy Home Energy & Consulting, I..	Talent Pipeline:CE and OJT, OJT HIRE	6,321
Heat Keepers, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	12,956
Hebrew Home for the Aged at Riverdale	COMBINED HEAT AND POWER, CHP Performance - PON2701	300,000
Helios NY I, LLC	>200KW PV, NY-Sun	244,037
	>200KW PV, NY-Sun C&I	290,720
Helix Partners, LLC	Industrial Process Effic, Industrial Process Efficiency	236,950
Helix Power Corporation	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	70,367
Henry Phipps Plaza East, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	104,000
HFC Hudson Fisonic Corp	ADVANCED BUILDINGS, Development of Fisonic Device	43,450
High Falls Operating Co, LLC	Industrial Process Effic, Industrial Process Efficiency	160,157
High Hawk Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,310
High Peaks Solar	<200KW PV, PON 2112 NY SUN	11,898
	>200KW PV, Commercial/Industrial Program	52,839
Hobart and William Smith Colleges	>200KW PV, commercial/industrial pv	170,479
Hodgson Russ LLP	Home Perf w Energy Star, RFP 3300 & RFP 3776 Outside Co	11,590
Holland & Knight LLP	Commercial Real Estate Ten, Green Bank Outside Legal Serv.	33,727
	Green Bank Outside Legal Serv.	150,000
	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	141,284
	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	44,373
	NYSERDA ADMINISTRATION, Nuclear Facility Bankruptcy	272
	OTHER PROGRAM AREA, Nuclear Facility Bankruptcy	35,000
	RFP 12 - NYGB Legal Services	81,335
Holmes Acre, LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	4,498
Home Headquarters, Inc.	Community Energy Engagement, CEEP Central New York Region	0
Homes for New Yorkers, Inc	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	35,820
Honeywell International Inc.	3695 TWO Umbrella Agreement	120,813
	Air Source Heat Pumps, 3695 TWO Umbrella Agreement	24,097
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO U..	0
	EMPOWER NY, 3695 TWO Umbrella Agreement	33,754
	Home Perf w Energy Star, 3695 TWO Umbrella Agreement	470,245
	HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO Umbrella Agre..	0
	RENEWABLE HEAT NY, RHHY Pellet Stove QA Services	9,019
Hotel Gansevoort	Flexible Tech Assistance, FT11682 - Hotel Gansevoort	15,300
Houghton College	Technical Services, OSEM28-C - Houghton College	38,597
Howard Wind LLC	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	98,568

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Howard Wind LLC</b>	LARGE SCALE RENEWABLES, Howard Wind Farm	845,040
	LARGE SCALE RENEWABLES, Howard Wind Farm - Expansion	117,705
<b>Howland Solar, LLC</b>	>200KW PV, NY Sun	146,776
<b>Hudson Gateway II, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	27,664
<b>Hudson River Trading</b>	Industrial Process Effic, Industrial Process Efficiency	186,818
<b>Hudson Valley Clean Energy Inc.</b>	<200KW PV, PON 2112 NY SUN	83,601
<b>Hudson Valley Community College</b>	REV Campus Challenge, RM26 - Hudson Valley CC	14,690
<b>Hudson Valley Wind Energy, LLC</b>	<200KW PV, NY Sun	14,580
	<200KW PV, PON 2112 NY SUN	5,733
	Small Wind, Wind Turbine Incentive	52,178
<b>Huron Real Estate Associates, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Resiliency & Emergency Prepare	2,805
	On-Site Energy Manager, OsEM5-I Huron Campus	26,495
<b>Hydronic Specialty Supply</b>	RENEWABLE HEAT NY, Smart Pre-Assembly for Boilers	15,000
	RENEWABLE HEAT NY, Smart Thermal Storage System	3,000
<b>Hyland Facility Associates</b>	LARGE SCALE RENEWABLES, RFP 2226-RPS Purchase of RE At	175,558
<b>HyperGen Inc</b>	NYSERDA ADMINISTRATION, PeopleSoft Support Services	202,289
<b>IBC Engineering PC</b>	Commercial New Construc, IBC - EMP	29,947
<b>ICF Incorporated LLC</b>	EVALUATION, TWO 1 -GJGNY Audit Only Impact	41,286
<b>ICF Jones &amp; Stokes</b>	ENVIRONMENTAL RESEARCH, NYS Energy Research and Develo	26,490
<b>ICF Resources, LLC</b>	Air Source Heat Pumps, P12 Clean Energy Screening TWO	12,718
	Campus/Technical Assistance, Natural Gas Constrained Area	114,942
	Campus/Technical Assistance, P12 Clean Energy Screening TWO	50,037
	Combined Heat and Power, TWO 3 Hybrid Prog. Support	4,185
	ENERGY ANALYSIS, RFQL 3685 - Flexergy 3.0	67,813
	ENERGY ANALYSIS, Tech Assist, REV Pool	132,337
	ENERGY ANALYSIS, TWO #4 - Statewide NG Study	696,552
	K-12 SCHOOLS, P12 Clean Energy Screening TWO	12,509
	NY-SUN, Affordable Solar Saratoga Spri	39,234
	OTHER PROGRAM AREA, Tech Assist, REV Pool	3,942
<b>iCone Products, LLC</b>	CLEAN TRANSPORTATION, Connecting WNY Work Zones	28,800
<b>IGS Ventures, Inc.</b>	>200KW PV, NY Sun	47,553
	>200KW PV, NY Sun C/I	48,108
<b>IKEA</b>	Flexible Tech Assistance, FT12030 - IKEA Brooklyn - PON	9,510
<b>Inc.Village of Williston Park</b>	CLEANER GREENER COMMUNITIES, Village of Williston Park	37,500
<b>Incorporated Village of Upper Brookvi..</b>	CLEANER GREENER COMMUNITIES, Upper Brookville	17,250
<b>Incorporated Village of Philmont</b>	CEC400097 - Village of Philmon	7,500
	Clean Energy Communities, CEC400097 - Village of Philmon	1,250
<b>Industrial Economics, Incorporated</b>	CLEAN TRANSPORTATION, TWO 2 New York State Truck – V	187,192
	ENERGY ANALYSIS, TWO 1 EE Supply Curve Analysis	32,446
	EVALUATION, TWO 1 EE Supply Curve Analysis	49,000
	EVALUATION, TWO 1 Grid Moderniz Case Study	17,274
	High Performing Grid, TWO 1 Grid Moderniz Case Study	17,274
	Large Scale Renewables, RFQ3183 Umbrella Agreement	8,376
	Mkt Char: Tech Assist, TWO 1 EE Supply Curve Analysis	-30,749
	NYSERDA ADMINISTRATION, Research of Indian Point Purch	31,397
	OTHER PROGRAM AREA, TWO 2 New York State Truck – V	26,742
	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	2,870
<b>INF Associates LLC</b>	Commercial Real Estate Ten, INF - 299 Park Ave FL 18,19	5,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>INF Associates LLC</b>	Commercial Real Estate Ten, INF - 333 East 70th Street	5,000
	Commercial Real Estate Ten, INF - 1350 Ave Of The Americas	5,000
	Commercial Real Estate Ten, INF Associates LLC - Multisite	29,744
	Commercial Real Estate Ten, INF Associates-250 W 55th St	5,000
	Commercial Real Estate Ten, INF Associates-Multisite	50,591
	Commercial Real Estate Ten, INF-19 E57th Street Fl 3, 8-17	15,469
<b>Infinity Solar Systems, LLC</b>	<200KW PV, PON 2112 NY SUN	10,644
<b>Innovative Energy Systems, LLC</b>	LARGE SCALE RENEWABLES, DANC LFGE	281,684
<b>Institute for Building Technology and Sa</b>	<200KW PV, RFQL 3434 IBTS Standards & QA	14,446
	<200KW PV, TWO No. 7 NY-Sun C&I QA TWO	7,348
	ADVANCED ENERGY CODES, Energy Code Training: EPros	34,786
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO U..	0
	COMMUNITY SOLAR, RFQL 3434 IBTS Standards & QA	3,619
	COMMUNITY SOLAR, TWO No. 7 NY-Sun C&I QA TWO	1,837
	EMPOWER NY, 3695 TWO Umbrella Agreement	0
	Home Perf w Energy Star, 3695 TWO Umbrella Agreement	1,724
	HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO Umbrella Agre..	0
	NY-SUN, RFQL 3434 IBTS Standards & QA	110,402
	NY-SUN, TWO No. 7 NY-Sun C&I QA TWO	56,188
<b>InTech Energy, Inc.</b>	Real Time Enrgy Management, InTech Energy-Multisite-RTEM	14,145
	Real Time Enrgy Management, InTech-890 Washington Ave-RTEM	86,520
	Real Time Enrgy Management, InTech-6111 Queens Blvd-RTEM	23,378
<b>Integral Building &amp; Design, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	2,923
<b>Integrity Solar Solutions, LLC</b>	<200KW PV, PON 2112 NY SUN	5,394
<b>IntelliGen Power Systems, LLC</b>	Combined Heat and Power, CHPA - 1962-66 1st Ave	261,122
	Combined Heat and Power, CHPA - New York Towers	557,584
<b>Interface Performance Material</b>	Industrial Process Effic, Industrial Process Efficiency	26,880
<b>Interface Solutions, Inc.</b>	On-Site Energy Manager, OsEM9-I-Interface Performance	59,216
<b>Intermountain Management Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	82,320
<b>International Electronic Machines Cor..</b>	CLEAN TRANSPORTATION, Noncontact Elect. Wheel Gauge	20,510
<b>International Paper</b>	CI Carbon Challenge, CI Carb. Challenge: Intl. Paper	1,606,664
<b>Interstate Renewable Energy Council, ..</b>	Workforce Industry Partnership, PON 3715 Workforce Training	62,238
<b>J Synergy Green Inc</b>	Talent Pipeline:CE and OJT, OJT HIRE	0
	WORKFORCE DEVELOPMENT, OJT HIRE	2,918
<b>J. Ranck Electric, Inc.</b>	>200KW PV, Commercial/Industrial	57,291
<b>Janus Solar Fund LP</b>	NY-SUN, PV System at Janus Solar Fund	371,800
<b>Jaros, Baum &amp; Bolles</b>	Technical Services, AGG1002-Jaros, Baum & Bolles	45,000
<b>Jason Salfi</b>	OTHER PROGRAM AREA, Innovation Advisory Services	45,983
<b>Jasper Van den Munckhof</b>	Retrofit NY, Multifamily	6,300
<b>JCTOD Outreach, Inc.</b>	Low Rise New Construction, New Construction	29,000
<b>Jefferson Community College</b>	Technical Services, OsEM17-C Jefferson Community	22,929
<b>Jefferson Towers, Inc.</b>	COMBINED HEAT AND POWER, Distributed Generation as Comb	131,664
<b>JEM ENGINEERING SERVICES</b>	High Performing Grid, PN3770 Model Fault overvoltage	80,000
<b>Jericho Rise Wind Farm, LLC</b>	REC:CES REC Contracts, 9th RPS Main Tier Solicitation	2,498,682
<b>Jewish Community Center on the Hud..</b>	NEW CONSTRUCTION PROGRAM, NCP10443 - JCC on the Hudson	13,886
<b>Jewish Home of Rochester</b>	NEW CONSTRUCTION PROGRAM, NCP12489-JewishSeniorLife-OFLT	63,370
<b>John Siegenthaler</b>	Renewable Heat NY, RFP 3165 Hydronic System Desig	22,894
<b>Johnson Controls, Inc. (Syracuse)</b>	Flexible Tech Assistance, FT12085 - Gananda CSD - FTC	35,258

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Jones Lang LaSalle Americas, Inc.</b>	Commercial Real Estate Ten, JLL Americas-Multisite	5,236
	Commercial Real Estate Ten, JLL Americas - Multisite	135,000
	Commercial Real Estate Ten, JLL Americas, Inc - Multisite	45,000
	On-Site Energy Manager, OsEM25-I - IBM North Castle	77,768
	On-Site Energy Manager, OsEM29-I - IBM Poughkeepsie	53,582
<b>Jordan Energy and Food Enterprises ..</b>	<200KW PV, PON 2112 NY SUN	42,858
<b>Joule Assets Inc</b>	CLEANER GREENER COMMUNITIES, CGC57954 - Joule Assets	53,000
<b>JouleSmart Solutions, Inc.</b>	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	41,962
<b>JPMorgan Chase Bank National Asso..</b>	EXISTING FACILITIES, EFP2380 - JPMorgan Chase - Mul	3,258
<b>Juniper Time Owner, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12321 - NYLO Hotel	97,415
<b>Kasselman Solar LLC</b>	<200KW PV, NY-Sun	77,086
	<200KW PV, PON 2112 NY SUN	355,463
<b>Kearns &amp; West, Inc.</b>	REC:CES REC System Dev Costs, Large-Scale Renewables	24,331
<b>Kearsarge Oppenheim LLC</b>	>200KW PV, NY-Sun C/I	162,873
<b>Kelliher Samets Volk</b>	Air Source Heat Pumps, Marketing Support for NYSERDA	71,989
	Code to Zero, TWO 26 Codes Marketing	3,590
	Commercial Real Estate Ten, Marketing Support for NYSERDA	43,636
	Commercial Real Estate Ten, TWO 24: CI Awareness Pilot MKT	805
	Community RH&C, Marketing Support for NYSERDA	176,255
	Consumer Awareness, KSV TWO 30 Consumer Awareness	164,405
	Consumer Ed and Market Support, Marketing Support for NYSERDA	464,389
	ESTOR:Consumer Education, KSV TWO 31 Energy Storage	4,633
	Flexible Tech Assistance, Marketing Support for NYSERDA	57,552
	Flexible Tech Assistance, TWO 24: CI Awareness Pilot MKT	3,220
	Geothermal Incentive Program, Marketing Support for NYSERDA	178,255
	Home Perf w Energy Star, Marketing Support for NYSERDA	46,851
	Industrial Process Effic, Marketing Support for NYSERDA	595
	Industrial Process Effic, TWO 23: Industrial Mktg	31,876
	Industrial Process Effic, TWO 24: CI Awareness Pilot MKT	5,634
	LMI Community Solar, Marketing Support for NYSERDA	4,731
	Market Tests, TWO 22 Building Labeling Mkt	46,987
	Multifam Performance Pgm, Marketing Support for NYSERDA	142,837
	New Construction- Commercial, TWO 28 Carbon Neutral Bldgs	34,486
	New Construction- Housing, Marketing Support for NYSERDA	45,425
	New Construction- Housing, TWO 28 Carbon Neutral Bldgs	68,971
	NY-SUN, Marketing Support for NYSERDA	74,442
	NYSERDA ADMINISTRATION, TWO 29 Global Paid Search	1,658
	On-Site Energy Manager, TWO 23: Industrial Mktg	43,267
	On-Site Energy Manager, TWO 24: CI Awareness Pilot MKT	1,610
	Real Time Enrgy Management, Marketing Support for NYSERDA	67,242
	Real Time Enrgy Management, TWO 23: Industrial Mktg	21,250
	Real Time Enrgy Management, TWO 24: CI Awareness Pilot MKT	4,829
	Renewable Heat NY, Marketing Support for NYSERDA	23,501
	Retrofit NY, Marketing Support for NYSERDA	10,413
	REV Campus Challenge, Marketing Support for NYSERDA	119
	Strategic Energy Manager, TWO 23: Industrial Mktg	33,790
Technical Services, Marketing Support for NYSERDA	119	
Workforce Industry Partnership, Marketing Support for NYSERDA	50,459	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Key Bank</b>	<200KW PV, NY-Sun	449,820
<b>Kilfrost, Inc.</b>	NextGen HVAC, PON3519 Round 1	2,500
<b>Kilowatt Engineering, Inc.</b>	Commercial Real Estate Ten, FlexTech Consultant Selection	25,847
	Industrial Process Effic, 2621 Umbrella Contract	19,135
	Industrial Process Effic, Industrial Process Efficiency	13,304
	Industrial Process Effic, IPE16230	9,821
	Industrial Process Effic, IPE16242	2,196
	Industrial Process Effic, IPE16243	11,936
	Industrial Process Effic, IPE16252	1,453
	Industrial Process Effic, IPE16253	4,994
	Industrial Process Effic, IPE16255	2,049
	Industrial Process Effic, IPE16256	1,623
	Industrial Process Effic, IPE16257	4,545
	Industrial Process Effic, IPE16258	4,354
	Industrial Process Effic, IPE16260	1,318
	Industrial Process Effic, IPE16261	1,274
	Industrial Process Effic, IPE16262	1,098
	Industrial Process Effic, IPE16263	3,662
	Industrial Process Effic, IPE16264	4,225
	Industrial Process Effic, IPE16265	602
	Remote Energy Management, RFP 3683 REM Program	44,236
<b>Kingston, City of</b>	CLEANER GREENER COMMUNITIES, CGC29936 - City of Kingston	274,935
<b>KLD Engineering, P.C.</b>	CLEAN TRANSPORTATION, ICM Framework Suffolk County	76,894
	CLEAN TRANSPORTATION, Transportation Resiliency	17,848
<b>L&amp;S Energy Services, Inc.</b>	Campus/Technical Assistance, Umbrella Contract	631
	Combined Heat and Power, Umbrella Contract	6,908
	Commercial Real Estate Ten, FlexTech Consultant Selection	35,629
	Flexible Tech Assistance, L&S Year 1 GJGNY Energy Audits	207,900
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	2,357
	Flexible Tech Assistance, Umbrella Contract	8,665
	FLEXIBLE TECHNICAL ASSISTANCE, Umbrella Contract	66,072
	Geothermal Incentive Program, 3695 TWO Umbrella Agreement	5,709
	Geothermal Incentive Program, Umbrella Contract	7,205
	GJGNY REVOLVING LOAN FUND, L&S Year 1 GJGNY Energy Audits	16,880
	Industrial Process Effic, Industrial Process Efficiency	1,123
	Industrial Process Effic, IPE16235	1,412
	Industrial Process Effic, Umbrella Contract	29,691
	INDUSTRIAL PROCESS EFFICIENCY, Umbrella Contract	39,816
	NEW CONSTRUCTION PROGRAM, Umbrella Contract	5,000
	On-Site Energy Manager, Umbrella Contract	11,576
	REV Campus Challenge, Tech Assistance for Roadmaps	30,411
	REV Campus Challenge, Umbrella Contract	-18,897
	Technical Services, AGG1004 - L&S Energy Services	5,000
	Technical Services, Tech Review - OsEM	15,304
<b>LaBella Associates, P.C.</b>	Agriculture Energy Eff Pgm, RFP3628FlexTechConsultUmbrella	516
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, T..	374
	EXISTING FACILITIES, Technical Review and Program S	12,982
	Flexible Tech Assistance, FT12205 - Xerox Building - FTC	6,707



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<b>LaBella Associates, P.C.</b>	Geothermal Incentive Program, Large-Scale GSHP	126,996
	New Construction- Commercial, RFP3771 Umbrella Contract	335
	REV Campus Challenge, Novus PO Assignment	0
	Technical Services, RFP3628FlexTechConsultUmbrella	298
<b>Lake Breeze Fruit Farms Inc</b>	>200KW PV, NY Sun	66,084
<b>Lamb Farms Inc.</b>	ANAEROBIC DIGESTER, RPS ADG - Lamb Lakeshore Dairy	163,528
<b>Launch New York, Inc.</b>	Cleantech ICC Engage, Launch NY ECO Incubator	141,000
	Cleantech Incubator, Launch NY ECO Incubator	0
<b>Legacy Yards Tenant LLC</b>	EXISTING FACILITIES, DMP Bonus - 10 Hudson Yards	124,526
<b>Leidos Engineering of New York, P.C.</b>	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUmbrella	7,939
<b>Levitan &amp; Associates, Inc.</b>	OREC: Technical Support, RFP3462 Umbrella Agreement	190,102
<b>Lewis County</b>	Clean Energy Communities, CEC701052 - Lewis County	100,000
<b>LG Broadway Management Inc</b>	NEW CONSTRUCTION PROGRAM, NCP13138 - Virgin Broadway Hot	190,971
<b>LiDestri Foods, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	45,238
<b>Lime Energy</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, E..	45,740
<b>Lincoln Center for the Performing Arts</b>	Technical Services, OsEM10-Lincoln Center Perform	86,021
<b>Livolt Cogen LLC</b>	Combined Heat and Power, CHPA-2418 Olinville Ave	2,843
	Combined Heat and Power, CHPA-4138 Barnes Ave, Bronx	2,843
<b>Local 32BJ Thomas Shortman Training</b>	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	65,225
	Workforce Industry Partnership, PON 3715 Workforce Training	27,645
<b>Long Island High Technology Incubator..</b>	Cleantech Incubator, PON3413 Clean Energy Incubator	277,500
<b>Long Island Power Authority</b>	NY-SUN, LIPA MOU RGGI Compliance Progr	18,750,000
<b>Loring Consulting Engineers, Inc.</b>	Flexible Tech Assistance, FT12099 – 25-30 Columbia – FTC	30,426
<b>LPC Managers LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	24,750
<b>LPCiminelli, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	104,500
<b>Luminate, LLC</b>	Outside Technical and Eng. Srv	12,351
<b>M.J. Beck Consulting LLC</b>	REC:CES REC System Dev Costs, TWO-2-IE_2019	35,000
<b>M.J. Bradley &amp; Associates</b>	Electric Vehicles - Innovation, BCA of EV grid impacts	4,224
<b>M/E Engineering, P.C.</b>	Commercial New Construc, Commercial New Construction	18,481
	Commercial New Construc, New Construction	24,949
	Commercial New Construc, RFP3771 Umbrella Contract	17,980
	Flexible Tech Assistance, FT12268 - PRI - FTC	3,857
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	66,946
	Industrial Process Effic, Technical Review and Program S	2,136
	REV Campus Challenge, RM30-Cornell University-FTC	57,019
	Technical Services, Westchester Tech Services	4,125
<b>Maifly Development LLC</b>	Low Rise New Construction, 2019 LRNCP	23,900
<b>Malcarne Contracting, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	7,956
<b>Malta Development Company Inc</b>	Low Rise New Construction, 2019 LRNCP	19,950
<b>Marble River Wind Farm LLC</b>	LARGE SCALE RENEWABLES, Marble River Wind Farm	4,983,763
<b>Marist College</b>	NEW CONSTRUCTION PROGRAM, NCP12746-MaristCollegeNorthCam	91,712
<b>Marlo Towers Owners, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,000
<b>Marsh Hill Energy, LLC</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	936,941
<b>Marshall &amp; Sterling, Inc.</b>	NYSERDA ADMINISTRATION, Property Liability and Other	3,408
<b>Martin J. Wolff</b>	Pub Transit & Elect Rail, Magnetic rail propulsion study	16,983
<b>Masaryk Towers Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	249,750
<b>Matt Brewing Co</b>	ANAEROBIC DIGESTER, ADG to Electricity program	442,078
<b>McMahon and Mann Consulting</b>	WEST VALLEY DEVELOPMENT PROGRAM, Engineering Services WV	29,243

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>McMahon and Mann Consulting Engineers</b>	WEST VALLEY DEVELOPMENT PROGRAM, TWO 2 - Evaluation of Mitigati	92,460
	WEST VALLEY DEVELOPMENT PROGRAM, TWO 3 - Trench Cap Drain..	9,528
	WEST VALLEY DEVELOPMENT PROGRAM, TWO #5 - Catch Basin	18,934
<b>Meadows Senior Living L.P.</b>	RENEWABLE THERMAL, Solar Thermal Incentive	24,973
<b>Meister Consultants Group, Inc.</b>	Commercial Market Mapping, NYSERDA-Utility Collaboration	33,054
	Commercial Real Estate Ten, RFP3631 - CTP Support - Cadmus	23,792
	Real Time Enrgy Management, Efficiency Planning & Engineer	12,828
	REV Campus Challenge, Efficiency Planning & Engineer	27,891
<b>Memorial Hospital for Cancer &amp; Allied ..</b>	NEW CONSTRUCTION PROGRAM, NCP11393 - 74th Street Ambulat	25,000
<b>Memorial Sloan Kettering Cancer Cent..</b>	Workforce Industry Partnership, PON 3442 Workforce Training	76,000
<b>MEPT 309 Fifth Avenue LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10319 - 309 Fifth Owners,	40,272
<b>Merlin Larsen</b>	Low Rise New Construction, New Construction	2,250
<b>Mesa Bioenergy Supply, LLC</b>	CLEANER GREENER COMMUNITIES, CGC32404 Reassignment to MESA	16,582
<b>Messer LLC</b>	Industrial Process Effic, Industrial Process Efficiency	300,230
<b>Metal Container Corp.</b>	Industrial Process Effic, Industrial Process Efficiency	84,105
<b>Metropolitan Washington Council</b>	OTHER PROGRAM AREA, DOE UER - MWCOG	2,304
<b>Micatu, Inc.</b>	High Performing Grid, 69kV OPTICAL SENSOR	100,000
<b>Michaels Group Homes, LLC</b>	Low Rise New Construction, 2019 LRNCP	38,950
	Low Rise New Construction, LR NCP New Construction	12,350
<b>Micro Nano Technologies</b>	NextGen HVAC, PON3519 Round 1	105,000
<b>MIMiC Systems Inc</b>	NextGen HVAC, NextGen HVAC Innovation	81,000
<b>mindSHIFT Technologies, Inc.</b>	NYSERDA ADMINISTRATION, RFP 3919-Sitecore CMS Admin	225,563
<b>Minisink Solar 1, LLC</b>	>200KW PV, NY-Sun C&I	260,680
<b>Minisink Solar 2, LLC</b>	>200KW PV, NY-Sun C/I	289,360
<b>Mirbeau of Rhinebeck, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP14036 - Rhinebeck Village P	36,266
<b>MJW Technical Services, Inc.</b>	WEST VALLEY DEVELOPMENT PROGRAM, Radiation Protection Support	70,136
<b>Mohawk Innovative Technology, Inc.</b>	OTHER PROGRAM AREA, PON 3249 ACE	30,000
<b>Mohawk Valley Community College</b>	REV Campus Challenge, RM20 - Mohawk Valley Comm. Col	3,000
<b>Mohawk Valley Economic Developme..</b>	Community Energy Engagement, CEEP Mohawk Valley Region (MVE)	51,322
<b>Molecular Glasses, Inc.</b>	Cleantech Ignition, PON 3871 Ignition Grants	20,000
	OTHER PROGRAM AREA, Technology to Market	65,000
<b>Molloy College</b>	CLEANER GREENER COMMUNITIES, CGC42044 - Molloy College	101,452
<b>Monolith Solar Associates, LLC</b>	<200KW PV, NY Sun	161,028
	<200KW PV, PON 2112 NY SUN	216,918
<b>Monroe Cable Company</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	103,849
<b>Morgan Stanley Services Holding, LLC</b>	REC:CES REC Contracts, 10th RPS Main Tier Solicitatio	46,880
<b>Morris Avenue Apartments, LP</b>	GREEN AFFORDABLE HOUSING, Multifamily	4,318
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	90,675
<b>Morris II Apartments, LP</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	69,300
<b>Mount Hope Solar 1, LLC</b>	>200KW PV, NY-Sun C&I	516,480
<b>Mount Sinai Medical Center</b>	Flexible Tech Assistance, FT12053 - Mount Sinai - PON	17,400
	Technical Services, OsEM - Mount Sinai Hospital	50,000
	Technical Services, OsEM-Icahn School of Medicine	50,000
<b>MS Management Associates, Inc.</b>	>200KW PV, NY-Sun	253,368
<b>Municipal Housing Authority of the</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	13,950
	NEW YORK ENERGY STAR HOMES, New Construction	127,000
<b>MyPower Corp</b>	>200KW PV, NY Sun C&I	1,727,159
	>200KW PV, NY Sun CI Assignment	422,546

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<b>MyPower Corp</b>	>200KW PV, NY-Sun	665,511
	>200KW PV, NY-Sun Assignment	422,546
<b>NanoHydroChem</b>	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	23,555
<b>Natale Builders</b>	Low Rise New Construction, New Construction	39,750
<b>National Economic Research</b>	Mkt Char: Tech Assist, Tech Assist, REV Pool	0
<b>National Renewable Energy Laboratory</b>	Environmental Research, ENV & Fisheries Rsrch for OSW	81,500
<b>National Solar Technologies</b>	<200KW PV, PON 2112 NY SUN	19,872
<b>National Wind Technology Consortium, Inc</b>	Nat'l OffShWind R&D Consortium, National OSW R&D Concorcium.	73,263
	National OSW R&D Concorcium.	0
<b>Natural History Museum of the Adiron..</b>	Environmental Research, Wild Ctr Clim Change Outreach	16,000
<b>Navigant Consulting Inc.</b>	Advancing Ag Enrgy Technologie, RFQ3183 Umbrella Agreement	4,479
	Energy Storage Tech/Prod Dev, RFQ3183 Umbrella Agreement	21,795
	ENVIRONMENTAL RESEARCH, TWO 1 - Assessment of Carbon C	37,171
	Environmental Research, TWO #2 Equitable Cooling	88,113
	Greenhouse Light & Systems Eng, RFQ3183 Umbrella Agreement	4,479
	Mkt Char: Tech Assist, Tech Assist, REV Pool	0
	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	93,198
	REV Connect, REV Connect	177,800
	Rmve Barriers Dist Enrgy Storg, RFQ3183 Umbrella Agreement	21,008
	Technical Services, RFQ3183 Umbrella Agreement	4,479
<b>NCM USA Bronx LLC</b>	Flexible Tech Assistance, FT12206 - NCM-USA - PON	16,806
<b>NECEC Institute</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cleantech Com..	3,000
<b>NESCAUM</b>	ENVIRONMENTAL RESEARCH, 123059 TWO#5	20,349
	ENVIRONMENTAL RESEARCH, RFQL3685 Round 1	272,617
	ENVIRONMENTAL RESEARCH, Tech Assist, REV Pool	157,374
	ENVIRONMENTAL RESEARCH, TWO #7 Comparative Assessment	17,001
	OTHER PROGRAM AREA, Tech Assist, REV Pool	0
	OTHER PROGRAM AREA, TWO #6 VOCs on Staten Island	86,535
	Renewable Heat NY, 123059 TWO#5	12,386
	RENEWABLE HEAT NY, Mobile Woodsmoke PM Monitoring	8,677
	RENEWABLE HEAT NY, Next Gen Test Methods Research	10,508
	Renewable Heat NY, RFQL3685 Round 1	80,837
RENEWABLE HEAT NY, Tech Assist, REV Pool	1,373	
RENEWABLE HEAT NY, Wood Pellet Standard	24,980	
<b>New Buildings Institute, Inc.</b>	Code to Zero, Task Wok Order #2	1,350
	Code to Zero, TWO #3 - Policy Research	17,372
	Code to Zero, TWO#1 Roadmap Zero Carbon Bldgs	66,965
<b>New Energy Nexus New York LLC</b>	Cleantech POCC, Cleantech Accelerator	395,000
<b>New England Waste Services of NY Inc.</b>	LARGE SCALE RENEWABLES, Clinton Co. Landfill	82,317
<b>New York Academy of Sciences</b>	EVALUATION, Innovation and Business Develo	54,220
	OTHER PROGRAM AREA, Innovation and Business Develo	89,646
<b>New York Battery and Energy Storage</b>	Rmve Barriers Dist Enrgy Storg, Task Work Order No. 3	89,722
<b>New York City Department of Design a..</b>	NEW CONSTRUCTION PROGRAM, NCP10626 - MCC Theater	10,544
<b>New York City Energy Efficiency Corp</b>	CLEANER GREENER COMMUNITIES, CGC32252 - NYCEEC	154,043
<b>New York City Housing Authority</b>	CLEANER GREENER COMMUNITIES, CGC56950 - NYC DEP	4,500
<b>New York Methodist Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP11889 - New York Methodist	176,244
<b>New York Power Authority</b>	Flexible Tech Assistance, FlexTech MOU NYSERDA-NYPA	387,539
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NYPA	118,694

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New York Power Authority,	SMART GRID SYSTEMS, Above Ground CAES Phase 1	60,000
New York Presbyterian Hospital	NEW CONSTRUCTION PROGRAM, NCP11494 - Ambulatory Care Cen	85,000
New York Restoration Project	GREENING THE BRONX, Greening The Bronx	87,429
New York State Marine	CLEAN TRANSPORTATION, NYS Canal Marine Freight	282
New York State Police	NEW CONSTRUCTION PROGRAM, NCP12387-NYS Police-OFLT	13,682
New York State Solar Farm Inc.	<200KW PV, PON 2112 NY SUN	24,308
New York University	Cleantech Incubator, PON3413 Clean Energy Incubator	160,000
	Combined Heat and Power, CHPA - NYU 181 Mercer	458,809
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Tech Tra..	9,000
Newport Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	10,370
Newport Ventures, Inc.	Code to Zero, Energy Code Training	1,656
Nexamp Inc.	>200KW PV, NY Sun	262,289
Nexant, Inc.	MARKET PATHWAYS, Behavioral Demonstrations Prog	131,007
Nexant, Incorporated	EXISTING FACILITIES, .	3,298
	EXISTING FACILITIES, Technical Review and Program S	2,351
	Industrial Process Effic, Technical Review and Program S	6,321
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	7,237
NextCorps Inc	M-Corps, ACT Prototypes to Mass Prod NY	541,500
Nextera Energy Capital Holdings Inc	>200KW PV, General Electric 1	498,838
	>200KW PV, General Electric 2	367,277
	>200KW PV, General Electric 3	381,340
	>200KW PV, General Electric 4	315,415
	>200KW PV, SUNY Poly Hoosick 1	380,811
	>200KW PV, SUNY Poly Hoosick Falls 2	359,872
	NY-SUN, New York Sun Competitive PV Pr	465,259
	NY-SUN, PV System - Oneida County Sutl	1,020,981
NY-SUN, PV System @ Oneida County Sutl	1,312,705	
NextEra Energy Capital Holdings, Inc.	>200KW PV, NY-Sun C&I	113,903
Niagara Frontier Transportation Autho..	CLEAN TRANSPORTATION, Integrated Corridor Management	656
NIC Holding Corp	FUEL NY, NYS Strategic Gasoline Reserve	266,869
Nickels Energy Solutions LLC	<200KW PV, PON 2112 NY SUN	5,198
Nixon Peabody LLP	Green Bank Outside Legal Serv.	22,500
NMR Group, Inc.	EVALUATION, RFQ 3183 NMR Group, Inc.	78,096
	Home Energy Ratings, RFQ 3183 NMR Group, Inc.	3,418
	Home Perf w Energy Star, RFQ 3183 NMR Group, Inc.	16,900
	NEW YORK GREEN BANK, RFQ 3183 NMR Group, Inc.	12,435
NOHMs Technologies, Inc.	Energy Storage Tech/Prod Dev, PON 3585 Round 3 Cat B	262,589
Noresco LLC	Flexible Tech Assistance, FT12245-Cogswell-215 W 125-FTC	21,765
Normandeu Associates, Inc.	Environmental Research, Digital Aerial Baseline Survey	177,992
Norstar Solar LLC	>200KW PV, NY-SUN C&I (Assignment)	215,259
North American Breweries	Industrial Process Effic, Industrial Process Efficiency	10,653
North Park Innovations Group, Inc.	Talent Pipeline:CE and OJT, PON3981 Round 3	49,466
Northeast States for Coordinated Air ..	Environmental Research, NY climate clearinghouse	16,242
Northeast Wind Partners II LLC	LARGE SCALE RENEWABLES, Steel Winds II	146,400
Northern Plains Power Technologies	High Performing Grid, PON3770: Detection of 1ph open	121,680
Northstar 41 LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	4,718
Northwell Health, Inc.	Commercial New Construc, NCP15045-5925 Little Neck-OFLT	7,710
	Technical Services, OsEM21-C Northwell Health	37,635

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<b>Novel Approaches Solar Applications,..</b>	<200KW PV, PON 2112 NY SUN	13,335
<b>NP Environmental LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	12,171
<b>NuWorld Lighting Solutions Inc</b>	Talent Pipeline:CE and OJT, OJT HIRE Christopher McDaniel	0
	WORKFORCE DEVELOPMENT, OJT HIRE	6,780
	WORKFORCE DEVELOPMENT, OJT HIRE Christopher McDaniel	5,610
<b>NY Baldwin I, LLC</b>	>200KW PV, NY-Sun C&I	547,626
<b>NY Baldwin II, LLC</b>	>200KW PV, NY-Sun C&I	294,310
<b>NY Delaware I, LLC</b>	>200KW PV, NY-Sun C/I	310,665
<b>NY Delaware II, LLC</b>	>200KW PV, NY Sun C&I	396,155
<b>NY Delaware V, LLC</b>	>200KW PV, NY-Sun C&I	543,573
<b>NY Delaware VI, LLC</b>	>200KW PV, NY-Sun C&I	543,573
<b>NY ENFIELD I LLC</b>	>200KW PV, NY-Sun C&I	571,057
<b>NY Mooers I, LLC</b>	>200KW PV, NY-Sun	597,413
<b>NY Mooers II, LLC</b>	>200KW PV, NY-Sun C/I	581,951
<b>NY Mooers III, LLC</b>	>200KW PV, NY-Sun C/I	581,951
<b>NY RNM Project1A, LLC</b>	>200KW PV, NY-Sun	236,991
<b>NY RNM Project2, LLC</b>	>200KW PV, NY Sun C/I	213,433
<b>NYC Partnership Housing Dev. Fund ..</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	86,749
<b>NYS Department of Transportation</b>	NEW CONSTRUCTION PROGRAM, NCP98285 - NYSDOT Champlain CV	18,599
<b>NYS Labor Management Cooperation ..</b>	Talent Pipeline:CE and OJT, PON3981 Round 4	38,040
<b>NYS Office of Children &amp; Family Servi..</b>	EXISTING FACILITIES, EFP2445 - NYS OCFS	51,823
<b>NYS Office of Mental Health</b>	EXISTING FACILITIES, EFP2296 - NYS Office of Mental	130,312
	SMART GRID SYSTEMS, RFP 3044 R2	960,000
<b>NYU Langone Hospitals</b>	COMBINED HEAT AND POWER, CHP Performance Program	200,000
	EXISTING FACILITIES, EFP CHP - NYU LMC CHP	1,400,000
	EXISTING FACILITIES, EFP1899 - NYU Langone Medical	160,705
	NEW CONSTRUCTION PROGRAM, NCP9243 - The Kimmel Pavilion	110,000
	NEW CONSTRUCTION PROGRAM, NCP10551 - NYU School of Medic	110,000
	Technical Services, OsEM13-C - NYU Langone Health	70,581
<b>O'Brien &amp; Gere Engineers, Inc.</b>	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	612
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	5,445
	Industrial Process Effic, RFP3628FlexTechConsultUmbrella	17,573
<b>Oakvale Construction Co. Ltd.</b>	LARGE SCALE RENEWABLES, Black Brook Hydro	16,425
<b>Ocean Tech Services LLC</b>	Off-Shore Wind Pre-Dev Act, RFP 3855 Metocean Cat. 1: FLSS	609,256
<b>Office of the Brooklyn Borough Presid..</b>	Community RH&C, Cap Dist Heat & Cool Smart Cam	162,500
<b>OLA Consulting Engineers, P.C.</b>	Commercial New Construc, Energy Modeling Partner - OLA	3,002
	NEW CONSTRUCTION PROGRAM, NCP TA Services - OLA 20136	0
	Technical Services, Westchester Tech Services	21,406
<b>Old Stage Road Solar 1, LLC</b>	>200KW PV, NY-Sun C&I	150,117
<b>Olena Butternut LLC</b>	Multifam Performance Pgm, Multifamily	10,800
<b>Olin Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	7,305,975
<b>Once Again Nut Butter</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	47,644
<b>One Hudson Yards Owner LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12087-55 Hudson Yards-OFLT	353,921
<b>One Vanderbilt Owner LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11626 - 317 Madison	100,814
<b>OnForce Solar</b>	>200KW PV, NY Sun	890,684
	NY-SUN, PV System @ Manhattan Beer Dis	172,307
<b>Onondaga Community College</b>	REV Campus Challenge, RM6 - Onondaga CC	113,862
	Technical Services, OsEM19-C Onondaga Com College	33,038

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Opinion Dynamics Corporation</b>	Clean Energy Communities, RFQ3183 Umbrella Agreement	27,004
	EVALUATION, Commercial Statewide Baseline	464,141
	EVALUATION, RFQ3183 Umbrella Agreement	34,795
	LMI Single Family /2525, TWO 11 BPI Survey	626
	Real Time Enrgy Management, RFQ3183 Umbrella Agreement	8,322
	Remote Energy Management, RFQ3183 Umbrella Agreement	0
	Single Family Mt Rt Trans/2515, TWO 11 BPI Survey	626
<b>Optimal Energy Inc.</b>	EVALUATION, TWO #1 Downstate NG Peer Rev.	49,928
<b>Orion Polymer Corp</b>	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage Tech	42,460
<b>Oswego County Opportunities, Inc</b>	Low Rise New Construction, New Construction	53,600
<b>Otsego County</b>	CLEANER GREENER COMMUNITIES, CEC610873 - Otsego County	7,500
<b>Otsego County Conservation Associa..</b>	Community RH&C, PON3723 RH&C Campaigns	13,500
<b>Ove Arup &amp; Partners Consulting Engi..</b>	Commercial Real Estate Ten, ARUP - 40 West 20th St	49,806
<b>OwnSolar, LLC</b>	>200KW PV, Commercial/Industrial PV	66,102
<b>PA Consulting Group</b>	ENERGY ANALYSIS, TWO #1 Enbridge Pipeline Study	28,835
	ENERGY ANALYSIS, TWO #2 Downstate Research	49,984
<b>Pace University School of Law</b>	>200KW PV, CGC31911 - Pace Law School	526
	CLEANER GREENER COMMUNITIES, CGC31911 - Pace Law School	7,860
<b>Palladia, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	75,600
<b>Paradise Energy Solutions, LLC</b>	<200KW PV, PON 2112 NY SUN	104,758
<b>Park Lane North Owner's, Inc. c/o Mar..</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	41,200
<b>Parkadon Development LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	28,800
<b>PassiveLogic Inc.</b>	76 West, 76 West Energy Bus Competition	75,000
<b>Pathfinder Engineers &amp; Architects, LLP</b>	Commercial New Construc, 2019 CNCP	25,458
	Commercial New Construc, Commercial New Construction	57,266
	Commercial New Construc, New Construction	21,962
	Commercial New Construc, RFP3771 Umbrella Contract	12,367
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	9,285
<b>Pathstone Corporation</b>	Community Energy Engagement, CEEP Finger Lakes Region (PATH)	65,170
	Community RH&C, Sustainable Home Roch Part C	5,500
<b>Pattersun 1.3 LLC</b>	NY-SUN, PV System @ Watchtower Bible T	281,051
<b>Pavion Holdings, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	252,500
<b>PCMH Gates Housing Development F..</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	40,800
<b>Pearl Solar II, LLC</b>	>200KW PV, NY-Sun C&I	153,495
<b>Peninsula JV LLC</b>	Multifam New Construction, New Construction	25,000
<b>People United for Sustainable Housing In</b>	Community Energy Engagement, CEEP Western New York Region	28,027
	REVitalize, RFP 3584 Revitalize	19,500
<b>Performance Systems Development</b>	Consumer Ed and Market Support, TWO 2 - Heat Pump Ready/EnPlus	0
	NYCH: Comfort Home, TWO 2 - Heat Pump Ready/EnPlus	48,472
<b>Phase Innovations LLC</b>	NextGen HVAC, Modular Membrane Dehumidifying	37,853
<b>Pine Plains School District</b>	>200KW PV, NY Sun	37,338
<b>Plugin Stations Online, LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	1,180
<b>PlugPV, LLC</b>	<200KW PV, NY-Sun	13,608
	<200KW PV, PON 2112 NY SUN	96,546
<b>Port Jervis Solar Project One, LLC</b>	>200KW PV, NY Sun	59,990
<b>Poseidon Systems, LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	5,760
<b>Postgraduate Center for Mental Health</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	18,000
<b>Potentia Management Group LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	25,157

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Power Guru, LLC</b>	<200KW PV, PON 2112 NY SUN	5,265
<b>Powergen Development Group, LLC</b>	Combined Heat and Power, CHPA - One Carnegie Hill	66,738
<b>Powerhouse Dynamics, Inc</b>	Real Time Enrgy Management, TexasRoadhouse-MultiSites-RTEM	1,320
<b>PPD Partners III LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,750
<b>Premier Solar Solutions LLC</b>	>200KW PV, NY Sun	35,379
	>200KW PV, PON 2112 NY SUN	118,794
<b>Prescriptive Data</b>	Real Time Enrgy Management, PD - 300 Vesey St - RTEM	21,965
	Real Time Enrgy Management, Prescriptive-555 5th Ave-RTEM	16,868
	Real Time Enrgy Management, Prescriptive-630 3rd Ave-RTEM	14,781
	Real Time Enrgy Management, PrescriptiveData-40E 52nd-RTEM	16,287
	Real Time Enrgy Management, PrescriptiveData-383MadAv-RTEM	35,531
<b>President Container Group II, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	38,837
<b>Pro Custom Solar LLC</b>	<200KW PV, PON 2112 NY SUN	5,163
<b>Project Hospitality</b>	New Construction- Housing, 2019 MFCNP	12,000
<b>Project Renewal, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12137 - Bedford Green House	45,852
<b>ProjectEconomics, Inc.</b>	Cleantech Ignition, PON 3871 Ignition Grants	19,600
<b>Promesa Housing Development Fund ..</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	107,400
<b>Prospect Equities Operating, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	2,511
<b>Providence Housing Development Cor..</b>	Low Rise New Construction, New Construction	63,200
<b>Pterra, LLC</b>	High Performing Grid, PON3770 Overvoltage Protection	104,840
<b>Purves Street Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	120,600
<b>Pvilion Technologies, LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	10,240
<b>Quality Installations of NY Inc.</b>	>200KW PV, NY Sun	27,885
<b>Quanta Technology LLC</b>	High Performing Grid, PON 3397 Round 2 - Category A	224,581
<b>Quest Energy Group</b>	Commercial Real Estate Ten, Quest Energy Group-20 W 34th	7,500
<b>Quixotic Systems, Inc.</b>	<200KW PV, NY Sun	84,099
	>200KW PV, PON 2112 NY SUN	12,118
<b>QwikSolar, LLC</b>	<200KW PV, PON 2112 NY SUN	5,208
<b>R Roopnarine</b>	CLEAN TRANSPORTATION, Switched Reulctance Motor	27,210
<b>R.W. Beck Group, Inc.</b>	Commercial Real Estate Ten, StakeholderEngagement_Outreach	25,533
	Electric Vehicles - Innovation, Concierge Services - Leidos	66
	Industrial Process Effic, Concierge Services - Leidos	66
	K-12 SCHOOLS, StakeholderEngagement_Outreach	1,765
	Multifam Performance Pgm, Concierge Services - Leidos	66
	On-Site Energy Manager, Concierge Services - Leidos	66
	Real Time Enrgy Management, Concierge Services - Leidos	132
	Technical Services, Concierge Services - Leidos	132
	Technical Services, StakeholderEngagement_Outreach	27,144
	Technical Services, Targeted Healthcare Engagement	13,755
<b>Raj Technologies Inc.</b>	NYSERDA ADMINISTRATION, Modification - Name Change	178,605
<b>Ramland Holdings, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	126,124
<b>Randstad North America Inc</b>	Cleantech ICC Engage, TS.003_TBI Coordinator	5,179
	Energy Storage Tech/Prod Dev, TS.003_TBI Coordinator	5,180
	High Performing Grid, TS.003_TBI Coordinator	5,180
	NextGen HVAC, TS.003_TBI Coordinator	5,180
	Pub Transit & Elect Rail, TS.003_TBI Coordinator	5,180
<b>Randstad North America, Inc.</b>	CI Enrgy Siting & Soft Cost Red, TS.001 - CES Coordinator	36,496
	CLEANER GREENER COMMUNITIES, Payroll Services	329

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Randstad North America, Inc.</b>	Community RH&C, Payroll Services	6,122
	Consumer Ed and Market Support, Payroll Services	0
	ENERGY ANALYSIS, Payroll Services	4,884
	Energy Storage Tech/Prod Dev, Temporary Services	2,024
	Environmental Research, Payroll Services	631
	Environmental Research, Temporary Services	2,096
	High Performing Grid, Temporary Services	2,024
	Home Perf w Energy Star, Payroll Services	15,214
	Multifam Performance Pgm, Payroll Services	4,304
	NextGen HVAC, Temporary Services	2,024
	NYSERDA ADMINISTRATION, Payroll Services	101,127
	NYSERDA ADMINISTRATION, Temporary Services	14,953
	NYSERDA ADMINISTRATION, TS.009 - Temp Office Admin	2,862
	NYSERDA ADMINISTRATION, TS.010 - Payroll Services	16,794
	OTHER PROGRAM AREA, Payroll Services	8,818
	Payroll Services	8,288
	Pub Transit & Elect Rail, Temporary Services	2,024
	REC:CES REC System Dev Costs, Payroll Services	0
	Temporary Services	8,134
<b>Ranger Sagamore Crescent Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Assignment Agreement	8,250
<b>RBC Capital Markets LLC</b>	Industrial Process Effic, Industrial Process Efficiency	75,567
<b>RCPI Landmark Properties, LLC</b>	Real Time Enrgy Management, RCPI - Multisite - RTEM	1,575,818
<b>RE-Nuble, Inc.</b>	Cleantech Ignition, PON 3871 Ignition Grants	18,000
<b>Reber Rock Farm</b>	AGRICULTURE ENERGY EFFICIENCY, AEEP - R815 Reber Rock Farm	450
<b>Recurve Analytics, Inc.</b>	Pay for Performance, RFP 3901 P4P-AMV Platform	135,886
<b>Red Hook CSA, LLC</b>	>200KW PV, NY-Sun C&I	244,426
<b>RED Rochester</b>	CI Carbon Challenge, RED C&I Carbon Challenge	1,409,190
	Flexible Tech Assistance, FT12253-RED-1200Ridgeway-PON	7,371
	Industrial Process Effic, Industrial Process Efficiency	673,226
<b>Redocs Inc</b>	Commercial Real Estate Ten, Redocs-110 E 55th St-CT	34,895
	Commercial Real Estate Ten, REDOCS-131 W 135 St-CT	19,940
	Commercial Real Estate Ten, REDOCS-2488 Grand Concourse-CT	19,940
<b>ReEnergy Black River LLC</b>	LARGE SCALE RENEWABLES, Black River Facility	5,673,492
<b>Remix Software, Inc.</b>	Pub Transit & Elect Rail, Bus route planning software	119,065
<b>Renew Solar CS4 Fund LLC</b>	>200KW PV, NY-Sun C&I	1,204,258
<b>Renovus Energy, Inc.</b>	<200KW PV, NY-Sun	21,112
	<200KW PV, PON 2112 NY SUN	428,393
	>200KW PV, Commercial/industrial PV	31,474
	>200KW PV, NY Sun	98,814
<b>Rensselaer Polytechnic Institute</b>	CLEAN TRANSPORTATION, Off Hour Delivery Trusted Vend	0
	CLEAN TRANSPORTATION, RPI - PON 3198	6,640
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced Clean..	13,562
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Consolidatn of T..	40,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet and E..	40,000
	Workforce Industry Partnership, PON 3442 Workforce Training	18,145
<b>Rensselaer Polytechnic Institute-LRC</b>	CLEAN TRANSPORTATION, LED Roadway Lighting Demo	13,128
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	48,093
<b>Research Foundation of CUNY</b>	CLEAN TRANSPORTATION, CAVs Impacts Study	15,780



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Research Foundation of CUNY</b>	CLEAN TRANSPORTATION, Virtual TMA Demo	39,792
	Environmental Research, AQHE PON 3921	20,915
	High Performing Grid, PON 3397 Round 2 - Category A	119,975
	NY-SUN, Affordable Solar NYCHA Commerc	52,300
	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 1	402,800
	Talent Pipeline:CE and OJT, PON3981 Round 3	17,515
<b>Research Foundation of SUNY</b>	COMBINED HEAT AND POWER, SUNY ESF Gateway CHP Demo	9,640
	ENERGY ANALYSIS, Accelerated Recovery	1,163
	ENVIRONMENTAL RESEARCH, Combining Measurements and Mod	75,909
	Environmental Research, IDEA-NYS air quality forecast	22,807
	ENVIRONMENTAL RESEARCH, Seiche in Eastern Lake Erie	80,829
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transformative ..	24,888
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet and E..	24,988
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, UV EB TArgete..	15,750
	RENEWABLE HEAT NY, College woodstove design team	0
<b>Research Foundation of The City</b>	ENVIRONMENTAL RESEARCH, Coastal monitoring framework	21,707
<b>Resource Refocus LLC</b>	Code to Zero, TWO 2 NYStretch Res CE	3,711
<b>Responsible Offshore Development Al..</b>	Environmental Research, ENV & Fisheries Rsrch for OSW	53,454
<b>RHM Inc.</b>	Renewable Heat NY, Aeon - Robert	21,000
	Renewable Heat NY, Aeon Heating - Bonno	21,000
	Renewable Heat NY, Aeon Heating-Thomas	19,555
<b>Ridgewood Bushwick Harman Street ..</b>	Multifam Performance Pgm, Multifamily	1,800
<b>Riley Road Windsor, LLC</b>	>200KW PV, NY Sun C/I	346,450
	>200KW PV, NY-Sun C/I	346,450
<b>Riseboro Community Partnership, Inc.</b>	Multifam New Construction, New Construction	17,000
	Multifam New Construction, PHIUS T3 Atlantic	56,375
	NY-SUN, Affordable Solar Predevelopmen	50,000
	Retrofit NY, PON 4062	529,672
<b>RIT HENRIETTA SOLAR 1, LLC</b>	>200KW PV, NY Sun C/I	99,069
<b>Riverdale Country School</b>	NEW CONSTRUCTION PROGRAM, NCP13229 - Natatorium	18,748
<b>Riverwalk 7 LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11145 - Roosevelt Island 7	162,546
<b>RM &amp; PSG, LLC</b>	Multifam Performance Pgm, Multifamily	63,000
<b>Robert Derector Associates</b>	Commercial Real Estate Ten, 200 Madison Ave - CRE Tennant	2,280
	Commercial Real Estate Ten, RDA-55 Fifth Ave, Fls 12-19	12,701
	Commercial Real Estate Ten, RDA-1114 AoA Fl 5-7 - CTP	6,530
	Commercial Real Estate Ten, RDA-1221 Avenue of the America	4,685
	Commercial Real Estate Ten, Robert Derector-7 Times Squ-CT	5,000
	Commercial Real Estate Ten, Robert Derector-300 Vesey	1,785
	Commercial Real Estate Ten, Robert Derector-601 Lexington	12,496
	Commercial Real Estate Ten, Robert Derector-645 5th Ave-CT	7,874
	Commercial Real Estate Ten, RobertDerector-530 5th Avenue	9,426
<b>Rochester District Heating Cooperative</b>	On-Site Energy Manager, OsEM20-I-Rochester District	49,769
<b>Rochester General Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP14069 - Ridge Goodman Medic	130,120
<b>Rochester Institute of Technology</b>	Cleantech Incubator, PON3413 Clean Energy Incubator	167,500
<b>Rochester Joint Schools Construction..</b>	NEW CONSTRUCTION PROGRAM, NCP11337 - Monroe High School	128,158
<b>Rockefeller University</b>	NEW CONSTRUCTION PROGRAM, NCP12664 - River Campus	235,002
<b>Rocky Mountain Institute</b>	Smart Buildings, Market Insights	44,000
<b>Rogers Avenue Housing Development..</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	22,140

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Rome Housing Authority	Multifam Performance Pgm, Multifamily	66,400
Rosenblum Property Services, LLC	SARATOGA TECHNOLOGY & ENERGY PARK, Boiler Replacement at ST..	13,316
	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	0
	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Property Mgmt Ser..	98,744
Ross Solar Group, LLC	>200KW PV, NY-Sun C&I	116,298
	>200KW PV, NY-Sun CI	129,272
RRH PARMA SOLAR 1 LLC	>200KW PV, NY-Sun C&I	138,058
	>200KW PV, NYSUN C&I	215,370
RSV, LLC	NEW CONSTRUCTION PROGRAM, NCP10585 - Rudin West Village	25,000
Ruffalo Appliance	Talent Pipeline:CE and OJT, OJT HIRE	6,075
Ryan Homes (Virginia)	Low Rise New Construction, 2019 LRNCP	136,800
Safari Energy LLC	>200KW PV, NY Sun	663,360
	>200KW PV, PV System @ SE.DMNC.333 Ph 2.1	56,992
	NY-SUN, New York Sun Competitive PV	92,130
	NY-SUN, New York Sun Competitive PV Pr	46,609
	NY-SUN, RPS CST Regional Program	282,776
Saint Gobain Adfors America, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	152,643
Sandy 350, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	87,500
Sandy Clarkson LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	76,500
SAVD Solar, Inc.	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Self-Aligning Ve..	13,566
Scanify, Inc.	Cleantech Ignition, PON 3871 Ignition Grants	46,250
SCCQ Rock Hotel	Flexible Tech Assistance, FT12088-Club Qtrs-Rock Ctr-PON	7,775
Schneider Electric Buildings Americas, I	Real Time Enrgy Management, Schneider - 1045 6th Ave -RTEM	17,374
	Real Time Enrgy Management, Schneider-100 E. 77th St-RTEM	100,000
	Real Time Enrgy Management, Schneider-225 Liberty St-RTEM	19,935
	Real Time Enrgy Management, Schneider-390 Madison Ave-RTEM	23,678
Sea Bright Solar, LLC	>200KW PV, PON 2112 NY SUN	10,692
SecondMuse LLC	M-Corps, Technology to Market	669,000
Seneca Energy II, LLC	LARGE SCALE RENEWABLES, Ontario LFGE	306,020
	LARGE SCALE RENEWABLES, Seneca Energy	0
Seneca Nation	>200KW PV, NY Sun	148,030
Seneca Towers, Inc.	Multifam Performance Pgm, Multifamily	294,600
Sentient Science Corporation	Pub Transit & Elect Rail, DigitalClone for rail	158,163
Sepac Incorporated	<200KW PV, NY-Sun	183,553
Settlement Housing Fund, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	135,405
Seven Springs West LLC	WEST VALLEY DEVELOPMENT PROGRAM, Operations and Maintenanc..	78,469
Sheldon Energy, LLC	LARGE SCALE RENEWABLES, High Sheldon Wind Farm	2,215,357
Siemens Industry, Inc.	ENERGY ANALYSIS, TWO #1: 100x40 Study	54,375
	Real Time Enrgy Management, Siemens-Multisite-RTEM	85,865
	REC:CES REC System Dev Costs, TWO #1: 100x40 Study	90,625
Silver Street Solar LLC	<200KW PV, NY-Sun	129,115
Site 5 DSA Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	37,980
Site 6 DSA Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	60,000
Sive Paget & Riesel PC	NYSERDA ADMINISTRATION, FOIL related Services	14,129
	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	139,628
	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RFP 3776 Outs..	26,365
Skae Power	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	35,848
Skylands Renewable Energy, LLC	Small Wind, Wind Turbine Incentive Program	20,150

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Skyline Solar Inc.	<200KW PV, PON 2112 NY SUN	10,220
Skyven Technologies, Inc	OTHER PROGRAM AREA, Technology to Market	100,000
Smarter Grid Solutions, Inc.	DER Integration(Intrcnct), PON4094 DER Interconnection	5,041
	Talent Pipeline:CE and OJT, OJT HIRE	48,682
Smith Engineering PLLC	Flexible Tech Assistance, FT12237-Cornell-961EShore-FTC	18,931
	Workforce Industry Partnership, PON 3715 Workforce Training	348,577
Snug Planet, LLC	Talent Pipeline:CE and OJT, OJT HIRE	22,288
Snyder Manufacturing, Inc	Geothermal Incentive Program, Large-Scale GSHP Rebate	154,553
SOHO AOA Owner, LLC	NEW CONSTRUCTION PROGRAM, NCP11159 - One SOHO Square	50,214
Sol Ace Solar, LLC	>200KW PV, NY-Sun	200,244
Solar 88, LLC	<200KW PV, NY-Sun	299,012
Solar Energy Systems, LLC	>200KW PV, NY Sun	85,977
	>200KW PV, PON 2112 NY SUN	322,002
Solar Liberty Energy Systems, Inc	<200KW PV, NY Sun	13,365
	<200KW PV, NY-Sun	15,488
	<200KW PV, PON 2112 NY SUN	578,070
	>200KW PV, PON 2112 NY SUN	41,610
Solar Mission II LLC	>200KW PV, NY-Sun C&I Saratoga Springs	484,908
Solar One, Inc.	>200KW PV, PON 2112 NY SUN	12,636
Solar Tompkins Inc.	Community RH&C, PON3723 RH&C Campaigns	113,200
Solar Village Company LLC	Low Rise New Construction, 2019 LRNCP	36,000
	Talent Pipeline:CE and OJT, OJT HIRE	12,088
SolarKal LLC	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	80,000
	OTHER PROGRAM AREA, Technology to Market	25,000
Solepoxy	Industrial Process Effic, Industrial Process Efficiency	63,360
South Slope Development Corporation	Industrial Process Effic, Industrial Process Efficiency	67,200
South Street Seaport Limited Partners..	NEW CONSTRUCTION PROGRAM, NCP13189 - Pier 17	13,410
Southern Tier Technologies LLC	76 West, 76 West Energy Bus Competition	50,000
Southport, LLC	>200KW PV, Commercial/Industrial	14,435
Spencer-Tioga Solar, LLC	>200KW PV, NY-Sun C&I	3,778,888
SRS Holdings LLC	Energy Storage Tech/Prod Dev, PON 3585 R2 Polymer-Clay separ	54,740
SS&C Technologies, Inc.	NEW YORK GREEN BANK, Fund Administration/Loan Inves	223,195
SSA Solar of NY 2 LLC	>200KW PV, NY-Sun	168,951
St. Nicks Alliance	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	30,600
Stacks and Joules Inc.	Talent Pipeline:CE and OJT, PON3981 Round 4	76,900
Standard Solar, Inc	>200KW PV, NY-Sun C&I	813,960
Stanley Commons Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	47,325
Stantec Consulting Services, Inc.	Industrial Process Effic, Technical Review and Program S	1,076
State University of NY @ New Platz	NEW CONSTRUCTION PROGRAM, NCP10071 - New Science Buildin	47,987
Steel Sun 2 LLC	>200KW PV, SteelSun 2 Canisius College 3	438,049
	>200KW PV, SteelSun 2 Canisus College 1	430,048
	>200KW PV, SteelSun2 - Canisius College 2	438,049
Steel Sun LLC	NY-SUN, PV System @ Steel Sun #1	253,547
	NY-SUN, PV System @ Steel Sun #2	213,074
Steele Sleepy Hollow LLC	Multifam Performance Pgm, Multifamily	160,300
Stephen Gaynor School	NEW CONSTRUCTION PROGRAM, NCP9231 - Claremont Building	16,867
Sterling and Wilson Cogen Solutions, ..	Combined Heat and Power, CHPA-Agbotic Project#1 LLC	136,917
Steven Winter Associates, Inc.	CLEANER GREENER COMMUNITIES, RFP3628FlexTechConsultUmbrella	20,352

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>	
<b>Steven Winter Associates, Inc.</b>	Commercial New Construc, New Construction	24,040	
	Commercial Real Estate Ten, SWA - Demand Flex - Multisite	38,968	
	Consumer Ed and Market Support, Heat Pump Ready Training	0	
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, O..	35,981	
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	11,237	
	Low Rise New Construction, SF 107588 - 511 East 86th St.	6,667	
	Low Rise New Construction, SWA TWO #1 - RESNET	10,590	
	Market Tests, Market Insights	8,775	
	Multifam New Construction, SWA TWO #1 - RESNET	10,590	
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	9,049	
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	20,163	
	New Construction- Commercial, TWO PON 3943	28,998	
	New Construction- Housing, SF 107588 - 511 East 86th St.	3,333	
	New Construction- Housing, TWO PON 3943	28,998	
	NextGen HVAC, BAS for small & medium bldgs	11,848	
	NextGen HVAC, Cold Climate PTHP	12,009	
	NextGen HVAC, PON3519 Round 1	89,525	
	NYCH: Comfort Home, Heat Pump Ready Training	59,218	
	Real Time Enrgy Management, SWA - Multisite - RTEM	26,891	
	Real Time Enrgy Management, SWA-85 Riverdale Ave-RTEM	0	
	Real Time Enrgy Management, SWA-351 East 84th St-RTEM	0	
	Talent Pipeline:CE and OJT, PON3981 Round 4	2,000	
	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	93,631	
	Workforce Industry Partnership, PON 3715 Workforce Training	86,282	
	<b>Stone Environmental, Inc.</b>	Community RH&C, Westchester Ground Source Heat	119,838
		Informat. Products & Brokering, Data Asset Matching STONE TWO	63,432
		Informat. Products & Brokering, RTEM Gas Customer Targeting	26,516
<b>Stonework Capital LLC</b>	OTHER PROGRAM AREA, RFP3267 Innovation Advis Pilot	22,145	
<b>Stony Creek Energy LLC</b>	LARGE SCALE RENEWABLES, Stony Creek Wind Farm	2,867,466	
<b>Sullivan County</b>	NEW CONSTRUCTION PROGRAM, NCP14042 - Sullivan County Jai	5,194	
<b>Sun Shelter LLC</b>	NEW YORK ENERGY STAR HOMES, LRNCP Blake Hendrix	80,000	
<b>Sun Source Technologies</b>	<200KW PV, NY-Sun	46,800	
	<200KW PV, PON 2112 NY SUN	48,494	
<b>SuNation Solar Systems, Inc.</b>	<200KW PV, NY Sun	14,611	
	<200KW PV, PON 2112 NY SUN	218,131	
	ENERGY STORAGE, PON 2112 NY SUN	12,500	
<b>Sunnova Energy Corp</b>	<200KW PV, PON 2112 NY SUN	5,602	
<b>SunPower Capital, LLC</b>	<200KW PV, NY-Sun	10,328	
	<200KW PV, PON 2112 NY SUN	77,328	
<b>SUNRISE ELECTRICAL SERVICES</b>	<200KW PV, NY Sun	27,157	
	<200KW PV, NY-Sun	46,431	
<b>Sunrise Solar Solutions, LLC</b>	<200KW PV, PON 2112 NY SUN	25,205	
	>200KW PV, PON 2112 NY SUN	21,852	
<b>SunRun, Inc</b>	<200KW PV, PON 2112 NY SUN	61,482	
<b>SUNY - ESF</b>	Environmental Research, ALTM Streams 2018-2022	17,685	
	ENVIRONMENTAL RESEARCH, Biofiltration drainage media	20,118	
	REV Campus Challenge, RM2 - SUNY ESF	15,759	
<b>SUNY Broome Community College</b>	NEW CONSTRUCTION PROGRAM, NCP12647 - SUNY Broome Culinar	39,143	

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>SUNY Buffalo</b>	Environmental Research, Climate Impacts on Buildings	9,667
<b>SUNY Cobleskill</b>	NEW CONSTRUCTION PROGRAM, NCP9119 - Center for Agricultu	43,790
<b>SUNY Fredonia</b>	NEW CONSTRUCTION PROGRAM, NCP12636 - Houghton Hall	6,453
<b>Sustainable Comfort, Inc</b>	New Construction- Housing, SF183532_BaldwinRealEstate	10,000
	New Construction- Housing, SF183758-46 South St.	9,200
	New Construction- Housing, SF183892 - 2047 Chili Ave.	10,000
<b>Sustainable Energy Advantage, LLC</b>	NYSERDA ADMINISTRATION, Large Scales Renewables Techni	2,201
	REC:CES REC System Dev Costs, Large Scales Renewables Techni	3,911
	REC:CES REC System Dev Costs, RES Program Review	27,306
	REC:CES REC System Dev Costs, Supply Curve Update 101124-15	102,315
	REC:CES REC System Dev Costs, TWO16 IE 2019	40,357
	ZEC:CES ZEC System Dev Costs, Large Scales Renewables Techni	4,917
<b>Sustainable Energy Developments Inc.</b>	<200KW PV, PON 2112 NY SUN	92,272
	>200KW PV, NY-Sun	31,287
<b>Sustainable Tompkins</b>	Community RH&C, Tompkins County CH&C	101,700
<b>Sustainable Westchester</b>	Community RH&C, PON3723 RH&C Campaigns	156,750
<b>Susten Corp</b>	>200KW PV, PON 2112 NY SUN	10,224
<b>Sweetwater Energy, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Cellulosic Sugar..	10,000
<b>Swiss Re Management (US) Corporati..</b>	>200KW PV, NY Sun	433,057
<b>Switched Source LLC</b>	76 West, 76 West Energy Bus Competition	62,500
	Cleantech Ignition, PON 3871 Ignition Grants	46,727
	High Performing Grid, PON 3397 Round 2 - Category D	32,611
<b>Switched Source PB LLC</b>	High Performing Grid, PON 3770 CATB - Phase Balance	716,113
<b>Syncarpha Whitehall LLC</b>	>200KW PV, NY-Sun	409,536
<b>Syracuse University</b>	ADVANCED BUILDINGS, Micro Environ Control System	1,897
	ENVIRONMENTAL RESEARCH, Environmental Research	38,870
<b>Tagup Inc.</b>	High Performing Grid, PON 3397 CAT C	25,624
	High Performing Grid, PON 3770	80,062
<b>Taitem Engineering, P.C.</b>	Code to Zero, TWO#1 NYStretch Outreach CR	9,239
	Commercial New Construc, Commercial New Construction	53,353
	Commercial New Construc, New Construction	13,725
	Commercial New Construc, RFP3771 Umbrella Contract	2,989
	Commercial Real Estate Ten, Taitem-110 S Albany St	7,188
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, P..	26,006
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	1,525
	Geothermal Incentive Program, FT12227-256SunsetLake-FTC	9,336
	Geothermal Incentive Program, Technical Review and Program S	64,977
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	4,521
	Multifam Performance Pgm, 3695 TWO Umbrella Agreement	68,688
	Multifam Performance Pgm, RFQL 3434 - Standards and Qual	210,064
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
<b>Talen Energy Marketing, LLC</b>	LARGE SCALE RENEWABLES, Locust Ridge Wind Farm	573,398
<b>Talisen Technologies, Inc</b>	Real Time Enrgy Management, Energy Mangt Data_Tech Supp	360,246
<b>Tannery Road Solar, LLC</b>	NY-SUN, PV System at City of Rome	351,116
<b>Tax Credit Asset Management, LLC</b>	New Construction- Housing, 2019 LRNCP	76,600
<b>Taystee Create LLCc</b>	NEW CONSTRUCTION PROGRAM, NCP11527 - Taystee Bakery Buil	12,228
<b>Tech Valley Talent, LLC</b>	EVALUATION, RFP3143 Umbrella Agreement	93,304
	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	452,586

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Tech Valley Talent, LLC</b>	NYSERDA ADMINISTRATION, TWO Salesforce BA - Himmelfarb	81,491
	NYSERDA ADMINISTRATION, TWO26 Server Ops	93,623
	REC:CES REC System Dev Costs, RFP3143 Umbrella Agreement	15,561
<b>Tecogen</b>	Combined Heat and Power, CHPA - 200 East 57th Street	66,361
	Combined Heat and Power, CHPA - 555 West 23rd St	103,950
	Combined Heat and Power, CHPA - Amherst	128,081
	Combined Heat and Power, CHPA - Caton Towers	56,430
	COMBINED HEAT AND POWER, CHPA - Domino Building E	115,500
	COMBINED HEAT AND POWER, CHPA - Greenwich Club Residenc	119,000
	COMBINED HEAT AND POWER, CHPA - Hotel Gershwin & Latham	59,400
	Combined Heat and Power, CHPA - Riverview Terrace	53,460
	Combined Heat and Power, CHPA - Surf 21	392,700
	Combined Heat and Power, CHPA - Transcontinental Ultra	124,631
	COMBINED HEAT AND POWER, CHPA - Village View 4	75,969
	COMBINED HEAT AND POWER, CHPA - Village View 5	75,969
	Combined Heat and Power, CHPA - Village View 6	75,969
	Combined Heat and Power, CHPA - Village View 7	75,969
	Combined Heat and Power, CHPA-301 East 69th Street - Ma	50,490
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #5	106,735
	Combined Heat and Power, CHPA-Esplanade Gardens Bldg #6	106,735
	Combined Heat and Power, CHPA-The Lucida	58,988
COMBINED HEAT AND POWER, On-Site Power	75,969	
<b>TEP Charter School Assistance</b>	NEW CONSTRUCTION PROGRAM, NCP12404 - The Equity Project	12,072
<b>Tern Construction &amp; Development, LLC</b>	Low Rise New Construction, New Construction	35,800
<b>TerraForm Solar XVIII, LLC</b>	>200KW PV, Frank Lindsey School	36,594
<b>Tesla Energy Operations Inc</b>	<200KW PV, PON 2112 NY SUN	5,733
	>200KW PV, Commercial/Industrial	73,602
	>200KW PV, Commercial/Industrial PV	116,133
	>200KW PV, Commerical/IndustrialPV	29,765
	>200KW PV, NY Sun	24,955
	>200KW PV, PV System @ Oswego County - Fu	161,090
	ENERGY STORAGE, PON 2112 NY SUN	12,500
<b>Tetra Tech Engineers, Architects and ..</b>	MARKET PATHWAYS, CRETP - Metlife - 200 Park - M	30,000
<b>Tetra Tech MA, Inc.</b>	OREC: Technical Support, TWO#1 OSW Fisheries WG	5,136
<b>TGC Elizabeth Drive (Chester) LLC</b>	>200KW PV, NY-Sun	208,393
<b>The Bridge Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	39,600
<b>The Cadmus Group, LLC</b>	>200KW PV, RFQL3434 Cat1 NYSUN C/I	3,160
	Code to Zero, RFQ3183 Umbrella Agreement	46,045
	Community RH&C, RFP3751 Clean Heating & Coolin	87,557
	COMMUNITY SOLAR, RFP 3764Solarize TA Provider	5,356
	Electric Vehicles - Innovation, TWO #3 DCFC design	34,979
	ENERGY ANALYSIS, RFQL 3685 R2 Umbrella	30,032
	Environmental Research, TWO 3 - RegionalFundingEntity	29,754
	Eval MCDC Cross Cutting, TWO#2-Top_Down_Analysis	7,883
	Eval MCDC EE Master Soft Cost, TWO#4 Soft Cost study	134,196
	EVALUATION, RFP3916 Res Bldg Stock Assessm	48,682
	EVALUATION, RFQL 3685 R2 Umbrella	0
	EVALUATION, TWO#2-Top_Down_Analysis	23,649

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>The Cadmus Group, LLC</b>	EVALUATION, TWO#4 Soft Cost study	71,135
	Home Perf w Energy Star, EnergyAffordability and Equity	16,071
	LMI On Bill Tariff Study, Analysis of On-Bill Financing	22,175
	Mkt Char: Tech Assist, RFQL 3685 R2 Umbrella	9,974
	NY-SUN, RFQL3434 Cat1 NYSUN C/I	0
	Off-Shore Wind Pre-Dev Act, RFP 3462 Umbrella Agreement	41,303
	On-Site Energy Manager, RFQ3183 Umbrella Agreement	31,990
	OREC: Technical Support, RFP 3462 Umbrella Agreement	89,598
	OREC: Technical Support, TWO 4 - RegionalFundingEntity	8,277
	Real Time Enrgy Management, RFQ3183 Umbrella Agreement	0
	Rmve Barriers Dist Enrgy Storg, TWO # 3	25,324
	Strategic Energy Manager, RFQ3183 Umbrella Agreement	31,990
	TWO 4 - RegionalFundingEntity	8,277
<b>The Center for New York City</b>	Community Energy Engagement, CEEP New York City Region (CNY)	112,005
<b>The Center for Urban Community Serv..</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	61,200
<b>The Chapin School</b>	NEW CONSTRUCTION PROGRAM, NCP12829 - The Chapin School	11,840
<b>The Community Builders, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	176,000
<b>The Cooper Union for the Advancement of</b>	Workforce Industry Partnership, PON 3715 Workforce Training	23,903
	Workforce Industry Partnership, Workforce Dev & Train	67,393
<b>The Garrick Co., LLC</b>	WEST VALLEY DEVELOPMENT PROGRAM, Probabilistic Evaluation	33,560
<b>The Great Plains Institute for</b>	OTHER PROGRAM AREA, DOE grant - UER - Minnesota	7,998
<b>The Gunlocke Company</b>	Industrial Process Effic, Industrial Process Efficiency	64,510
<b>The Levy Partnership, Inc.</b>	ADVANCED BUILDINGS, Building Zero Energy readyhome	58,440
	Air Source Heat Pumps, NextGen HVAC Innovation	38,532
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATION, D..	3,960
	NextGen HVAC, Downstate gas fired heat pump	90,745
	NextGen HVAC, NextGen HVAC Innovation	6,668
<b>The Logue Group</b>	WEST VALLEY DEVELOPMENT PROGRAM, WV- Demonstration Project	13,583
<b>The Point Community Development C..</b>	NY-SUN, Hunts Point Comm Solar Project	40,000
<b>The Radiant Store</b>	Renewable Heat NY, Radiant - Walters	23,000
	Renewable Heat NY, Radiant Store - Eberhardt	7,200
<b>The Renewables Consulting Group, LLC</b>	Nat'l OffShWind R&D Consortium, RCG work for OSW Consortium	151,066
	OREC: Technical Support, Large-Scale Renewables	113,587
	RCG work for OSW Consortium	76,466
<b>The Research Foundation for SUNY</b>	CLEAN TRANSPORTATION, Autonomous EV Campus Demo	35,089
	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Storge	43,000
<b>The Research Foundation for the State</b>	High Performing Grid, PON 3397 Round 2 - Category A	141,181
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Visible Light Cur..	5,936
	RENEWABLE HEAT NY, Lignocellulosic pellets	16,917
<b>The Research Foundation of SUNY (U..</b>	REV CAMPUS CHALLENGE, RFP 3214 REV Campus Challenge	19,200
<b>The Research Foundation of SUNY at Bing</b>	Cleantech Geo Coverage, PON3413 Clean Energy Incubator	0
	Cleantech Incubator, PON3413 Clean Energy Incubator	176,700
<b>The RF of SUNY Binghamton University</b>	Energy Storage Tech/Prod Dev, PON 3585 R2	100,000
	High Performing Grid, PON 3397 Round 2 - Category A	150,000
<b>The Trustees of Columbia University</b>	Cleantech EIR, PON 3819	383,800
	ENVIRONMENTAL RESEARCH, Buildings Climate Adaptation	15,588
	ENVIRONMENTAL RESEARCH, Tropical Cyclone Risk Model	58,959
	ENVIRONMENTAL RESEARCH, Upstate building footprints	73,820

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
The Trustees of Columbia University	OTHER PROGRAM AREA, PON 3249 ACE Electrofuels	104,615
The Webster Green Housing	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	14,760
The Weidt Group, Inc.	Real Time Enrgy Management, Environ-257 Park Ave S-RTEM	6,000
Therm Controls Incorporated	NextGen HVAC, NextGen HVAC Innovation	38,750
Thuesen Mechanical Corp	Combined Heat and Power, CHPA-Silo Ridge 1.2	17,325
Tilcon NY , Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	46,340
Timothy C. Barfield	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	69,525
Tishman Speyer	NEW CONSTRUCTION PROGRAM, NCP14019 - Gotham Center Site	90,756
TM Montante Solar Developments, LLC	<200KW PV, PON 2112 NY SUN	92,259
Tompkins Community Action	Multifam New Construction, MFNCP - Amici House	11,500
Tompkins Consolidated Area Transit	Pub Transit & Elect Rail, First/Last Mile in Tompkins Co	23,351
Tompkins County	Clean Energy Communities, CEC011216 - Tompkins County	55,000
Total Comfort Heating and Air Conditio..	Talent Pipeline:CE and OJT, OJT HIRE	15,040
Tower Enterprises of NY & NJ LLC	Talent Pipeline:CE and OJT, OJT HIRE	8,000
Town of Ashford	Clean Energy Communities, CEC101538 - Town of Ashford	37,500
Town of Austerlitz, New York	CEC400162-Twn of Austerlitz	7,500
	Clean Energy Communities, CEC400162-Twn of Austerlitz	1,250
Town of Brookhaven	CLEANER GREENER COMMUNITIES, Town of Brookhaven	57,000
Town of Busti	Clean Energy Communities, CEC101460 - Town of Busti	41,250
Town of Canaan	Clean Energy Communities, CEC400102-Twn of Canaan	15,500
Town of Caroline	Clean Energy Communities, Town of Caroline	44,875
Town of Cazenovia	Clean Energy Communities, PON 3298 CEC	37,500
Town of Clifton Park	Clean Energy Communities, CEC400011 - Town of Clifton Pa	37,500
Town of Colton	Clean Energy Communities, CEC701140 - Town of Colton	12,500
Town of Conewango	Clean Energy Communities, Town of Conewango	13,624
Town of DeWitt	Clean Energy Communities, Town of DeWitt	75,000
Town of Dickinson	Clean Energy Communities, CEC001263 - Town of Dickinson	14,000
Town of East Hampton	CLEANER GREENER COMMUNITIES, Town of East Hampton	55,000
Town of Ellicottville	Clean Energy Communities, Town of Ellicottville	37,500
Town of Greece	Clean Energy Communities, CEC310376-Town of Greece	750
Town of Guilderland	CEC400038 Town of Guilderlan	7,500
	Clean Energy Communities, CEC400038 Town of Guilderlan	1,250
Town of Hamden	Clean Energy Communities, CEC001382 - Town of Hamden	30,750
Town of Hamilton	Clean Energy Communities, Town of Hamilton	12,500
Town of Hempstead, Department of C..	CLEANER GREENER COMMUNITIES, CEC910525 - Town of Hempstead	37,500
Town Of Hornellsville	Clean Energy Communities, CEC001379 Town of Hornellsvi	12,500
Town of Humphrey	Clean Energy Communities, CEC101529 - Town of Humphrey	36,750
Town of Huntington	OTHER PROGRAM AREA, RFP 3044 R2	185,000
Town of Irondequoit	Clean Energy Communities, Town of Irondequoit	250,000
Town of Kiantone	Clean Energy Communities, Town of Kiantone	37,500
Town of Knox	Clean Energy Communities, Town of Knox	1,269
	Town of Knox	381
Town of Leyden	Clean Energy Communities, CEC701136-Town Leyden	12,500
Town of Malone	Clean Energy Communities, CEC701017 Town of Malone	25,000
Town of Nassau	CEC400123-Town of Nassau	7,500
	Clean Energy Communities, CEC400123-Town of Nassau	1,250
Town of Niskayuna	Clean Energy Communities, Town of Niskayuna	74,625
Town of Persia	Clean Energy Communities, PON 3298 CEC	25,000



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Town of Plattsburgh</b>	Clean Energy Communities, Town of Plattsburgh	30,000
<b>Town of Queensbury</b>	Clean Energy Communities, CEC400080 - Town of Queensbury	37,500
<b>Town of Richland</b>	Clean Energy Communities, Town of Richland	37,500
<b>Town of Smithtown</b>	CLEANER GREENER COMMUNITIES, CGC39727 - Town of Smithtown	18,999
<b>Town of Southold</b>	CLEANER GREENER COMMUNITIES, Town of Southold	42,000
<b>Town of Tonawanda</b>	Clean Energy Communities, Town of Tonawanda	37,500
<b>Town of Veteran</b>	Clean Energy Communities, CEC001367 - Town of Veteran	12,500
<b>Town of Winfield</b>	Clean Energy Communities, CEC600907 - Town of Winfield	37,500
<b>TP LIC, LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	74,250
<b>Trane</b>	Real Time Enrgy Management, 310 Prospect Park West - RTEM	5,843
	Real Time Enrgy Management, Americas Soc-680 Park Ave-RTEM	3,294
	Real Time Enrgy Management, CtrSynagogue-652Lexington-RTEM	9,460
	Real Time Enrgy Management, Fountain House-425 W 47th-RTEM	7,649
	Real Time Enrgy Management, Hilton - 237 W 54th St - RTEM	5,616
	Real Time Enrgy Management, Hines - 375 Hudson St - RTEM	12,262
	Real Time Enrgy Management, Multi Campus-100 Bridge-RTEM	13,712
	Real Time Enrgy Management, SimonePropDev-3010West-RTEM	8,533
	Real Time Enrgy Management, St Ann'sWarehou-45WaterSt-RTEM	5,619
	Real Time Enrgy Management, The London Hotel-151 W 54-RTEM	258,259
	Real Time Enrgy Management, Trane US Inc- Multisite - RTEM	329,847
	Real Time Enrgy Management, Trane-17 Lansing St-RTEM	286,980
	Real Time Enrgy Management, Trane-40 Sunshine Cottage-RTEM	14,088
	Real Time Enrgy Management, Trane-85 Livingston-RTEM	49,675
	Real Time Enrgy Management, Trane-90 Broad-RTEM	45,678
	Real Time Enrgy Management, Trane-215 S Broad-RTEM	101,348
	Real Time Enrgy Management, Trane-550 Food Center Dr-RTEM	5,130
	Real Time Enrgy Management, Trane-2130 McDonald Ave-RTEM	6,164
	Real Time Enrgy Management, Trane-Wells College-RTEM	257,057
	Remote Energy Management, RFP 3683 REM Program	44,668
<b>TransCore ITS LLC</b>	CLEAN TRANSPORTATION, Green Traffic Control Cabinet	2,651
<b>TRC Energy Services</b>	>200KW PV, Staff Augmentation Services	42,205
	Campus/Technical Assistance, Four-year contract for Technic	35,453
	CI Enrgy Siting & Soft Cost Red, Staff Augmentation Services	12,520
	Commercial New Construc, Staff Augmentation Services	44,264
	Commercial Real Estate Ten, SA.047_TWO #19 - EPE	23,311
	ENERGY ANALYSIS, Staff Augmentation Services	127,373
	EXISTING FACILITIES, Staff Augmentation Services	258,944
	EXISTING FACILITIES, Technical Review and Program S	2,760
	Flexible Tech Assistance, Staff Augmentation Services	21,222
	FLEXIBLE TECHNICAL ASSISTANCE, Staff Augmentation Services	0
	Industrial Process Effic, Technical Review and Program S	3,115
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	176,578
	K-12 SCHOOLS, Staff Augmentation Services	-29,557
	Low Rise New Construction, Staff Augmentation Services	53,116
	Low-Income Forum on Energy, LIFE Implementation Services	20,229
	Multifam New Construction, Staff Augmentation Services	50,165
	Multifam Performance Pgm, Staff Augmentation Services	294,189
	New Construction- Commercial, Staff Augmentation Services	44,264

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>TRC Energy Services</b>	New Construction- Housing, Staff Augmentation Services	103,282
	Real Time Enrgy Management, Staff Augmentation Services	81,129
	Renewable Heat NY, Ray Brook TWO	36,353
	REV Campus Challenge, SA.047_TWO #19 - EPE	23,311
	Rmve Barriers Dist Enrgy Storg, Staff Augmentation Services	12,520
	Talent Pipeline:CE and OJT, Technical Review and Program S	40,514
	Technical Services, SA.047_TWO #19 - EPE	23,311
	Workforce Industry Partnership, Technical Review and Program S	42,042
<b>TRC Engineers, Inc.</b>	NextGen HVAC, PON3519 Round 1.	13,474
<b>Treasure Asset Storage LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12473 - 122 W 146th St	160,763
<b>Trees New York</b>	GREENING THE BRONX, Efficiency Planning & Engineer	60,452
<b>Tri State Solar Services</b>	<200KW PV, PON 2112 NY SUN	6,216
<b>Triangle Electrical Systems, Inc.</b>	<200KW PV, PON 2112 NY SUN	5,460
<b>Trinity Heating &amp; Air, Inc.</b>	<200KW PV, PON 2112 NY SUN	23,279
<b>Trinity West Harlem Phase One Limite..</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	44,100
<b>Trinity West Harlem Phase Two Limite..</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	57,500
<b>Trojan Powder Coating Company, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	44,219
<b>Trove Predictive Data Science, Inc.</b>	Informat. Products & Brokering, DER Data Platform Pilot	196,600
<b>True Building Performance LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	16,640
<b>True Energy Solutions</b>	Talent Pipeline:CE and OJT, OJT HIRE	1,440
	Talent Pipeline:CE and OJT, OJT HIRE	11,360
<b>Tungsten Sources, LLC</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transformative ..	185,000
<b>TurnKey Internet, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	255,756
<b>TW NY Properties LLC</b>	NEW CONSTRUCTION PROGRAM, NCP14049-TWI Hudson Yard-OFLT	75,000
<b>Twin Lantern Solar Partners, LLC</b>	>200KW PV, PV System @ City of Oneida	260,973
<b>U.S. Geological Survey (Troy).</b>	ENVIRONMENTAL RESEARCH, ALTM Stream Monitoring	253,011
<b>U.S. Green Building Council, NY Chapter</b>	ADVANCED BUILDINGS, Improving Steam Distribution	12,500
	Code to Zero, Urban Green TWO#1 Training	34,002
	Workforce Industry Partnership, PON 3715 Workforce Training	76,256
<b>U&amp;S Services, Inc.</b>	Remote Energy Management, RFP3683 REM Program	18,396
<b>Unique Comp Inc.</b>	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	593,882
	NYSERDA ADMINISTRATION, TWO 1 Server Op's Support	63,588
	NYSERDA ADMINISTRATION, TWO Salesforce Admin. Senecal	82,243
	NYSERDA ADMINISTRATION, TWO SQL ETL Dev.	78,076
	NYSERDA ADMINISTRATION, TWO Sr. Systems Admin.- Bhanu	82,280
	Pay for Performance, RFP3143 Umbrella Agreement	104,629
<b>Unique Technical Services, LLC</b>	CLEAN TRANSPORTATION, Advanced Transportation Tech	18,162
	Pub Transit & Elect Rail, Advanced Transportation Tech	2,327
<b>United States Department of the Interi..</b>	Environmental Research, ENV & Fisheries Rsrch for OSW	2,014
<b>United Way of Long Island</b>	OTHER PROGRAM AREA, CEEP Long Island (UWLI)	59,541
<b>United Wind Project I, LLC</b>	Small Wind, Wind Turbine Incentive	14,546
<b>University at Albany</b>	Environmental Research, AQHE PON 3921	13,080
	High Performing Grid, PON 3770	3,531
	NEW CONSTRUCTION PROGRAM, NCP11221 - Campus Center Expan	40,870
<b>University of Maryland</b>	OTHER PROGRAM AREA, DOE UER - Maryland	6,561
<b>University of North Carolina at Chapel..</b>	Environmental Research, AQHE PON 3921	11,150
<b>University of Rochester</b>	ADVANCED BUILDINGS, SuperWicking Materials for A/C	0
	High Performing Grid, PON 3770	10,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>University of Wisconsin System</b>	Environmental Research, NADP LTM Ecosystems in NYS	49,198
<b>University System of New Hampshire</b>	U.S. DOE SEP Grant for oTherm	39,424
<b>Uplight, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residential Pr..	207
	EMPOWER NY, Residential Program MgtRFP3545	207
	GJGNY Market Rate Audits, Residential Program MgtRFP3545	65,000
	Home Perf w Energy Star, Residential Program MgtRFP3545	40,185
	HOME PERFORMANCE WITH ENERGY STAR, Residential Program Mgt..	207
<b>Urban Electric Power, Inc.</b>	Energy Storage Tech/Prod Dev, PON 3585 R2	15,000
<b>Urban Electric Power, LLC</b>	CLEAN TRANSPORTATION, Zinc MO2 battery scale up	27,898
	Talent Pipeline:CE and OJT, OJT HIRE	24,293
<b>US Energy Concierge Inc</b>	<200KW PV, PON 2112 NY SUN	15,155
<b>USE ACQUISITION LLC</b>	Real Time Enrgy Management, US Energy Grp-3161 Brighton	13,665
	Real Time Enrgy Management, US Energy-161 Corbin PI-RTEM	23,985
	Real Time Enrgy Management, USE - 120 W 97th St - RTEM	57,493
<b>USTA National Tennis Center, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12469 - Billie Jean King Na	2,389
	NEW CONSTRUCTION PROGRAM, NCP14059 - USTA Armstrong	140,625
<b>Utilities Program &amp; Metering, Inc.</b>	Real Time Enrgy Management, Josie Robinson Surgery - RTEM	8,316
	Real Time Enrgy Management, NYU Medical Center - MS - RTEM	27,360
	Real Time Enrgy Management, Utilities-160 E 53rd St-RTEM	4,500
	Real Time Enrgy Management, Utilivisor-327 E 64th St-RTEM	3,960
<b>Van Hee Mechanical</b>	Talent Pipeline:CE and OJT, OJT HIRE	789
<b>Vanderbilt Assoc. I LLC</b>	Flexible Tech Assistance, FT11662 - Vanderbilt Assoc	8,638
<b>Venture Home Solar LLC</b>	<200KW PV, PON 2112 NY SUN	10,251
<b>Verdant Power, Inc.</b>	RENEWABLES & DER INTEGRATION, Environmentally Preferred Powe	80,000
<b>Verizon NY Inc.</b>	FUEL CELLS, PON 2157 RPS CST FC Program	400,000
	FUEL CELLS, RPS Customer Sited Tier Fuel C	1,100,000
<b>Vermont Energy Investment Corporation</b>	CLEAN TRANSPORTATION, EV Dealer Incentive Program	9,950
	Industrial Process Effic, IPE16233	3,284
	Industrial Process Effic, Umbrella Contract	27,991
	Pay for Performance, Umbrella Contract	34,494
	Strategic Energy Manager, RFP 3352	416,564
<b>Versar, Inc</b>	EXISTING FACILITIES, Technical Review and Program S	8,011
<b>Vervent Inc.</b>	GJGNY REVOLVING LOAN FUND, Financing Solutions	25,409
<b>VHB Engineering, Surveying and</b>	New Construction- Commercial, New Construction	12,340
	New Construction- Housing, New Construction	12,340
<b>Vidaris, Inc.</b>	Code to Zero, TWO#3 NYStretch Cost Eff	450
	Commercial New Construc, Commercial New Construction	34,364
	Commercial New Construc, New Construction	66,421
	Commercial New Construc, Vidaris - EMP	23,860
	Flexible Tech Assistance, FT12256 - Trinity Hudson - FTC	8,152
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	7,971
	NEW CONSTRUCTION PROGRAM, High Perf New Bldg(not in use)	0
	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	31,450
<b>Village of Boonville</b>	CLEANER GREENER COMMUNITIES, Village of Boonville	100,000
<b>Village of Brockport Solar 1, LLC</b>	<200KW PV, NY-Sun	355,212
<b>Village of Canastota</b>	Clean Energy Communities, PON 3298 CEC	18,750
<b>Village of Champlain</b>	Clean Energy Communities, CEC701104 - Village of Champla	37,500
<b>Village of Churchville</b>	CLEANER GREENER COMMUNITIES, Village of Churchville	75,000

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Village of Cold Spring	CLEANER GREENER COMMUNITIES, CGC30400 - Village of Cold Sp	5,047
Village of Goshen	Clean Energy Communities, Village of Goshen	12,500
Village of Hastings on Hudson	CLEANER GREENER COMMUNITIES, Hastings-on-Hudson	12,500
Village of Ilion	CLEANER GREENER COMMUNITIES, CEC600840 - Village of Ilion	100,000
Village of Lakewood	Clean Energy Communities, Village of Lakewood	30,625
Village of Lima Solar 1, LLC	<200KW PV, NY-Sun	201,204
Village of Sodus	Clean Energy Communities, CEC300347 - Village of Sodus	12,500
Village of Spencerport	CLEANER GREENER COMMUNITIES, Village of Spencerport	68,250
Village of Waterloo	CLEANER GREENER COMMUNITIES, CGC27279 - Village of Waterloo	8,325
Village of West Winfield	Clean Energy Communities, CEC600914 - Village of West Wi	34,500
Vincent's Heating and Fuel Service, LLC	Renewable Heat NY, Vincent's Heating - Cross	10,448
	Renewable Heat NY, Vincent's Heating - O'Rourke	20,420
Viola Homes Inc.	<200KW PV, PON 2112 NY SUN	162,161
Viridian Energy & Environmental, LLC	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10127	0
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	0
Vistex Composites, LLC	Cleantech Ignition, PON 3871 Ignition Grants	95,000
Vivint Solar	<200KW PV, PON 2112 NY SUN	33,233
Voltaic Solaire LLC	>200KW PV, PON 2112 NY SUN	10,880
Vornado RTR Inc.	NEW CONSTRUCTION PROGRAM, NCP12030 - 220 Central Park So	510,326
W2005 / Hines West Fifty-Third Realty ..	NEW CONSTRUCTION PROGRAM, NCP11483 -53 West 53rd St-OFLT	17,450
Wadsworth Energy LLC	Rmve Barriers Dist Enrgy Storg, TWO #1 MDIWG Support	20,199
Wartburg Home of the Evangelical Lut..	Technical Services, OsEM12-C - Wartburg	38,700
Water Research Foundation	ENVIRONMENTAL RESEARCH, Collaboration with WRF	47,192
Watertown, City of	OTHER PROGRAM AREA, Sludge permitting and design	12,754
Wayne County Action Program	Talent Pipeline:CE and OJT, OJT HIRE	15,059
WB Engineering & Consulting PLLC	Commercial Real Estate Ten, WBE 510 Madison CTP	5,150
Weill Medical College at Cornell Unive..	Flexible Tech Assistance, FT12229-WeillGreenburg-PON	9,363
Wenat Realty Associates	NEW CONSTRUCTION PROGRAM, NCP13208 - 534 West 25th Stree	32,423
Wendel Energy Services, LLC	Flexible Tech Assistance, FlexTech Consultant Selection	0
	Flexible Tech Assistance, FT12078OrleansCounty Water-FTC	17,482
	Flexible Tech Assistance, FT12217-WashingtonCo Sewer-FTC	5,279
	Flexible Tech Assistance, FT12219 -Town of Hamburg - FTC	7,502
	Industrial Process Effic, RFP3628FlexTechConsultUmbrella	6,058
	K-12 SCHOOLS, RFP3628FlexTechConsultUmbrella	81,912
West 62nd Street LLC	NEW CONSTRUCTION PROGRAM, NCP10172 - 49 Amsterdam Avenue	76,891
West Hill Energy & Computing, Inc.	EVALUATION, RFQ3183 Umbrella Agreement	66,309
West Side Federation for Senior & Su..	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	101,400
Westchester Community Opportunity ..	Community RH&C, Putnam County CH&C Community	52,000
Westtown NY 1, LLC	>200KW PV, NY-Sun C&I	537,787
WGL Energy Systems, Inc.	>200KW PV, NY-Sun	377,605
	>200KW PV, PV System @ Hamilton-Fulton	107,076
Wheelabrator Westchester	Industrial Process Effic, Industrial Process Efficiency	77,847
Whole Foods Market Group, Inc.	NEW CONSTRUCTION PROGRAM, NCP14010 - Whole Foods Buffalo	58,130
Willdan Energy Solutions	Campus/Technical Assistance, Staff Augmentation Services	13,801
	Commercial Real Estate Ten, Efficiency Planning & Engineer	94,173
	Commercial Real Estate Ten, Wildan-1345 AoA Fls47,48	7,875
	Commercial Real Estate Ten, Willdan-1 Wartburg Place-CT	6,091
	Community RH&C, Staff Augmentation Services	13,801

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Willdan Energy Solutions</b>	Geothermal Incentive Program, Staff Augmentation Services	13,801
	Industrial Process Effic, Industrial & Agriculture	10,170
	Industrial Process Effic, IPE16195	7,609
	Industrial Process Effic, IPE16222	922
	Industrial Process Effic, Technical Review and Program S	11,605
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Program S	11,051
	K-12 SCHOOLS, RFP 3788 P-12 Benchmarking	32,727
	Multifam Performance Pgm, Staff Augmentation Services	70,953
	Real Time Enrgy Management, Assignment of Agreement	6,000
	Renewable Heat NY, Staff Augmentation Services	27,602
	Rmve Barriers Dist Enrgy Storg, FT12242-PhelpsMemorial-FTC	25,000
	Rmve Barriers Dist Enrgy Storg, FT12283 - 1250 Waters - FTC	20,373
	Rmve Barriers Dist Enrgy Storg, RFP3628FlexTechConsultUmbrella	18,043
	Solar Thermal, Staff Augmentation Services	0
<b>William Reynolds</b>	<200KW PV, NY Sun	7,344
	<200KW PV, PON 2112 NY SUN	7,200
	>200KW PV, PON 2112 NY SUN	5,625
<b>Willrab Realty Corp</b>	Multifam Performance Pgm, Multifamily	5,400
<b>Wiltshire Renewable Energy Systems,..</b>	<200KW PV, NY-Sun	13,230
<b>Wise Home Energy, LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	1,186
<b>WNY Rural Preservation, LP</b>	Multifam Performance Pgm, Multifamily	11,400
<b>Women In Need, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	21,000
<b>Woodcrest Dairy, LLC</b>	ANAEROBIC DIGESTER, PON 2828 - Woodcrest	83,058
<b>Woodstone Custom Homes, Inc.</b>	Low Rise New Construction, New Construction	8,550
<b>WP Housing Company Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	62,400
<b>WSP USA Corp.</b>	Commercial New Construc, RFP3771 Umbrella Contract	14,542
	Flexible Tech Assistance, FT12038 - Transwestern - FTC	6,222
	NEW CONSTRUCTION PROGRAM, Technical Assistance NCP	0
<b>WTJ US Energy Services Inc</b>	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	230,000
<b>Wyoming County</b>	Clean Energy Communities, PON 3298 CEC	101,250
<b>XC Associates, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Smart Wind Tur..	28,327
<b>Yale University</b>	Campus/Technical Assistance, Clean Heating & Cooling	82,880
<b>Yardi Systems, Inc.</b>	Real Time Enrgy Management, Yardi - 200 Park Ave - RTEM	71,643
<b>You Save Green Incorporated</b>	<200KW PV, NY Sun	-2,484
<b>Zero Energy Solutions LTD</b>	Novel Bus Models & Offers, ZES Novel Business Model	103,186
<b>ZG NY Solar, LLC</b>	>200KW PV, NY-Sun C&I	230,549
<b>Zotos International, Inc.</b>	LARGE SCALE RENEWABLES, 8th RPS Main Tier Solicitation	16,872
<b>Grand Total</b>		241,899,780

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<b>1 Stop Electronics Center, Inc.</b>	Home Perf w Energy Star, Single Family Residential	190,445
	Single Family Residential	60,392
<b>4 Green Power Systems, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	1,800
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,235
<b>10 Ellicott Square Court Corp.</b>	CLEAN TRANSPORTATION, Clean Transportation	24,000
<b>44 White Plains, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>158th St. &amp; Riverside Drive Housing Co.</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>231 Main LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	40,000
<b>440 Jericho Turnpike Auto Sales, LLC</b>	Clean Transportation	55,000
	Electric Vehicles - Rebate, Clean Transportation	4,400
<b>1133 Manhattan Avenue, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	32,000
<b>1135 Millersport HWY LLC</b>	Electric Vehicles - Rebate, Clean Transportation	7,700
<b>1590 Hylan Blvd Auto LLC</b>	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	47,300
<b>2679bhwllc</b>	Electric Vehicles - Rebate, Clean Transportation	20,900
<b>2835 Monroe Holdings, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>3955 WH Road, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	42,000
<b>Abele Northside, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	48,000
<b>Absolute Comfort &amp; Temperature Control,</b>	Air Source Heat Pumps, Codes, Products and Standards	9,000
<b>Absolutely Specialized LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	32,500
	Clean Heating & Cooling	9,500
<b>AC &amp; Appliances Supermarket Corp.</b>	Air Source Heat Pumps, Codes, Products and Standards	229,500
	Clean Heating & Cooling	36,500
<b>AC &amp; Appliances Wholesaler Corp</b>	Air Source Heat Pumps, Codes, Products and Standards	16,500
<b>ADC Acquisition Co</b>	CLEAN TRANSPORTATION, Clean Transportation	40,000
<b>Adirondack Chevrolet Buick</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Adirondack Community Action</b>	Home Perf w Energy Star, Single Family Residential	10,450
	Single Family Residential	452
<b>ADK Stove &amp; Fireplace</b>	Renewable Heat NY, Clean Heating & Cooling	71,500
<b>ADR Home Energy Solutions LLC.</b>	EMPOWER NY, Single Family Residential	9,238
	Home Perf w Energy Star, Single Family Residential	149,615
<b>ADVANCE MECHANICAL INC.</b>	Air Source Heat Pumps, Codes, Products and Standards	10,000
<b>Advanced Atomization Technology</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Advanced Comfort Systems NY Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	40,000
	Clean Heating & Cooling	14,000
<b>Advantage Suzuki LLC</b>	Electric Vehicles - Rebate, Clean Transportation	43,000
<b>Advantage Title Agency, Inc.</b>	GJGNY REVOLVING LOAN FUND, Efficiency Planning & Engineer	200
	GJGNY REVOLVING LOAN FUND, Single Family Residential	265,391
<b>AEF Ice Systems, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	42,886
<b>Aerco International, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	13,927
<b>Air Source, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	36,500
	Clean Heating & Cooling	10,000
<b>Airquip</b>	Air Source Heat Pumps, Codes, Products and Standards	43,724
	Clean Heating & Cooling	1,000
<b>Airtight Services, Inc.</b>	Home Perf w Energy Star, Single Family Residential	22,078
	Single Family Residential	9,977
<b>Albany Auto Managment</b>	Electric Vehicles - Rebate, Clean Transportation	23,100
<b>Albany Solar Solutions L.L.C.</b>	Air Source Heat Pumps, Codes, Products and Standards	9,000
<b>Alfano Roman Group</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>All Star Energy, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,147
	EMPOWER NY, Single Family Residential	38,593

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<b>All Star Energy, Inc.</b>	Home Perf w Energy Star, Single Family Residential	567,007
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,250
	Single Family Residential	41,564
<b>All Star Mechanical A/C &amp; Heating LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	20,500
<b>All-State Air Control Sales &amp; Service In</b>	Air Source Heat Pumps, Codes, Products and Standards	1,500
<b>Alpine Air Heating &amp; A/C, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	13,521
	Geothermal Incentive Program, Clean Heating & Cooling	12,765
<b>Alternative Carbon Energy Systems Inc</b>	Campus/Technical Assistance, Clean Heating & Cooling	675
	Clean Heating & Cooling	30,000
	Geothermal Incentive Program, Clean Heating & Cooling	184,425
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,547
<b>Alternative Power Solutions of NY, LLC</b>	Clean Heating & Cooling	3,795
	Geothermal Incentive Program, Clean Heating & Cooling	27,165
<b>Altren Energy, LLC</b>	Geothermal Incentive Program, Clean Heating & Cooling	12,690
<b>Amada Tool America</b>	CLEAN TRANSPORTATION, Clean Transportation	24,000
<b>AMERESCO, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,199
<b>American AWS Corp.</b>	EMPOWER NY, Single Family Residential	319
	Single Family Residential	182,437
<b>American Wind Wildlife Institute</b>	Home Perf w Energy Star, Single Family Residential	500
	Single Family Residential	5,922
<b>Analytic Energy, LLC</b>	Single Family Residential	26,568
<b>Andrew Paris Heating &amp; Cooling, Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	22,500
	Clean Heating & Cooling	500
<b>Antares Group, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,659
<b>Appliance Recycling, Inc.</b>	Home Perf w Energy Star, Single Family Residential	93,818
	Single Family Residential	29,128
<b>Arctic Bear Plumbing, Heating &amp; Air, Inc</b>	Air Source Heat Pumps, Codes, Products and Standards	5,000
	Clean Heating & Cooling	1,000
<b>Arnica Heating &amp; Air Conditioning Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	10,500
	Clean Heating & Cooling	1,000
<b>Arthur Glick Truck Sales Inc</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Association for Energy Affordability, In</b>	Home Perf w Energy Star, Single Family Residential	20,665
<b>At Hudson Park, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Auto Mall Hyundai, Inc.</b>	Clean Transportation	131,300
	Electric Vehicles - Rebate, Clean Transportation	21,900
<b>Automall Imports LLC</b>	Clean Transportation	7,100
<b>Aztech Geothermal, LLC</b>	Campus/Technical Assistance, Clean Heating & Cooling	4,125
	Clean Heating & Cooling	6,345
	Geothermal Incentive Program, Clean Heating & Cooling	101,820
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,659
<b>B&amp;D Stoves Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	51,500
<b>Barton Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Baychester Retail III LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>BBL Verona, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	24,000
<b>Beck Chevrolet Co., Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	5,100
<b>BELL HEATING AND AIR CONDITIONING</b>	Geothermal Incentive Program, Clean Heating & Cooling	63,435
<b>Bensol Tech LLC</b>	Home Perf w Energy Star, Single Family Residential	141,533
<b>BEP Analytics LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	17,633
<b>Best Fire</b>	Renewable Heat NY, Clean Heating & Cooling	51,500
<b>Betlem Service Corporation</b>	Air Source Heat Pumps, Codes, Products and Standards	18,509
	Home Perf w Energy Star, Single Family Residential	37,805

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Betlem Service Corporation</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	2,825
	Single Family Residential	1,150
<b>Better Energy Solutions Inc.</b>	Home Perf w Energy Star, Single Family Residential	431,019
	Single Family Residential	199,220
<b>Bill Gray's Inc.</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Bishop House Consulting, Inc.</b>	Leveraging Upstream Partners, Single Family Residential	65
<b>Black Cherry Services Group, Inc.</b>	Home Perf w Energy Star, Single Family Residential	6,427
<b>Black Cloud Chimney Sweeps LLC</b>	Renewable Heat NY, Clean Heating & Cooling	50,500
<b>BlueOx Corporation</b>	Air Source Heat Pumps, Codes, Products and Standards	25,077
	Clean Heating & Cooling	500
<b>BPTC</b>	Home Perf w Energy Star, Single Family Residential	78,222
	Low Rise New Construction, New Construction	14,800
	NEW YORK ENERGY STAR HOMES, New Construction	14,700
	Single Family Residential	13,232
<b>Breathe Easy of CNY Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	500
	Clean Heating & Cooling	10,100
	EMPOWER NY, Single Family Residential	3,257
	Home Perf w Energy Star, Single Family Residential	51,272
	Single Family Residential	36,822
<b>Bright Building LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,258
<b>Bright Home Energy Solutions, LLC</b>	Home Perf w Energy Star, Single Family Residential	13,968
<b>British American Development Corp.</b>	CLEAN TRANSPORTATION, Clean Transportation	32,000
	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Bruni &amp; Campisi Energy &amp;</b>	GJGNY Market Rate Audits, Single Family Residential	450
	Home Perf w Energy Star, Single Family Residential	76,082
<b>Bruns Associates, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	80,000
<b>Brunswick Harley Davidson Inc</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Buffalo Energy, Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	8,908
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	280
	EMPOWER NY, Single Family Residential	35,659
	Home Perf w Energy Star, Single Family Residential	852,984
	Single Family Residential	110,676
<b>Buffalo Geothermal Heating</b>	Clean Heating & Cooling	61,230
	Geothermal Incentive Program, Clean Heating & Cooling	203,895
<b>Buffalo Solar Solutions Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,276
<b>Buffalo Spokes</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Building Efficiency Resources</b>	Low Rise New Construction, New Construction	18,400
	NEW YORK ENERGY STAR HOMES, New Construction	12,500
<b>Burdick Cars Inc</b>	Electric Vehicles - Rebate, Clean Transportation	6,000
<b>Burdick Motors Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	27,500
<b>Buzz Chew Chevrolet Cadillac Inc</b>	Clean Transportation	10,000
<b>C&amp;R Housing Inc.</b>	EMPOWER NY, Single Family Residential	17,145
	Home Perf w Energy Star, Single Family Residential	250,152
	Single Family Residential	8,339
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,414
<b>Cambridge Heating &amp; Air Conditioning Cor</b>	Air Source Heat Pumps, Codes, Products and Standards	52,000
	Clean Heating & Cooling	500
<b>Capital Heat</b>	Air Source Heat Pumps, Codes, Products and Standards	58,500
	Clean Heating & Cooling	3,500
	Geothermal Incentive Program, Clean Heating & Cooling	41,940
<b>Carrijen, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Cars Unlimited of Suffolk LLC</b>	Clean Transportation	74,100
	Electric Vehicles - Rebate, Clean Transportation	1,100
<b>Catskill Regional Medical Ctr</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Celtic Park Owners, Inc</b>	CLEAN TRANSPORTATION, Clean Transportation	24,000
<b>Central Heating &amp; Cooling, Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	1,500
	Home Perf w Energy Star, Single Family Residential	18,976
<b>Central New York Regional Transportation</b>	CLEAN TRANSPORTATION, Clean Transportation	36,000
<b>Central Nissan, LTD</b>	Electric Vehicles - Rebate, Clean Transportation	20,000
<b>Centsible House, Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,512
<b>Century Motors, Inc</b>	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	1,700
<b>Charis Consulting LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Charles Graves Inc.</b>	EMPOWER NY, Single Family Residential	212
	Home Perf w Energy Star, Single Family Residential	803,340
	Single Family Residential	20,328
<b>Charlotte Appliances</b>	EMPOWER NY, Single Family Residential	919
	Home Perf w Energy Star, Single Family Residential	26,417
	Single Family Residential	4,856
<b>Chautauqua Opportunities, Inc.</b>	Single Family Residential	17,941
<b>Chuck Russo Heating</b>	Clean Heating & Cooling	5,025
<b>City of Hudson</b>	CLEAN TRANSPORTATION, Clean Transportation	24,000
<b>City of Kingston</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
	Electric Vehicles - Rebate, Clean Transportation	3,300
<b>City of Poughkeepsie</b>	CLEAN TRANSPORTATION, Clean Transportation	32,000
<b>City of Rochester</b>	CLEAN TRANSPORTATION, Clean Transportation	21,000
<b>City of Rye</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>City Suburban Environmental Systems, Inc</b>	Clean Heating & Cooling	7,005
	Geothermal Incentive Program, Clean Heating & Cooling	24,240
<b>City World Imports, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	6,000
<b>Citylights at Queens Landing, Inc.</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Clarkstown Heating &amp; Air Conditioning Co</b>	Air Source Heat Pumps, Codes, Products and Standards	13,500
	Clean Heating & Cooling	500
<b>Claverack Free Library and Reading Room</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Clermont Condominium Assoc. Sec I</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Clifton Park Heating &amp; Cooling LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	21,000
	Geothermal Incentive Program, Clean Heating & Cooling	16,395
<b>Clifton Park Imports, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	28,600
<b>Clover Heating &amp; Cooling</b>	Air Source Heat Pumps, Codes, Products and Standards	7,000
	Clean Heating & Cooling	1,000
	GJGNY Market Rate Audits, Single Family Residential	300
	Home Perf w Energy Star, Single Family Residential	10,884
<b>CMS Mechanical, Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	175,500
	Clean Heating & Cooling	21,000
<b>CNY Ductless Inc</b>	Air Source Heat Pumps, Codes, Products and Standards	16,000
	Clean Heating & Cooling	6,000
<b>CNY Insulation Plus, Inc</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	550
	Home Perf w Energy Star, Single Family Residential	12,348
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
	Single Family Residential	6,424
<b>CNY PIPEWORX LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	4,000
	Geothermal Incentive Program, Clean Heating & Cooling	14,310

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Colacino Industries Inc.</b>	CLEAN TRANSPORTATION, Clean Transportation	32,000
<b>College at Brockport, SUNY</b>	Electric Vehicles - Rebate, Clean Transportation	24,000
<b>Colonie Import Distributors LTD</b>	Electric Vehicles - Rebate, Clean Transportation	40,700
<b>Columbia Opportunities Inc.</b>	Home Perf w Energy Star, Single Family Residential	29,395
	Single Family Residential	5,948
<b>Commission on Economic Opportunity</b>	Home Perf w Energy Star, Single Family Residential	54,892
	Single Family Residential	885
<b>Community Action Planning Council of Jef</b>	Home Perf w Energy Star, Single Family Residential	20,565
	Single Family Residential	9,645
<b>Competition Imports Inc</b>	Clean Transportation	6,500
	Electric Vehicles - Rebate, Clean Transportation	2,000
<b>Concord Servicing Corporation</b>	GJGNY REVOLVING LOAN FUND, Codes, Products and Standards	1,430
	GJGNY REVOLVING LOAN FUND, Multifamily	262
	GJGNY REVOLVING LOAN FUND, Single Family Residential	639,433
	OTHER PROGRAM AREA, Single Family Residential	2,409
<b>Condor Mount Kisco LLC</b>	Electric Vehicles - Rebate, Clean Transportation	18,000
<b>Consolidated Edison Company</b>	GJGNY REVOLVING LOAN FUND, Codes, Products and Standards	1,072
	GJGNY REVOLVING LOAN FUND, Single Family Residential	1,902
<b>Coopervision</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Cornerstone Energy Services</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	444
	EMPOWER NY, Single Family Residential	7,463
	Home Perf w Energy Star, Single Family Residential	56,865
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	990
	Single Family Residential	27,273
<b>Cortland County Community Action Program</b>	Home Perf w Energy Star, Single Family Residential	35,935
	Single Family Residential	15,659
<b>Country Club Chevrolet, Inc</b>	Electric Vehicles - Rebate, Clean Transportation	6,000
<b>Country Lincoln Mercury West LLC</b>	Clean Transportation	4,400
	Electric Vehicles - Rebate, Clean Transportation	5,500
<b>Country Suburban Heating &amp; Air Condition</b>	Air Source Heat Pumps, Codes, Products and Standards	136,600
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	285
	Geothermal Incentive Program, Clean Heating & Cooling	15,000
	Home Perf w Energy Star, Single Family Residential	1,896
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
<b>Countryside Stove &amp; Chimney of Marcy, In</b>	Renewable Heat NY, Clean Heating & Cooling	28,000
<b>County Cooling, Corp.</b>	Air Source Heat Pumps, Codes, Products and Standards	11,000
<b>County of Ulster</b>	CLEAN TRANSPORTATION, Clean Transportation	24,000
<b>Covanta Huntington, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Cowles Company of Northern New York, Inc</b>	Home Perf w Energy Star, Single Family Residential	242,303
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	20,540
<b>CR Wolfe Heating Corp.</b>	Air Source Heat Pumps, Codes, Products and Standards	6,500
	Clean Heating & Cooling	500
<b>Crossfield Home Energy Solutions</b>	Air Source Heat Pumps, Codes, Products and Standards	34,000
	Clean Heating & Cooling	1,000
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	135,581
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
	Single Family Residential	18,494
<b>Crown Ford Inc.</b>	Clean Transportation	16,500
	Electric Vehicles - Rebate, Clean Transportation	9,900

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Curry Motor Cars LLC	Electric Vehicles - Rebate, Clean Transportation	22,000
Dailey Electric Inc	Clean Heating & Cooling	8,835
	Geothermal Incentive Program, Clean Heating & Cooling	219,405
Dalton Heating & Cooling Inc	Air Source Heat Pumps, Codes, Products and Standards	12,000
	Clean Heating & Cooling	2,000
Dana Motors, Ltd.	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	33,000
Dandelion Energy Inc	Clean Heating & Cooling	74,246
	Geothermal Incentive Program, Clean Heating & Cooling	553,882
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,295
Dave Hayes Appliance Center Inc.	Home Perf w Energy Star, Single Family Residential	6,729
	Single Family Residential	2,904
David L. Johnson	Air Source Heat Pumps, Codes, Products and Standards	5,000
	Clean Heating & Cooling	1,000
David M Scott	Home Perf w Energy Star, Single Family Residential	26,467
	Single Family Residential	22,039
Day Heating and Air Conditioning Inc	Geothermal Incentive Program, Clean Heating & Cooling	15,000
Dazong HVAC & R, Inc.	Air Source Heat Pumps, Codes, Products and Standards	280,000
	Clean Heating & Cooling	27,500
DCH Mamaroneck LLC	Electric Vehicles - Rebate, Clean Transportation	7,700
DCH NY Motors LLC	Electric Vehicles - Rebate, Clean Transportation	34,100
Delaware Opportunities, Inc.	Home Perf w Energy Star, Single Family Residential	33,491
	Single Family Residential	918
Della Auto Group, Inc.	Electric Vehicles - Rebate, Clean Transportation	12,100
Dells' Plumbing, Heating & A/C Inc.	Air Source Heat Pumps, Codes, Products and Standards	8,000
Delta Properties, LLC	CLEAN TRANSPORTATION, Clean Transportation	8,000
DeNooyer Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	15,700
Depaula Chevrolet Inc.	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	31,400
Destination 770 Auto Inc	Electric Vehicles - Rebate, Clean Transportation	16,000
DH Berry Inc.	Air Source Heat Pumps, Codes, Products and Standards	500
	Home Perf w Energy Star, Single Family Residential	16,524
	Single Family Residential	12,225
Dimien Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,032
Do-It-With Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,256
Dolce Heating & Cooling LLC.	Air Source Heat Pumps, Codes, Products and Standards	6,000
Domsco Motor	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	5,500
Doyle Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	6,700
Driver's Village, Inc.	Electric Vehicles - Rebate, Clean Transportation	11,400
		6,900
Dutchess Cars LLC	Electric Vehicles - Rebate, Clean Transportation	5,100
Dwight Getting Heating & Air Conditionin	Geothermal Incentive Program, Clean Heating & Cooling	15,150
E and V Energy Corporation	Air Source Heat Pumps, Codes, Products and Standards	20,825
Earth Sensitive Solutions, LLC	Campus/Technical Assistance, Clean Heating & Cooling	8,734
	Geothermal Incentive Program, Clean Heating & Cooling	66,825
East Greenbush Installs LLC	Renewable Heat NY, Clean Heating & Cooling	6,500
Easthills Chevrolet Oldsmobile Inc.	Clean Transportation	5,700
Eastside Parking, LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
Eco Heating & Cooling Inc	Geothermal Incentive Program, Clean Heating & Cooling	9,225
	Home Perf w Energy Star, Single Family Residential	15,813

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Eco Heating &amp; Cooling Inc</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150
<b>ecoLong LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,432
<b>Economic Opportunity Program</b>	EMPOWER NY, Single Family Residential	154
	Home Perf w Energy Star, Single Family Residential	35,713
	Single Family Residential	2,639
<b>Ecovillage at Ithaca Village Association</b>	CLEAN TRANSPORTATION, Clean Transportation	80,000
<b>Ed Bishop, LLC</b>	Clean Heating & Cooling	12,000
<b>Edison Innovative Power, LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,390
<b>Electronics Park, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	48,000
<b>EMCOR Services Betlem</b>	Air Source Heat Pumps, Codes, Products and Standards	3,000
<b>EMM Heating Services LLC</b>	Geothermal Incentive Program, Clean Heating & Cooling	6,000
<b>Empower Equity Inc</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,053
<b>En-Tech Associates</b>	Home Perf w Energy Star, Single Family Residential	9,909
	Single Family Residential	12,723
<b>Ener-Con Technical Services Corp.</b>	Air Source Heat Pumps, Codes, Products and Standards	296,000
<b>Energy Answers</b>	Home Perf w Energy Star, Single Family Residential	11,561
<b>Energy Conservation Specialists LLC</b>	Home Perf w Energy Star, Single Family Residential	20,559
<b>Energy Efficiency Solutions NY LLC</b>	Home Perf w Energy Star, Single Family Residential	36,024
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Energy Evolution Inc</b>	Home Perf w Energy Star, Single Family Residential	63,488
	NYCH: Comfort Home, Single Family Residential	150
<b>Energy Improvement Corporation</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,722
<b>Energy Management Solutions, LLC</b>	GJGNY Market Rate Audits, Single Family Residential	3,000
	Home Perf w Energy Star, Single Family Residential	96,403
<b>Energy Savers Inc</b>	EMPOWER NY, Single Family Residential	264
	Home Perf w Energy Star, Single Family Residential	479,423
	Single Family Residential	215,671
<b>Energy Saving Solutions, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	3,000
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	730
	Home Perf w Energy Star, Single Family Residential	194,604
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	Single Family Residential	16,581
<b>Energy Service Technologies, LLC</b>	Home Perf w Energy Star, Single Family Residential	22,184
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	200
	Single Family Residential	18,495
<b>ENERGYSTARDAVE LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	6,000
	Clean Heating & Cooling	10,500
<b>Enertiv Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	12,312
<b>Environmental Contracting LLC</b>	Home Perf w Energy Star, Single Family Residential	47,107
	Single Family Residential	38,036
<b>Eric Maskell</b>	Geothermal Incentive Program, Clean Heating & Cooling	7,245
<b>Erie Station Village, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	24,000
<b>Euro and American Contracting</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	414
	EMPOWER NY, Single Family Residential	8,070
	Home Perf w Energy Star, Single Family Residential	115,919
	Single Family Residential	10,984
<b>First Colonie Company</b>	REC: CES REC System Dev Costs, Consumer Serv & Events Managem	3,972
<b>First Environment, Inc.</b>	NYSERDA ADMINISTRATION, Single Family Residential	5,750
<b>Foam It Insulation, LLC</b>	EMPOWER NY, Single Family Residential	8,401
	Home Perf w Energy Star, Single Family Residential	374,441
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Foam It Insulation, LLC	Single Family Residential	93,077
Foothills MotorCar Corp	Electric Vehicles - Rebate, Clean Transportation	12,100
Foster Lawrence Enterprises, LLC	Home Perf w Energy Star, Single Family Residential	13,109
Fourth Coast, Inc.	Air Source Heat Pumps, Codes, Products and Standards	7,000
	Clean Heating & Cooling	7,000
	Geothermal Incentive Program, Clean Heating & Cooling	5,745
Fox Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	11,400
Franklin, County of	CLEAN TRANSPORTATION, Clean Transportation	8,000
Fred F. Collis & Sons, Inc.	Air Source Heat Pumps, Codes, Products and Standards	3,568
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	645
	EMPOWER NY, Single Family Residential	7,645
	Home Perf w Energy Star, Single Family Residential	183,522
Frederick J Goris, Jr.	Single Family Residential	102,929
	Home Perf w Energy Star, Single Family Residential	14,382
Friello and Sons Heating and Cooling, In	Single Family Residential	6,435
	Air Source Heat Pumps, Codes, Products and Standards	500
	Home Perf w Energy Star, Single Family Residential	12,749
Friello and Sons Home Performance	Single Family Residential	2,167
	Home Perf w Energy Star, Single Family Residential	14,004
Fuccillo Hyundai of Grand Island, Inc	Single Family Residential	450
	Electric Vehicles - Rebate, Clean Transportation	27,800
Fuccillo Hyundai of Schenectady	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	37,500
Fuccillo Hyundai of Syracuse Inc	Electric Vehicles - Rebate, Clean Transportation	57,500
Fuccillo Nissan Inc.	Electric Vehicles - Rebate, Clean Transportation	6,000
Fucillo Kia and Hyundai of Rochester	Electric Vehicles - Rebate, Clean Transportation	47,300
Fulmont Community Action Agency Inc.	Home Perf w Energy Star, Single Family Residential	29,996
	Single Family Residential	9,351
Fulton Montgomery Community College	Electric Vehicles - Rebate, Clean Transportation	16,000
Fund for the City of New York, Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	10,595
G.W. Ehrhart, Inc.	Renewable Heat NY, Clean Heating & Cooling	32,500
GAE, LLC	Electric Vehicles - Rebate, Clean Transportation	6,000
Gaia Sharbel Energy Contracting	Home Perf w Energy Star, Single Family Residential	8,756
	Renewable Heat NY, Clean Heating & Cooling	10,000
Gallagher Electrical Services Heat & Air	Home Perf w Energy Star, Single Family Residential	262,436
	Single Family Residential	29,331
Garvey Hyundai North LLC	Electric Vehicles - Rebate, Clean Transportation	13,700
Garvey Hyundai, Inc	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	52,300
Garvey Volkswagen Inc	Electric Vehicles - Rebate, Clean Transportation	7,100
Gary Boyd	EMPOWER NY, Single Family Residential	533
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	11,112
	Single Family Residential	5,946
Gault Auto Mall Co. Inc.	Electric Vehicles - Rebate, Clean Transportation	6,600
Gault Chevrolet Co. Inc.	Clean Transportation	1,700
	Electric Vehicles - Rebate, Clean Transportation	4,000
General Electric Company	CLEAN TRANSPORTATION, Clean Transportation	80,000
Generations Bank	CLEAN TRANSPORTATION, Clean Transportation	8,000
Geotherm Inc.	Air Source Heat Pumps, Codes, Products and Standards	7,000
	Clean Heating & Cooling	12,000

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Geotherm Inc.	Geothermal Incentive Program, Clean Heating & Cooling	250,515
Geothermal Energy Options	Geothermal Incentive Program, Clean Heating & Cooling	81,000
Glenwood at Round Top Homeowners Assoc.	CLEAN TRANSPORTATION, Clean Transportation	8,000
Global Dwelling, LLC	Home Perf w Energy Star, Single Family Residential	113,449
	Single Family Residential	86,188
Globalfoundries U.S. Inc.	CLEAN TRANSPORTATION, Clean Transportation	40,000
Gomez Comfort Systems, LLC	Home Perf w Energy Star, Single Family Residential	7,518
GPB 5 LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	4,000
Grassroots Environmental Education, Inc.	Geothermal Incentive Program, Consumer Serv & Events Managem	5,000
	POLICY DEVELOPMENT, Consumer Serv & Events Managem	750
Green City Force	Home Perf w Energy Star, Single Family Residential	37,083
Green Home Innovations, Inc	EMPOWER NY, Single Family Residential	17,880
	Home Perf w Energy Star, Single Family Residential	213,315
	Single Family Residential	21,991
Green Home Logic, Inc.	Home Energy Ratings, Single Family Residential	11,761
	Home Perf w Energy Star, Single Family Residential	38,152
	Single Family Residential	29,791
Green Light New York, Inc.	Real Time Enrgy Management, Consumer Serv & Events Managem	3,500
Green Team USA LLC	Home Perf w Energy Star, Single Family Residential	5,824
	Single Family Residential	5,641
Group-S LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,107
H & K VanValkenburgh, Inc.	Renewable Heat NY, Clean Heating & Cooling	250,500
H2O Concept Plumbing & Heating Corp.	Air Source Heat Pumps, Codes, Products and Standards	176,500
	Clean Heating & Cooling	2,500
Habberstad Motorsport Inc.	Clean Transportation	19,500
	Electric Vehicles - Rebate, Clean Transportation	3,700
Halcyon Inc.	Consumer Ed and Market Support, Single Family Residential	1,694
	EMPOWER NY, Single Family Residential	20,104
	Home Energy Ratings, Single Family Residential	925
	Home Perf w Energy Star, Single Family Residential	2,310,807
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,250
	NYCH: Comfort Home, Single Family Residential	150
	Single Family Residential	438,929
Halcyon, Inc.	Air Source Heat Pumps, Codes, Products and Standards	97,600
	Clean Heating & Cooling	22,155
	Geothermal Incentive Program, Clean Heating & Cooling	299,490
Harisi Energy, LLC	GJGNY Market Rate Audits, Single Family Residential	450
	Home Perf w Energy Star, Single Family Residential	3,006
	Single Family Residential	16,604
Harmony Mills Fallsview LLC	CLEAN TRANSPORTATION, Clean Transportation	40,000
Harmony Mills Riverview, LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
Harmony Mills West, LLC	CLEAN TRANSPORTATION, Clean Transportation	80,000
Harmony Prima Lofts LLC	Electric Vehicles - Rebate, Clean Transportation	40,000
Harvey Bloch Ortiz Bailer Inc	Campus/Technical Assistance, Clean Heating & Cooling	6,231
Harvey, Bloch, Ortiz & Bailer Inc.	Geothermal Incentive Program, Clean Heating & Cooling	32,160
Hassett Ford Lincoln Mercury Inc	Clean Transportation	14,200
	Electric Vehicles - Rebate, Clean Transportation	4,400
Hawn Heating & Energy Services LLC	EMPOWER NY, Single Family Residential	176
	Home Perf w Energy Star, Single Family Residential	26,401
Healey Hyundai, Inc	Clean Transportation	5,100

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Healey Hyundai, Inc	Electric Vehicles - Rebate, Clean Transportation	106,900
Healthy Home Energy & Consulting, Inc.	Air Source Heat Pumps, Codes, Products and Standards	2,352
	Home Perf w Energy Star, Single Family Residential	129,838
	NYCH: Comfort Home, Single Family Residential	7,150
Heart Volkswagen LLC	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	22,000
Hearths A Fire Inc.	Renewable Heat NY, Clean Heating & Cooling	228,500
Heatwave, Inc.	Air Source Heat Pumps, Codes, Products and Standards	10,000
Heinrich Chevrolet Corp	Electric Vehicles - Rebate, Clean Transportation	10,000
Hempstead Auto Sales LLC	Clean Transportation	6,800
Hempstead Lincoln Mercury Motors Corp.	Clean Transportation	29,700
	Electric Vehicles - Rebate, Clean Transportation	3,300
HHM Hotels LLC	CLEAN TRANSPORTATION, Clean Transportation	8,000
High Bridge Place LLC	CLEAN TRANSPORTATION, Clean Transportation	8,000
Hobart and William Smith Colleges	CLEAN TRANSPORTATION, Clean Transportation	16,000
Hoff Jewelers	CLEAN TRANSPORTATION, Clean Transportation	16,000
Holbrook Heating, Inc.	Air Source Heat Pumps, Codes, Products and Standards	56,500
	Clean Heating & Cooling	2,500
Home Energy Consultants Inc.	Home Perf w Energy Star, Single Family Residential	240,447
	Single Family Residential	75,892
Home Performance Professionals, Inc.	EMPOWER NY, Single Family Residential	259
	Home Perf w Energy Star, Single Family Residential	26,509
	Single Family Residential	59,994
HomeWorks Energy, Inc.	EMPOWER NY, Single Family Residential	176
	GJGNY Market Rate Audits, Single Family Residential	12,000
	Home Perf w Energy Star, Single Family Residential	417,141
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	24,464
Honest Weight Food Co-Op	CLEAN TRANSPORTATION, Clean Transportation	16,000
Hoselton Chevrolet, Inc.	Electric Vehicles - Rebate, Clean Transportation	39,300
Hoselton Imports, Inc	Electric Vehicles - Rebate, Clean Transportation	34,100
Hoselton Nissan Inc	Electric Vehicles - Rebate, Clean Transportation	38,000
Hoss's Country Corner, Inc.	CLEAN TRANSPORTATION, Clean Transportation	8,000
Hot Water Solutions Inc	Air Source Heat Pumps, Codes, Products and Standards	43,000
	Clean Heating & Cooling	17,500
Hudson Preserve LLC	CLEAN TRANSPORTATION, Clean Transportation	104,000
Hudson Valley Clean Energy Inc.	Talent Pipeline: Internship Pgm, Workforce Dev & Train	8,401
Huron Real Estate Associates, LLC	CLEAN TRANSPORTATION, Clean Transportation	16,000
Iceberg Mechanical Corp	Air Source Heat Pumps, Codes, Products and Standards	94,775
Ide Volkswagen, Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
Ideal Energy Solutions LLC	EMPOWER NY, Single Family Residential	45,627
	Home Perf w Energy Star, Single Family Residential	437,327
	Single Family Residential	64,018
IGM Holdings, Inc.	Home Perf w Energy Star, Single Family Residential	959,409
Infogroup Government Division	OREC: Technical Support, Environmental Research	400
Innovation Now, LLC	Home Perf w Energy Star, Single Family Residential	77,731
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,297
	Single Family Residential	17,821
Installed Building Products LLC	EMPOWER NY, Single Family Residential	9,212
	Home Perf w Energy Star, Single Family Residential	85,850
	Single Family Residential	86,881

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Integrity Comfort Solutions</b>	Home Perf w Energy Star, Single Family Residential	6,788
	Single Family Residential	525
<b>Interstate Heating, Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	27,000
<b>Irr Supply Centers Inc</b>	Air Source Heat Pumps, Codes, Products and Standards	36,002
<b>Isaac Heating and Air Conditioning, Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	39,000
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	1,686
	Clean Heating & Cooling	4,000
	GJGNY Market Rate Audits, Single Family Residential	8,550
	Home Perf w Energy Star, Single Family Residential	1,483,229
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	27,880
<b>Island Pump and Tank Corp</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Ithaca Electricians Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	7,000
<b>Ivy Lea Construction</b>	EMPOWER NY, Single Family Residential	9,778
	Home Perf w Energy Star, Single Family Residential	137,191
	Single Family Residential	29,785
<b>J Synergy Green Inc</b>	GJGNY Market Rate Audits, Single Family Residential	600
	Home Perf w Energy Star, Single Family Residential	19,575
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	150
<b>J.A.B &amp; Co. Inc.</b>	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	1,700
<b>J&amp;M Motors Of Hempstead LLC</b>	Clean Transportation	11,700
	Electric Vehicles - Rebate, Clean Transportation	2,000
<b>Jack Hall Plumbing and Heating, Inc.</b>	Home Perf w Energy Star, Single Family Residential	123,379
	Single Family Residential	41,752
<b>Jack Sherman Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	12,100
<b>James Cars of Rome LLC</b>	Electric Vehicles - Rebate, Clean Transportation	11,000
<b>James Richard Meehan III</b>	Home Perf w Energy Star, Single Family Residential	6,625
	Single Family Residential	12,000
<b>Jardine Inc</b>	Electric Vehicles - Rebate, Clean Transportation	9,900
<b>Jay Kennedy Country Heating</b>	Renewable Heat NY, Clean Heating & Cooling	21,000
<b>Jefferson County</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>JM Huntington Motors LLC</b>	Clean Transportation	5,500
<b>JM North Shore Motors LLC</b>	Clean Transportation	10,400
	Electric Vehicles - Rebate, Clean Transportation	3,100
<b>John Betlem Heating &amp; Cooling Inc</b>	Air Source Heat Pumps, Codes, Products and Standards	3,500
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	618
	Home Perf w Energy Star, Single Family Residential	133,864
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,550
<b>John D. Marcella Appliances, Inc</b>	Home Perf w Energy Star, Single Family Residential	10,756
	Single Family Residential	9,029
<b>Johnson's Pool &amp; Spas LLC</b>	Renewable Heat NY, Clean Heating & Cooling	6,500
<b>Joint Council of Economic Opportunity</b>	Home Perf w Energy Star, Single Family Residential	13,014
	Single Family Residential	4,358
<b>Jovia Financial Federal Credit Union</b>	Electric Vehicles - Rebate, Clean Transportation	40,000
<b>JS Autoworld, LLC</b>	Clean Transportation	16,500
	Electric Vehicles - Rebate, Clean Transportation	2,200
<b>JS Huntington Auto Sales LLC</b>	Clean Transportation	14,300
<b>JS Hyundai Of Valley Stream, LLC</b>	Clean Transportation	36,800
	Electric Vehicles - Rebate, Clean Transportation	31,300
<b>K Ellis Heating &amp; Air Conditioning LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	5,500
<b>Karp Automotive, Inc</b>	Clean Transportation	14,200



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Karp Automotive, Inc</b>	Electric Vehicles - Rebate, Clean Transportation	8,200
<b>Keats Insurance Agencies Inc</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Kech Insulation and Remodeling, LLC</b>	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	18,594
	Single Family Residential	4,124
<b>Keller Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	13,400
<b>Key Capture Energy, LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	27,730
<b>KeySpan Gas East Corporation</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Kilbury's Feed Service Inc</b>	Renewable Heat NY, Clean Heating & Cooling	11,000
<b>Kinderhook Sales Inc</b>	Electric Vehicles - Rebate, Clean Transportation	9,900
<b>Kingston Automotive LLC</b>	Electric Vehicles - Rebate, Clean Transportation	28,000
<b>Kitchen Hearth &amp; Home, Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	32,000
<b>Kling Magnetics Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	9,500
<b>KLZ Enterprises</b>	Renewable Heat NY, Clean Heating & Cooling	14,500
<b>Knoth Heating &amp; Mechanical</b>	Air Source Heat Pumps, Codes, Products and Standards	8,000
<b>Koeppel Nissan Inc</b>	Electric Vehicles - Rebate, Clean Transportation	10,000
<b>Kool-Temp Heating &amp; Cooling</b>	Air Source Heat Pumps, Codes, Products and Standards	10,500
	Geothermal Incentive Program, Clean Heating & Cooling	15,570
	GJGNY Market Rate Audits, Single Family Residential	600
	Home Perf w Energy Star, Single Family Residential	5,157
<b>Kozy Heat &amp; AC, LLC</b>	Clean Heating & Cooling	5,500
<b>L &amp; S Motors Inc</b>	Clean Transportation	5,100
	Electric Vehicles - Rebate, Clean Transportation	1,700
<b>L2 Automotive, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	11,400
<b>L.B. Auto of 112 LLC</b>	Clean Transportation	9,900
<b>LaBella Associates, P.C.</b>	Geothermal Incentive Program, Clean Heating & Cooling	15,000
<b>Lake Country Geothermal, Inc.</b>	Campus/Technical Assistance, Clean Heating & Cooling	206
	Clean Heating & Cooling	7,005
	Geothermal Incentive Program, Clean Heating & Cooling	48,800
<b>Lake Placid Club Lodges Owners Assoc.</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Lake Pleasant Lodge LLC</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Landing Heights Apartments, LP</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>LC DRives</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	21,615
<b>LCo Building, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	40,000
	NYCH: Comfort Home, Consumer Serv & Events Managem	400
<b>LeBrun LLC</b>	Electric Vehicles - Rebate, Clean Transportation	6,600
<b>Levittown Ford LLC</b>	Clean Transportation	18,700
	Electric Vehicles - Rebate, Clean Transportation	3,300
<b>Lewis County Opportunities, Inc.</b>	Home Perf w Energy Star, Single Family Residential	21,779
<b>Lia Automotive, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	9,900
<b>Linear Motors LLC</b>	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	44,900
<b>LinLi HVAC Inc</b>	Air Source Heat Pumps, Codes, Products and Standards	451,222
	Clean Heating & Cooling	61,500
<b>Lithia of Yorkville -4, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	44,100
<b>Long Island Power Authority</b>	GJGNY REVOLVING LOAN FUND, Single Family Residential	51,193
<b>LongHouse Reserve</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Lotze Insulation Design, Inc.</b>	EMPOWER NY, Single Family Residential	3,990
	Home Perf w Energy Star, Single Family Residential	287,896
	Single Family Residential	101,093
<b>Luxury Cars of Bayside Inc.</b>	Clean Transportation	8,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Luxury Cars of Bayside Inc.	Electric Vehicles - Rebate, Clean Transportation	6,000
Lyford Motors	Electric Vehicles - Rebate, Clean Transportation	9,900
Maalka Inc	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,785
Mack Markowitz Inc	Clean Transportation	16,500
Maguire Automotive LLC	Electric Vehicles - Rebate, Clean Transportation	32,800
Maguire Cars LLC	Electric Vehicles - Rebate, Clean Transportation	44,700
Maguire Motors LLC	Electric Vehicles - Rebate, Clean Transportation	22,000
Malcarne Contracting, Inc.	Campus/Technical Assistance, Clean Heating & Cooling	14,500
	Clean Heating & Cooling	550
	Home Perf w Energy Star, Single Family Residential	700
Mangino Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	11,700
Mangino Value Center Inc.	Electric Vehicles - Rebate, Clean Transportation	14,300
Margaret Woodbury Strong Museum	CLEAN TRANSPORTATION, Clean Transportation	40,000
Margert Community Corporation	Home Perf w Energy Star, Single Family Residential	52,421
	Single Family Residential	8,670
Martin B Devit	Clean Heating & Cooling	23,625
	Geothermal Incentive Program, Clean Heating & Cooling	72,060
Martin's Outdoor Power Equipment LLC	Renewable Heat NY, Clean Heating & Cooling	12,000
Martins Electrical LLC	Air Source Heat Pumps, Codes, Products and Standards	12,000
	Geothermal Incentive Program, Clean Heating & Cooling	23,910
Massapequa Motors LLC	Clean Transportation	11,000
Mercedes-Benz Manhattan, Inc.	Electric Vehicles - Rebate, Clean Transportation	8,500
Metro NY Insulation LLC	Home Perf w Energy Star, Single Family Residential	70,142
	Single Family Residential	9,468
Michael B Kearney	Home Perf w Energy Star, Single Family Residential	10,589
Mid Island Hyundai LLC	Clean Transportation	40,000
Mid-York Chimney and Stove LLC	Renewable Heat NY, Clean Heating & Cooling	9,500
Mike Basil Motors Inc.	Electric Vehicles - Rebate, Clean Transportation	16,500
Millennium Super Store, LLC	Clean Transportation	8,800
	Electric Vehicles - Rebate, Clean Transportation	1,100
Miller Motor Car Corp.	Electric Vehicles - Rebate, Clean Transportation	7,300
MINISPLITCOMFORT CORP	Clean Heating & Cooling	1,547,835
Mitchell McMillen	Air Source Heat Pumps, Codes, Products and Standards	40,000
	Clean Heating & Cooling	11,500
Modular Comfort Systems	Air Source Heat Pumps, Codes, Products and Standards	50,000
Mohawk Valley Community Action Agency	EMPOWER NY, Single Family Residential	363
	Home Perf w Energy Star, Single Family Residential	29,121
	Single Family Residential	10,665
MR. AIR NYC Corp.	Air Source Heat Pumps, Codes, Products and Standards	5,500
Mullarney's Garden Center	Renewable Heat NY, Clean Heating & Cooling	120,500
Mutual Redevelopment Houses, Inc.	CLEAN TRANSPORTATION, Clean Transportation	8,000
Natural Systems Engineering, PLLC	Geothermal Incentive Program, Clean Heating & Cooling	7,065
Nebraska Plumbing & Heating	Air Source Heat Pumps, Codes, Products and Standards	13,500
	Home Perf w Energy Star, Single Family Residential	6,013
Neighborhood Housing Services	Home Perf w Energy Star, Single Family Residential	180,390
	Single Family Residential	70,882
Neighborhood Housing Services (N.H.S) of	EMPOWER NY, Single Family Residential	8,540
	Home Perf w Energy Star, Single Family Residential	110
Nemet Motors LLC	Electric Vehicles - Rebate, Clean Transportation	6,000
New York City Energy Efficiency Corp	Talent Pipeline: Internship Pgm, Workforce Dev & Train	3,443
New York Energy Consumers Council, Inc.	Commercial Real Estate Ten, Consumer Serv & Events Managem	1,663

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>New York Energy Consumers Council, Inc.</b>	Prof & Expert Engagement, Consumer Serv & Events Managem	2,500
	Real Time Enrgy Management, Consumer Serv & Events Managem	1,663
<b>New York Homeowners Construction Co., LL</b>	Home Perf w Energy Star, Single Family Residential	107,795
	Single Family Residential	3,147
<b>Newark Wayne Community Hospital</b>	CLEAN TRANSPORTATION, Clean Transportation	72,000
<b>Newins Bay Shore Ford Inc</b>	Clean Transportation	13,200
	Electric Vehicles - Rebate, Clean Transportation	1,100
<b>NextCorps Inc</b>	M-Corps, Technology to Market	4,500
<b>Niagara Mohawk Power Corporation</b>	CLEAN TRANSPORTATION, Clean Transportation	56,000
<b>Nick's Home Energy Improvements Inc.</b>	Home Perf w Energy Star, Single Family Residential	32,544
	Single Family Residential	9,554
<b>Nispen Building Performance, Inc.</b>	Home Perf w Energy Star, Single Family Residential	82,654
	Renewable Heat NY, Clean Heating & Cooling	21,000
	Single Family Residential	32,284
<b>Nissan 112 Sales Corp</b>	Clean Transportation	6,000
<b>North East Underlayments LLC</b>	Home Perf w Energy Star, Single Family Residential	17,610
	Single Family Residential	5,921
<b>North Park Innovations Group, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,534
<b>North Shore Chevrolet of Smithtown</b>	Clean Transportation	23,700
	Electric Vehicles - Rebate, Clean Transportation	2,000
<b>North Shore Medical Accelerator, PC</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Northeast Home Improvement, LLC</b>	Home Perf w Energy Star, Single Family Residential	94,779
	Single Family Residential	5,825
<b>Northeastern Fireplace and Design</b>	Renewable Heat NY, Clean Heating & Cooling	37,000
<b>Northern Automotive Group Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	9,900
<b>Northtown Hyundai Inc</b>	Electric Vehicles - Rebate, Clean Transportation	146,500
<b>NP Environmental LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	10,500
	Clean Heating & Cooling	12,495
	Geothermal Incentive Program, Clean Heating & Cooling	114,075
<b>NS Auto Sales Inc.</b>	Clean Transportation	5,100
<b>Nunda Farm Service Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	44,288
<b>Nuravine LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,054
<b>NY Greentop</b>	Home Perf w Energy Star, Single Family Residential	227,993
<b>Nye Automotive Group, Inc</b>	Electric Vehicles - Rebate, Clean Transportation	5,500
<b>NYLSI, INC</b>	Clean Transportation	25,300
<b>NYREER, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	40,000
<b>NYS Energy Audits, Inc.</b>	Home Perf w Energy Star, Single Family Residential	520,788
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	83,684
<b>NYS Office of General Services</b>	OREC: Technical Support, Consumer Serv & Events Managem	2,270
<b>NYS Office of Mental Health</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>O'Connor Chevrolet, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	15,900
<b>ODA Community Development Corp.</b>	Home Perf w Energy Star, Single Family Residential	32,701
<b>Olum's of Binghamton, Inc.</b>	EMPOWER NY, Single Family Residential	1,395
	Home Perf w Energy Star, Single Family Residential	57,408
	Single Family Residential	22,735
<b>One City Center Place, LLC.</b>	CLEAN TRANSPORTATION, Clean Transportation	32,000
<b>Opportunities for Chenango, Inc.</b>	EMPOWER NY, Single Family Residential	297
	Home Perf w Energy Star, Single Family Residential	27,706
	Single Family Residential	9,625
<b>Opportunities for Otsego, Inc.</b>	EMPOWER NY, Single Family Residential	15,257

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Opportunities for Otsego, Inc.</b>	Home Perf w Energy Star, Single Family Residential	79,862
	Single Family Residential	23,092
<b>Orange Mechanical LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	5,000
<b>Otis Ford Inc</b>	Clean Transportation	6,600
<b>Otsego County Conservation Association</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	2,425
<b>P.R.O. Home Improvement of CNY, LLC</b>	Home Perf w Energy Star, Single Family Residential	31,727
	Single Family Residential	16,658
<b>Paddock Chevrolet, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	25,800
<b>PAG Greenwich B1, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	13,500
<b>Paloma Salam OD P.C.</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Pana Nissan, LLC</b>	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	56,000
<b>Parina Heating &amp; Air, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	13,050
	Clean Heating & Cooling	3,000
<b>Parkway II LLC</b>	Electric Vehicles - Rebate, Clean Transportation	9,900
<b>Patchogue 112 Motors LLC</b>	Clean Transportation	8,800
<b>Pathstone Corporation</b>	EMPOWER NY, Single Family Residential	330
	Home Perf w Energy Star, Single Family Residential	17,453
	Single Family Residential	948
<b>Patriot Energy Solutions Corp</b>	Home Perf w Energy Star, Single Family Residential	979,805
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
<b>Paul Baker</b>	Air Source Heat Pumps, Codes, Products and Standards	6,500
<b>PBL Equipment &amp; Service Inc</b>	Renewable Heat NY, Clean Heating & Cooling	16,000
<b>PEG</b>	Low Rise New Construction, New Construction	15,500
<b>Penns Worldwide Auto Superstore LTD</b>	Clean Transportation	24,200
	Electric Vehicles - Rebate, Clean Transportation	4,400
<b>People's Equal Action &amp; Community Effort</b>	Home Perf w Energy Star, Single Family Residential	80,529
	Single Family Residential	21,503
<b>Perfection Contracting Inc</b>	Geothermal Incentive Program, Clean Heating & Cooling	17,494
<b>Performance Systems Development, Inc.</b>	Low Rise New Construction, New Construction	34,400
	NEW YORK ENERGY STAR HOMES, New Construction	4,000
<b>Pete Faber</b>	Renewable Heat NY, Clean Heating & Cooling	29,000
<b>Peter Tavino PE PC</b>	Campus/Technical Assistance, Clean Heating & Cooling	15,519
<b>Phoenix Mechanical</b>	Air Source Heat Pumps, Codes, Products and Standards	25,000
	Clean Heating & Cooling	11,000
	GJGNY Market Rate Audits, Single Family Residential	600
	Home Perf w Energy Star, Single Family Residential	20,701
<b>Picotte Associates LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>PJD Hyundai West LLC</b>	Electric Vehicles - Rebate, Clean Transportation	22,200
<b>Plank Road Centre, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	32,000
<b>Plaza Automotive, Ltd.</b>	Clean Transportation	29,300
	Electric Vehicles - Rebate, Clean Transportation	64,700
<b>Plaza Motors of Brooklyn, Inc.</b>	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	30,700
<b>Port Authority of NY/NJ</b>	CLEAN TRANSPORTATION, Clean Transportation	15,000
<b>Poughkeepsie Nissan, Inc</b>	Electric Vehicles - Rebate, Clean Transportation	6,000
<b>Praxair, Inc.,</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Prestige Air Inc</b>	Air Source Heat Pumps, Codes, Products and Standards	244,500
<b>Prestige Automobiles Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	29,800
<b>Prime Time Energy Services, Inc.</b>	EMPOWER NY, Single Family Residential	8,735
	Home Perf w Energy Star, Single Family Residential	276,048

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Prime Time Energy Services, Inc.</b>	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	32,328
<b>Pro Action of Steuben &amp; Yates, Inc.</b>	Home Perf w Energy Star, Single Family Residential	17,939
	Single Family Residential	13,549
<b>Pro-Services Plumbing &amp; Heating Inc</b>	Air Source Heat Pumps, Codes, Products and Standards	9,500
<b>ProjectEconomics, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	19,332
<b>Pvilion Technologies, LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,939
<b>Rallye Westbury, LLC</b>	Clean Transportation	8,000
	Electric Vehicles - Rebate, Clean Transportation	2,000
<b>Ramp Motors Inc</b>	Clean Transportation	24,200
<b>Ray Catena of Westchester, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	15,000
<b>RE-Nuble, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,402
<b>Regional Economic Community Action</b>	Home Perf w Energy Star, Single Family Residential	279,306
	Single Family Residential	13,267
<b>Reyes Repair Inc</b>	Renewable Heat NY, Clean Heating & Cooling	38,500
<b>Reynolds Group Enterprises, Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	45,000
<b>RHM Inc.</b>	Home Perf w Energy Star, Single Family Residential	8,871
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
<b>RI Suresky and Sons Inc</b>	Clean Transportation	1,100
	Electric Vehicles - Rebate, Clean Transportation	10,600
<b>Rich Products Corporation</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Richair Mechanical Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	53,000
	Clean Heating & Cooling	6,000
<b>Ridgeline Heating and Cooling, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	38,500
	Clean Heating & Cooling	7,500
<b>Rivera Auto Group Inc</b>	Electric Vehicles - Rebate, Clean Transportation	31,900
<b>Riverhead Motors, Inc.</b>	Clean Transportation	11,000
	Electric Vehicles - Rebate, Clean Transportation	1,100
<b>RJ Chevrolet Inc</b>	Electric Vehicles - Rebate, Clean Transportation	88,000
<b>RMR Marketing LLC</b>	Renewable Heat NY, Clean Heating & Cooling	13,500
<b>Robert Chevrolet Inc</b>	Clean Transportation	9,700
<b>Rochester General Hospital</b>	CLEAN TRANSPORTATION, Clean Transportation	84,000
<b>Rochester Institute of Technology</b>	REV Campus Challenge, Consumer Serv & Events Managem	1,000
<b>Rock One Development, LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Rodney Lind</b>	Home Perf w Energy Star, Single Family Residential	168,186
	Single Family Residential	65,085
<b>Romano Toyota</b>	Electric Vehicles - Rebate, Clean Transportation	26,400
<b>Romeo Chevrolet Buick GMC</b>	Electric Vehicles - Rebate, Clean Transportation	45,700
<b>Romeo Enterprises LLC</b>	Electric Vehicles - Rebate, Clean Transportation	6,600
<b>Ronald LaFritz LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Route 59 Automotive LLC</b>	Clean Transportation	2,000
	Electric Vehicles - Rebate, Clean Transportation	40,500
<b>RSPJ Holding LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	32,000
<b>RT Automotive Industries LLC</b>	Clean Transportation	12,100
<b>Ryan Plumbing Heating Air Conditioning</b>	Home Perf w Energy Star, Single Family Residential	47,678
	Single Family Residential	5,219
<b>Rycor LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	287,573
	Clean Heating & Cooling	23,000
<b>S &amp; A Hospitality Inc</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Saab Sensis Corporation</b>	CLEAN TRANSPORTATION, Clean Transportation	40,000
<b>Sagbolt, LLC</b>	Electric Vehicles - Rebate, Clean Transportation	40,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>SANFILIPPO SOLUTIONS INC.</b>	EMPOWER NY, Single Family Residential	14,902
	Home Perf w Energy Star, Single Family Residential	128,853
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Renewable Heat NY, Clean Heating & Cooling	4,482
	Single Family Residential	53,650
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	14,557
<b>Saratoga Casino Hotel</b>	CLEAN TRANSPORTATION, Clean Transportation	40,000
<b>Saratoga County EOC</b>	Home Perf w Energy Star, Single Family Residential	40,923
	Single Family Residential	24,913
<b>Saratoga Fireplace &amp; Stove, Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	8,500
<b>Saratoga Imports Inc</b>	Electric Vehicles - Rebate, Clean Transportation	17,600
<b>Saratoga Motors Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	8,500
<b>SC Auto Corp</b>	Clean Transportation	57,200
	Electric Vehicles - Rebate, Clean Transportation	3,300
<b>Schuyler Commons LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	40,000
<b>Scocha Holding LLC</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>SCOOP HVAC, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	82,968
	Clean Heating & Cooling	4,500
<b>SecondMuse LLC</b>	M-Corps, Technology to Market	4,000
<b>Seed Renewables Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	5,898
<b>Seneca County Weatherization</b>	EMPOWER NY, Single Family Residential	902
	Home Perf w Energy Star, Single Family Residential	32,427
	Single Family Residential	3,703
<b>Sharp's Bulk Food Store</b>	Renewable Heat NY, Clean Heating & Cooling	295,500
<b>Shults Imports, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	38,000
<b>Sigma Tremblay, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	51,800
	Home Perf w Energy Star, Single Family Residential	23,239
<b>Simple Integrity LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	5,000
<b>Simply Home Performance</b>	Home Perf w Energy Star, Single Family Residential	377,753
	Single Family Residential	216,528
<b>Simply Installs LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	84,100
	Clean Heating & Cooling	5,050
<b>Sisters of St. Joseph</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>SJS Autoplex LLC</b>	Electric Vehicles - Rebate, Clean Transportation	10,000
<b>Smarter Grid Solutions, Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	22,032
<b>Smithtown Nissan Inc</b>	Clean Transportation	10,000
<b>Snug Planet, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	153,000
	Clean Heating & Cooling	23,000
	Consumer Ed and Market Support, Single Family Residential	1,194
	EMPOWER NY, Single Family Residential	14,269
	Home Energy Ratings, Single Family Residential	796
	Home Perf w Energy Star, Single Family Residential	463,504
	Single Family Residential	142,675
<b>Snyder Manufacturing, Inc</b>	Clean Heating & Cooling	14,760
	Geothermal Incentive Program, Clean Heating & Cooling	41,955
<b>Solar Energy Haus, Inc.</b>	Single Family Residential	58,421
<b>Solar Tompkins Inc.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,335
<b>South Shore Motors Corp</b>	Clean Transportation	28,600
	Electric Vehicles - Rebate, Clean Transportation	1,100
<b>Stacey Bennett</b>	Renewable Heat NY, Clean Heating & Cooling	45,000
<b>Stallmer &amp; Sun Energy Efficiency Special</b>	Home Perf w Energy Star, Single Family Residential	16,496

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Stallmer &amp; Sun Energy Efficiency Special</b>	Single Family Residential	16,348
<b>Standard Insulating Company</b>	Air Source Heat Pumps, Codes, Products and Standards	7,000
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	765
	EMPOWER NY, Single Family Residential	944
	Home Perf w Energy Star, Single Family Residential	1,394,054
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	Single Family Residential	217,534
<b>Star Auto Sales of Bayside Inc</b>	Clean Transportation	4,400
	Electric Vehicles - Rebate, Clean Transportation	9,900
<b>Stateside Auto Sales Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	6,600
<b>Steet Ponte Inc</b>	Electric Vehicles - Rebate, Clean Transportation	6,600
<b>Steven Winter Associates, Inc.</b>	Low Rise New Construction, New Construction	1,000
	NEW YORK ENERGY STAR HOMES, New Construction	12,000
<b>STNO, LLC</b>	Clean Transportation	22,000
	Electric Vehicles - Rebate, Clean Transportation	2,200
<b>Stoler of Westbury</b>	Clean Transportation	12,100
	Electric Vehicles - Rebate, Clean Transportation	2,200
<b>Suburban Service Group</b>	Air Source Heat Pumps, Codes, Products and Standards	8,000
<b>Sun Dance Pool N Patio Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	85,945
<b>Sunflower Market</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Sunny Clean Water, LLC</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	9,904
<b>Sunrise Automall LLC</b>	Clean Transportation	8,500
	Electric Vehicles - Rebate, Clean Transportation	1,700
<b>Sunset Park Redevelopment Comm</b>	Home Perf w Energy Star, Single Family Residential	46,614
<b>Super Cool HVAC LLC.</b>	Air Source Heat Pumps, Codes, Products and Standards	6,000
<b>Superior Energy Innovations, LLC</b>	EMPOWER NY, Single Family Residential	29,742
	Home Perf w Energy Star, Single Family Residential	221,955
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,750
	Single Family Residential	66,887
<b>Superior Insulation Co., LLC</b>	EMPOWER NY, Single Family Residential	1,858
	Home Perf w Energy Star, Single Family Residential	465,986
	Single Family Residential	117,028
<b>Sure Temp Company Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	23,500
<b>Sustainable Comfort, Inc</b>	Low Rise New Construction, New Construction	43,400
	NEW YORK ENERGY STAR HOMES, New Construction	5,000
	Talent Pipeline: Internship Pgm, Workforce Dev & Train	4,640
<b>Sustainable Tompkins</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	6,125
<b>Sutton Owners Corporation</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Syosset Hyundai LLC</b>	Clean Transportation	48,500
	Electric Vehicles - Rebate, Clean Transportation	1,100
<b>Syracuse University</b>	ENVIRONMENTAL RESEARCH, Environmental Research	4,062
<b>T &amp; C Sales &amp; Service Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	5,500
<b>T.A.S. Consulting International LLC</b>	Renewable Heat NY, Clean Heating & Cooling	128,500
<b>T.J.Nik Corp</b>	Clean Transportation	5,300
	Electric Vehicles - Rebate, Clean Transportation	2,000
<b>T' F' Obrien</b>	Air Source Heat Pumps, Codes, Products and Standards	11,088
<b>Taitem Engineering, P.C.</b>	Talent Pipeline: Internship Pgm, Workforce Dev & Train	1,396
<b>Tall Pines Farm Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	68,500
<b>Taylor Heating Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	3,000
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	457
	EMPOWER NY, Single Family Residential	1,188

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Taylor Heating Inc.</b>	GJGNY Market Rate Audits, Single Family Residential	450
	Home Perf w Energy Star, Single Family Residential	154,465
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	1,126
	Single Family Residential	14,015
<b>TBS Acquisition Corp</b>	Clean Transportation	13,700
<b>Teledyne LeCroy Inc.</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Tesla Motors New York LLC</b>	Clean Transportation	1,330,500
	Electric Vehicles - Rebate, Clean Transportation	2,224,000
<b>The Bicknell Corporation</b>	Renewable Heat NY, Clean Heating & Cooling	75,500
<b>The Clifton Spring Sanitarium Compan</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>The Custer Institute Inc.</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>The Dorschel Group</b>	Electric Vehicles - Rebate, Clean Transportation	23,100
		28,000
		20,000
		22,600
<b>The Energy Doctors</b>	Home Perf w Energy Star, Single Family Residential	28,578
	Single Family Residential	19,909
<b>The Falls In Hudson</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>The Fireplace Company Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	9,000
<b>The Geothermal Group LLC</b>	Geothermal Incentive Program, Clean Heating & Cooling	9,750
<b>The Insulation Man LLC</b>	Consumer Ed and Market Support, Single Family Residential	1,329
	EMPOWER NY, Single Family Residential	10,121
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Energy Ratings, Single Family Residential	796
	Home Perf w Energy Star, Single Family Residential	123,808
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	306
	Single Family Residential	21,172
<b>The Radiant Store</b>	Air Source Heat Pumps, Codes, Products and Standards	47,300
	Clean Heating & Cooling	18,650
	EMPOWER NY, Single Family Residential	9,813
	Home Perf w Energy Star, Single Family Residential	59,806
	Single Family Residential	909
<b>The Sports Page Shop, Inc</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>The Tick Tock Group, Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	5,000
	Clean Heating & Cooling	5,050
<b>The Unity Hospital of Rochester</b>	CLEAN TRANSPORTATION, Clean Transportation	40,000
<b>Thermal Associates, LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	7,000
<b>Thermodynamix LLC</b>	Air Source Heat Pumps, Codes, Products and Standards	13,050
<b>Three Peaks Energy Corp.</b>	GJGNY Market Rate Audits, Single Family Residential	150
	Home Perf w Energy Star, Single Family Residential	17,050
	Single Family Residential	1,874
<b>Timothy Marlett</b>	EMPOWER NY, Single Family Residential	10,648
	Home Perf w Energy Star, Single Family Residential	52,749
	Single Family Residential	19,904
<b>Tioga Opportunities Inc.</b>	EMPOWER NY, Single Family Residential	3,150
	Home Perf w Energy Star, Single Family Residential	129,723
	Single Family Residential	18,891
<b>TLL Motors Inc</b>	Clean Transportation	80,300
	Electric Vehicles - Rebate, Clean Transportation	4,400
<b>Tompkins Community Action</b>	Home Perf w Energy Star, Single Family Residential	14,272
	Single Family Residential	2,685



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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
<b>Total Comfort Heating and Air Conditioni</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	500
	EMPOWER NY, Single Family Residential	528
	Home Perf w Energy Star, Single Family Residential	267,387
	Single Family Residential	10,749
<b>Town of Andes</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Town of Brutus</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Town of East Hampton</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Town of Elmira</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Town of Germantown</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Town of Henrietta</b>	Electric Vehicles - Rebate, Clean Transportation	8,000
<b>Town of Minetto</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Town Of Owasco</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Town of Porter</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Town of Red Hook, NY</b>	CLEAN TRANSPORTATION, Clean Transportation	16,000
<b>Town of Saugerties</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Towne Ford, Inc.</b>	Clean Transportation	4,000
	Electric Vehicles - Rebate, Clean Transportation	59,300
<b>Transitowne Hyundai LLC</b>	Electric Vehicles - Rebate, Clean Transportation	33,700
<b>Triple-O Mechanical Inc.</b>	Air Source Heat Pumps, Codes, Products and Standards	12,500
<b>TRS Heating and Air Conditioning Co., In</b>	EMPOWER NY, Single Family Residential	352
	Home Perf w Energy Star, Single Family Residential	95,181
	Single Family Residential	52,288
<b>True Building Performance LLC</b>	GJGNY Market Rate Audits, Single Family Residential	1,350
	Home Perf w Energy Star, Single Family Residential	132,357
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
	Single Family Residential	29,067
<b>True Energy Solutions</b>	EMPOWER NY, Single Family Residential	9,857
	Home Perf w Energy Star, Single Family Residential	175,171
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	250
	Single Family Residential	32,529
<b>TT of Freeport Inc</b>	Clean Transportation	9,000
	Electric Vehicles - Rebate, Clean Transportation	7,000
<b>U.S. Geological Survey (Troy).</b>	Environmental Research, Environmental Research	6,500
<b>Ulster Construction Co. Inc.</b>	Home Perf w Energy Star, Single Family Residential	19,353
	Single Family Residential	3,635
<b>Ulster County Community Action, Inc.</b>	Home Perf w Energy Star, Single Family Residential	145,368
	Single Family Residential	42,339
<b>Ulster Saving Bank</b>	CLEAN TRANSPORTATION, Clean Transportation	8,000
<b>Universal Hearth Stores Inc.</b>	Renewable Heat NY, Clean Heating & Cooling	13,000
<b>Upstate Spray Foam Insulation, LLC</b>	EMPOWER NY, Single Family Residential	22
	Home Perf w Energy Star, Single Family Residential	103,698
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	200
	Single Family Residential	4,526
<b>Valley Stream Foreign Cars Inc</b>	Clean Transportation	6,800
	Electric Vehicles - Rebate, Clean Transportation	1,700
<b>Van Bortel Chevrolet, Inc.</b>	Electric Vehicles - Rebate, Clean Transportation	17,400
<b>Van Hee Mechanical</b>	Clean Heating & Cooling	75,416
	Geothermal Incentive Program, Clean Heating & Cooling	336,750
<b>Vanderstynne Motor Sales Inc</b>	Electric Vehicles - Rebate, Clean Transportation	12,100
<b>Village of Croton-on-Hudson</b>	CLEAN TRANSPORTATION, Clean Transportation	24,000
<b>Village of Hamilton</b>	Electric Vehicles - Rebate, Clean Transportation	8,000

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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Village of Patchogue	CLEAN TRANSPORTATION, Clean Transportation	8,000
Village of Sodus Point	CLEAN TRANSPORTATION, Clean Transportation	8,000
Vision Hyundai Of Webster LLC	Electric Vehicles - Rebate, Clean Transportation	25,100
Vulcan Enterprises LLC	Renewable Heat NY, Clean Heating & Cooling	16,000
Waite Motor Sales Inc	Electric Vehicles - Rebate, Clean Transportation	5,500
Warren County	Electric Vehicles - Rebate, Clean Transportation	40,000
Warren/Hamilton Counties ACEO	Home Perf w Energy Star, Single Family Residential	4,022
	Single Family Residential	4,679
Watertown Appliance and TV Center, Inc.	Home Perf w Energy Star, Single Family Residential	4,989
	Single Family Residential	4,665
Wavelength Group, LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	18,016
Wayne County Action Program	EMPOWER NY, Single Family Residential	573
	Home Perf w Energy Star, Single Family Residential	71,190
	Single Family Residential	11,298
West 90th Garage Corp	CLEAN TRANSPORTATION, Clean Transportation	24,000
West Herr Ford of Amherst LLC	Electric Vehicles - Rebate, Clean Transportation	7,700
West Herr Honda	Electric Vehicles - Rebate, Clean Transportation	5,100
West Herr Imports LLC	Electric Vehicles - Rebate, Clean Transportation	13,200
West Side Management of Saratoga LLC	CLEAN TRANSPORTATION, Clean Transportation	24,000
Westchester Foreign Auto's Inc.	Electric Vehicles - Rebate, Clean Transportation	7,700
Western New York Exteriors, LLC	Home Perf w Energy Star, Single Family Residential	8,118
	Single Family Residential	511
Westmed Medical Group	Electric Vehicles - Rebate, Clean Transportation	16,000
Weston Bros.	Air Source Heat Pumps, Codes, Products and Standards	69,000
WHA Five LLC	Electric Vehicles - Rebate, Clean Transportation	61,100
Wheatland-Chili Central School District	CLEAN TRANSPORTATION, Clean Transportation	8,000
Whiteman Chevrolet Inc	Electric Vehicles - Rebate, Clean Transportation	12,000
Williams Toyota Elmira	Electric Vehicles - Rebate, Clean Transportation	7,700
Willie Oxendine	EMPOWER NY, Single Family Residential	176
	Home Perf w Energy Star, Single Family Residential	132,389
	Single Family Residential	7,648
Wisconsin Energy Conservation Corp	>200KW PV, NY-Sun	53,910
	Air Source Heat Pumps, Codes, Products and Standards	1,950
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, EnergyAfforda..	92,026
	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	7,281
	EMPOWER NY, EnergyAffordability and Equity	30,345
	Geothermal Incentive Program, Clean Heating & Cooling	1,710
	GJGNY REVOLVING LOAN FUND, Single Family Residential	239,310
	Home Perf w Energy Star, EnergyAffordability and Equity	4,606,325
	Home Perf w Energy Star, Single Family Residential	352,359
	Renewable Heat NY, Clean Heating & Cooling	54,480
Wise Home Energy, LLC	Air Source Heat Pumps, Codes, Products and Standards	4,000
	Consumer Ed and Market Support, Single Family Residential	1,194
	EMPOWER NY, Single Family Residential	8,419
	GJGNY Market Rate Audits, Single Family Residential	150
	Home Energy Ratings, Single Family Residential	1,169
	Home Perf w Energy Star, Single Family Residential	463,753
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	400
	NYCH: Comfort Home, Single Family Residential	150
	Single Family Residential	224,624
WOC Waverly Garage Company LLC	CLEAN TRANSPORTATION, Clean Transportation	8,000

**Expenditures pursuant to a Request for Proposal, a Program Opportunity Notes or Solicitation**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Expended Amount</b>
Wood 'N Things	Renewable Heat NY, Clean Heating & Cooling	43,500
Woodlake Associates LLP	CLEAN TRANSPORTATION, Clean Transportation	6,000
WS Healey Chevrolet Buick Inc.	Electric Vehicles - Rebate, Clean Transportation	13,700
Xallent LLC	Talent Pipeline: Internship Pgm, Workforce Dev & Train	22,401
Yates County	Electric Vehicles - Rebate, Clean Transportation	8,000
Yeshiva University	CLEAN TRANSPORTATION, Clean Transportation	8,000
Yonkers Auto Outlet Inc	Electric Vehicles - Rebate, Clean Transportation	6,000
Yost & Campbell of Rockland, Inc.	Air Source Heat Pumps, Codes, Products and Standards	17,000
Zenner and Ritter Inc.	Home Perf w Energy Star, Single Family Residential	49,803
Zerodraft of CNY - Syracuse	Home Perf w Energy Star, Single Family Residential	27,909
Zerodraft Residential Inc.	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Single Family ..	755
	GJGNY Market Rate Audits, Single Family Residential	1,350
	Home Perf w Energy Star, Single Family Residential	587,967
	HOME PERFORMANCE WITH ENERGY STAR, Single Family Residential	500
	Single Family Residential	115,797
<b>Grand Total</b>		<b>57,860,600</b>

NYSERDA  
Public Authority Law Report  
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Section Break

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
3M Company	3/4/2020	Industrial Process Effic, Industrial Process Efficiency	62,016
24-42 Bennett Avenue Corp	3/20/2020	>200KW PV, NY-Sun	29,230
64 Solar LLC	1/15/2020	<200KW PV, PON 2112 NY SUN	126,792
	2/26/2020	<200KW PV, PON 2112 NY SUN	162,081
70 North MM LLC	2/13/2020	New Construction- Housing, 2019 LRNCP	50,000
323T LLC	1/15/2020	Low Rise New Construction, 2019 LRNCP	25,600
770 Electric Corp.	12/19/2019	<200KW PV, PON 2112 NY SUN	411,180
	2/26/2020	<200KW PV, NY-Sun	8,432
		>200KW PV, NY-Sun	12,648
	3/3/2020	<200KW PV, NY-Sun	20,000
		>200KW PV, NY-Sun	93,960
	3/9/2020	<200KW PV, NY-Sun	23,107
		>200KW PV, NY-Sun	23,108
2050 G.C. Housing Development Fund ..	10/16/2019	New Construction- Housing, New Construction	77,600
AAF Rye Hotel LLC	2/7/2020	Environmental Research, 2020 State of the Science	50,000
Abakama LLC	10/24/2019	OTHER PROGRAM AREA, Innovation Advisory Services	75,000
ABH Capital Management, LLC	2/28/2020	VDI Server for Interns	9,999
Abundant Solar Power Inc.	10/3/2019	>200KW PV, NY Sun	252,288
	11/22/2019	>200KW PV, NY Sun	1,407,672
	2/19/2020	>200KW PV, NY Sun	951,946
Accelerate Solar LLC	12/9/2019	<200KW PV, NY-Sun	8,700
Access Supports for Living Inc.	10/18/2019	New Construction- Housing, 2019 LRNCP	171,200
	10/21/2019	New Construction- Housing, 2019 LRNCP	68,600
Accion Group, LLC	2/25/2020	REC:CES REC System Dev Costs, RFP 4146 LSR Support	440,000
ACEEEE	12/12/2019	Prof & Expert Engagement, 2020 ACEEEE Membership	10,000
Actasys	10/4/2019	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Stor..	75,000
Active Solar Development, LLC	1/14/2020	<200KW PV, PON 2112 NY SUN	60,588
Adam C. Boese	11/18/2019	Technical Services, AEAP	6,000
Adam Hinge	2/13/2020	CI Carbon Challenge, CI Carbon Challenge_Empire Ret	200,000
ADK Solar	2/26/2020	<200KW PV, PON 2112 NY SUN	11,732
ADM Associates, Inc.,	1/16/2020	Air Source Heat Pumps, Performance Monitoring and Eva	22,500
		EVALUATION, Performance Monitoring and Eva	5,000
		Geothermal Incentive Program, Performance Monitoring and Eva	22,500
ADP, Inc.	3/12/2020	NYSERDA ADMINISTRATION, ADP Payroll and HR Services	205,154
Advanced Radiant Design, Inc.	11/25/2019	Talent Pipeline:CE and OJT, OJT HIRE	5,760
AECOM Technical Services Inc.	11/13/2019	WEST VALLEY DEVELOPMENT PROGRAM, Environmental M..	149,747
Aegis Energy Services Inc.	10/1/2019	Combined Heat and Power, CHPA-Valley View Center for Nu	266,836
Aeonsolar	1/28/2020	>200KW PV, PON 2112 NY SUN	11,376
AES DE HOLDINGS VI, LLC	12/4/2019	NY Green Bank, AES - Project Aurora	50,000,000
AES DE RS VIII, LLC	12/5/2019	>200KW PV, NY-Sun	545,765
	12/9/2019	>200KW PV, NY-Sun	545,765
	2/18/2020	>200KW PV, NY-Sun	415,390
	3/23/2020	>200KW PV, NY-Sun C&I	1,326,780
	3/30/2020	>200KW PV, NY-Sun	1,174,095
AES DE RS XI, LLC.	3/20/2020	>200KW PV, NY-Sun C&I	875,336
AES Distributed Energy, Inc.	10/21/2019	>200KW PV, NY Sun	1,427,867
		NY-SUN, NY Sun	2,855,737
AIA New York State	10/15/2019	New Construction- Commercial, New Construction	4,000
		New Construction- Housing, New Construction	16,000
Air Company Holdings, Inc.	10/3/2019	Talent Pipeline:CE and OJT, OJT HIRE	10,240
AKF-engineers	10/17/2019	Rmve Barriers Dist Enrgy Storg, FT12241-TishmanSpe-200Par..	84,675
	2/27/2020	Commercial Real Estate Ten, AKF Engineers - Multisite	87,300
Akimeka, LLC	3/10/2020	OTHER PROGRAM AREA, TWO#2 Resilience Assistance	50,000
Albany Solar Solutions L.L.C.	1/21/2020	<200KW PV, PON 2112 NY SUN	5,346
Albireo Energy, LLC	11/1/2019	Real Time Enrgy Management, ARE - 69 fifth Ave - RTEM	38,412
	11/21/2019	Real Time Enrgy Management, Albireo-425 E 58th-RTEM	155,000

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Albireo Energy, LLC	11/21/2019	Real Time Enrgy Management, Albireo-Multisite-RTEM	802,713
	12/11/2019	Real Time Enrgy Management, RXR Realty-340Madison Ave-R..	276,410
	12/19/2019	Real Time Enrgy Management, Albireo - 161 William St -RTEM	99,983
Allegis Group Holdings Inc	10/10/2019	NEW YORK GREEN BANK, Staff Augmentation Services	27,446
	3/9/2020	Community RH&C, Staff Augmentation Services	160,739
		Renewable Heat NY, Staff Augmentation Services	160,739
3/20/2020	NEW YORK GREEN BANK, Staff Augmentation Services	56,531	
Allen Power, Inc.	11/6/2019	<200KW PV, PON 2112 NY SUN	34,425
	12/4/2019	<200KW PV, PON 2112 NY SUN	162,000
	2/12/2020	<200KW PV, PON 2112 NY SUN	349
	2/13/2020	<200KW PV, PON 2112 NY SUN	2,025
Alliance for Sustainable Energy, LLC	3/3/2020	ENERGY ANALYSIS, TWO 1 - 100% Carbon-free Power	100,000
Altanova LLC	1/6/2020	Commercial Real Estate Ten, Altanova-151W42ndFL26-28-CTP	34,000
	2/28/2020	Commercial Real Estate Ten, Altanova - 195 Broadway FL 28	25,000
Alternative Power Solutions of NY, LLC	10/7/2019	<200KW PV, PON 2112 NY SUN	5,642
	11/29/2019	<200KW PV, PON 2112 NY SUN	6,825
	12/9/2019	<200KW PV, PON 2112 NY SUN	18,225
	12/19/2019	<200KW PV, PON 2112 NY SUN	22,356
	1/23/2020	<200KW PV, PON 2112 NY SUN	6,185
Amazon Capital Servies, Inc.	3/3/2020	NYSERDA ADMINISTRATION, Docking Stations - Chromebooks	8,450
AMERESCO, Inc.	10/28/2019	>200KW PV, NY Sun	2,058,210
	11/20/2019	<200KW PV, PON 2112 NY SUN	154,224
	12/18/2019	>200KW PV, NY Sun	1,372,488
	2/26/2020	<200KW PV, PON 2112 NY SUN	88,128
	3/26/2020	>200KW PV, NY Sun	1,174,173
Amergy Solar Inc.	11/5/2019	>200KW PV, PON 2112 NY SUN	485,514
	12/24/2019	>200KW PV, PON 2112 NY SUN	25,308
	12/30/2019	>200KW PV, PON 2112 NY SUN	397,632
American Council for an Energy Efficient	1/17/2020	Subscription/Data Access, Market Insights	70,000
American Energy Care, Inc.	10/22/2019	<200KW PV, PON 2112 NY SUN	10,823
	11/4/2019	<200KW PV, PON 2112 NY SUN	11,323
American Solar Partners, LLC	2/25/2020	<200KW PV, NY-Sun	9,100
		>200KW PV, NY-Sun	9,100
	3/20/2020	<200KW PV, NY-Sun	24,375
		>200KW PV, NY-Sun	24,375
AMP US HoldCo Inc	10/21/2019	>200KW PV, NY SUN C&I	1,310,400
AMP US HoldCo Inc.	10/9/2019	>200KW PV, NY Sun	1,289,064
	10/29/2019	>200KW PV, NY Sun	838,656
	10/30/2019	>200KW PV, NY Sun	413,977
	10/31/2019	>200KW PV, NY Sun	1,142,400
	1/30/2020	>200KW PV, NY Sun	1,173,245
	3/30/2020	ESTOR:Retail Storage Incentive, Retail Storage	7,074,000
	1/13/2020	Novel Bus Models & Offers, Fleet Charging as a Service	498,565
Anheuser-Busch InBev Worldwide Inc	12/23/2019	On-Site Energy Manager, OsEM39-I Anheuser-Busch InBev	140,450
Antares Group, Inc.	10/11/2019	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and ..	2,726
Apex Roofing, LLC	10/7/2019	<200KW PV, PON 2112 NY SUN	6,496
	1/8/2020	<200KW PV, PON 2112 NY SUN	6,048
Apex Solar Power LLC	10/16/2019	<200KW PV, PON 2112 NY SUN	17,019
	11/6/2019	<200KW PV, PON 2112 NY SUN	7,686
	11/7/2019	<200KW PV, PON 2112 NY SUN	6,405
	11/14/2019	<200KW PV, PON 2112 NY SUN	5,871
	11/29/2019	<200KW PV, PON 2112 NY SUN	5,765
	12/3/2019	<200KW PV, PON 2112 NY SUN	84
	12/4/2019	<200KW PV, PON 2112 NY SUN	5,488
	1/17/2020	<200KW PV, PON 2112 NY SUN	5,642
	2/13/2020	<200KW PV, PON 2112 NY SUN	6,192

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Applied Design Initiative LLC	11/5/2019	NYSERDA Administration	16,320
Apprise, Incorporated	11/8/2019	Air Source Heat Pumps, TWO #3 - Survey Work	17,642
		EVALUATION, TWO #3 - Survey Work	3,920
		Geothermal Incentive Program, TWO #3 - Survey Work	17,642
APX Inc.	11/25/2019	REC:CES REC System Dev Costs, NYGATS	75,000
		ZEC:CES ZEC System Dev Costs, NYGATS	150,000
Aramark Services Inc.	11/27/2019	Off-Shore Wind Pre-Dev Act, OSW Tech and Training Forum	885
		OREC: Technical Support, OSW Tech and Training Forum	5,500
Arcadis of New York, Inc.	10/1/2019	Flexible Tech Assistance, FT12260 - GI Joint WWTF - FTC	17,950
	2/19/2020	Technical Services, AEAP	5,978
Arcadis U.S., Inc.	2/13/2020	Advancing Ag Enrgy Technologie, AAET Tech Review_Arcadis ..	5,000
Arch Street Communications, Inc.	3/24/2020	Clean Energy Communities, Marketing Support for NYSERDA	63,000
Arctic Air Mechanical Corp	12/17/2019	NYSERDA ADMINISTRATION, HVAC for NY Office	7,000
Argus Media Inc.	3/2/2020	ENERGY ANALYSIS, Data & Markets	14,568
Astrum Solar, Inc.	1/21/2020	>200KW PV, PON 2112 NY SUN	162,430
Atash Energy, LLC	3/23/2020	Commercial Real Estate Ten, Atash Energy - 60 Wall St -CTP	15,008
Atelier Ten	11/13/2019	Commercial Real Estate Ten, Atelier Ten USA-250 Greenwich	12,480
Atlantic Data Security, LLC	3/18/2020	NYSERDA ADMINISTRATION, Check Point Training	15,000
Autronic Plastics, Inc.	11/15/2019	Pub Transit & Elect Rail, Wireless Transit Lighting	92,000
	2/12/2020	Pub Transit & Elect Rail, Wireless Transit Lighting	50,000
AVSC Holdings Corporation	11/8/2019	Buildings of Excellence, 2019 BOE Awards Ceremony	22,914
Ballston Mouningkill Associates LLC	10/16/2019	Low Rise New Construction, 2019 LRNCP	75,200
Barbera Homes and Development, Inc.	2/14/2020	New Construction- Housing, 2019 LRNCP	5,700
Barney Moravec, Inc	12/4/2019	Talent Pipeline:CE and OJT, OJT HIRE	8,160
Barton & Loguidice, D. P.C.	2/10/2020	Flexible Tech Assistance, FT12263 - Chenango WWTP - FTC	5,959
Bashing Panels LLC	12/3/2019	<200KW PV, PON 2112 NY SUN	84
	1/29/2020	<200KW PV, PON 2112 NY SUN	5,513
BDO USA LLP	1/10/2020	Background Investigation Servi	6,900
Beacon Lofts and Storage, LLC	1/21/2020	Low Rise New Construction, 2019 LRNCP	30,300
Beech-Nut Nutrition Company	12/3/2019	On-Site Energy Manager, OsEM37-I - Beech-Nut Nutrition	213,908
BelGioioso Cheese	12/16/2019	Industrial Process Effic, Industrial Process Efficiency	195,192
Belmonte Builders	1/21/2020	New Construction- Housing, 2019 LRNCP	11,400
Bergmann Associates	10/22/2019	Commercial Real Estate Ten, Bergmann Associates - Multisite	16,337
	1/9/2020	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, Bergmann Tech Review TWO	68,534
	1/29/2020	Industrial Process Effic, Tech Review_Support_Umbrella	1,250
	2/4/2020	Technical Services, AEAP	2,500
	3/13/2020	Technical Services, FT13039 - Marketplace - FTC	5,000
	3/30/2020	Technical Services, AEAP	3,250
	Best Energy Power	10/16/2019	>200KW PV, PON 2112 NY SUN
10/29/2019		>200KW PV, PON 2112 NY SUN	34,974
12/3/2019		>200KW PV, PON 2112 NY SUN	70,380
12/24/2019		<200KW PV, PON 2112 NY SUN	37,944
1/9/2020		<200KW PV, PON 2112 NY SUN	36,924
		<200KW PV, NY-Sun	25,000
2/25/2020		>200KW PV, NY-Sun	56,000
		>200KW PV, PON 2112 NY SUN	134,138
		>200KW PV, PON 2112 NY SUN	201,443
2/26/2020		>200KW PV, PON 2112 NY SUN	201,443
2/27/2020		>200KW PV, PON 2112 NY SUN	23,460
3/2/2020		>200KW PV, PON 2112 NY SUN	85,000
3/3/2020		>200KW PV, PON 2112 NY SUN	28,875
3/9/2020		>200KW PV, PON 2112 NY SUN	113,540
3/12/2020	>200KW PV, PON 2112 NY SUN	135,713	
3/16/2020	>200KW PV, PON 2112 NY SUN	148,750	

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Best Energy Power	3/23/2020	>200KW PV, PON 2112 NY SUN	194,961
Bigwood Systems Inc	1/3/2020	High Performing Grid, PON4074 High Perfrm Grid Prgr	285,000
BioDiversity Research Institute	1/15/2020	Environmental Research, ENV & Fisheries Rsrch for OSW	490,145
	3/11/2020	OREC: Technical Support, BRI TWO1 ETWG Support	338,483
Bizodo Inc	3/12/2020	Seamlessdocs Licensing 20-21	42,740
Black Cherry Services Group, Inc.	1/14/2020	<200KW PV, PON 2112 NY SUN	5,418
Black Women Talk Tech Inc	1/15/2020	OTHER PROGRAM AREA, Black Women Talk Tech Sponsor	25,000
BLIX Consultancy BV	3/6/2020	Environmental Research, GG Procurement Support	33,758
Bloomberg Finance LP	12/3/2019	ENERGY ANALYSIS, Bloomberg Datafeed Access	47,280
	12/10/2019	Subscription/Data Access, Bloomberg Datafeed Access	23,640
Bond, Schoeneck & King, PLLC	10/9/2019	NYSERDA ADMINISTRATION, HR Outside Counsel Assistance	25,000
Borrego Solar Systems, Inc.	10/28/2019	>200KW PV, NY Sun	1,480,024
	10/29/2019	>200KW PV, NY Sun	899,964
		NY-SUN, NY Sun	1,751,750
	11/22/2019	>200KW PV, NY Sun	2,919,982
	12/6/2019	ESTOR:Retail Storage Incentive, Retail Storage	3,000,000
	1/6/2020	>200KW PV, NY Sun	1,254,926
	1/10/2020	>200KW PV, NY Sun	1,325,592
	1/30/2020	>200KW PV, NY Sun	3,234,688
	3/5/2020	>200KW PV, NY Sun	2,197,600
BQ Energy Development, LLC	12/16/2019	NY Green Bank, BQ Energy - Corporate	10,000,000
BQ Energy, LLC	10/8/2019	ESTOR:Retail Storage Incentive, Retail Storage	417,600
Brattle Group Inc.	11/1/2019	ENVIRONMENTAL RESEARCH, TWO #4 Large Scale Hydropo..	200,000
		REC:CES REC System Dev Costs, TWO #4 Large Scale Hydro..	350,000
	12/31/2019	Mkt Char: Tech Assist, TWO #1 Resource Adequacy	300,000
	1/31/2020	REC:CES REC System Dev Costs, TWO 5 LSR siting analysis	350,000
	3/19/2020	ENVIRONMENTAL RESEARCH, TWO #4 Large Scale Hydropo..	19,000
		REC:CES REC System Dev Costs, TWO #4 Large Scale Hydro..	20,000
	3/24/2020	Mkt Char: Tech Assist, TWO #1 Resource Adequacy	27,000
Brazen Global Inc	11/6/2019	Cleantech ICC Engage, Peer Groups Software	33,885
BRE Edison L.P.	11/29/2019	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	892,130
Bright Power, Inc.	10/1/2019	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	374,975
	10/25/2019	Flexible Tech Assistance, FT12246-HamptonInnTimesSqr-FTC	13,490
		Flexible Tech Assistance, FT12247-HiltonGdnTimesSqr-FTC	15,160
	11/5/2019	>200KW PV, PON 2112 NY SUN	42,768
	11/14/2019	Combined Heat and Power, Tri-tech Feasibility & Design1	50,000
	12/23/2019	<200KW PV, NY-Sun	20,000
		>200KW PV, NY-Sun	68,904
	1/13/2020	<200KW PV, NY-Sun	20,000
		>200KW PV, NY-Sun	57,672
	1/21/2020	<200KW PV, NY-Sun	24,660
		>200KW PV, NY-Sun	24,660
	2/13/2020	Real Time Enrgy Management, Bright Power - Multisite- RTEM	51,390
	2/18/2020	Geothermal Incentive Program, FT12238-LeFracCity-5917Jct-F..	20,700
	3/12/2020	<200KW PV, NY-Sun	35,220
		>200KW PV, NY-Sun	12,780
		NY-Sun	22,440
	3/13/2020	Real Time Enrgy Management, Bright Power -Multisite- RTEM	92,883
	3/17/2020	<200KW PV, NY-Sun	51,810
		NY-Sun	51,810
		REV Campus Challenge, RM35 - NYU - Alumni Hall	9,000
	3/19/2020	<200KW PV, NY-Sun	13,860
		NY-Sun	13,860
	3/20/2020	<200KW PV, NY-Sun	51,730
		>200KW PV, NY-Sun	79,200
		NY-Sun	26,730



## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Bright Power, Inc.	3/23/2020	<200KW PV, NY-Sun	25,740
		NY-Sun	25,740
	3/24/2020	<200KW PV, NY-Sun	25,000
		>200KW PV, NY-Sun	31,500
	3/25/2020	<200KW PV, NY-Sun	14,685
NY-Sun		14,685	
Broadalbin-Perth CSD	3/10/2020	K-12 SCHOOLS, P12GC-4_Broadalbin-Perth CSD_E	33,750
Brooklyn SolarWorks LLC	11/6/2019	>200KW PV, PON 2112 NY SUN	12,155
	11/14/2019	>200KW PV, PON 2112 NY SUN	6,993
	11/25/2019	>200KW PV, PON 2112 NY SUN	8,658
	12/19/2019	>200KW PV, PON 2112 NY SUN	5,772
	1/16/2020	>200KW PV, PON 2112 NY SUN	8,880
Broome County	1/7/2020	Clean Energy Communities, CEC011267-Broome Cnty	150,000
BTMI Engineering, PC	1/31/2020	OREC: Technical Support, Large-Scale Renewables	10,000
Buckeye Terminals, LLC	11/25/2019	FUEL NY, Upstate NY Strategic Fuels Res	2,686,000
Buffalo Geothermal Heating	12/18/2019	Geothermal Incentive Program, Large-Scale GSHP Rebate	18,504
Buffalo Renewables, Inc.	1/9/2020	Small Wind, Wind Turbine Incentive	47,700
		Small Wind, WWind Turbine Incentive	87,150
	2/6/2020	Small Wind, Wind Turbine Incentive	230,400
Buffalo Solar Solutions Inc	10/7/2019	<200KW PV, PON 2112 NY SUN	8,330
	10/22/2019	<200KW PV, NY-Sun	32,760
		ESTOR:Retail Storage Incentive, Energy Storage	32,250
	10/23/2019	<200KW PV, PON 2112 NY SUN	7,854
	11/18/2019	<200KW PV, PON 2112 NY SUN	8,750
	11/27/2019	<200KW PV, PON 2112 NY SUN	238
	1/3/2020	<200KW PV, PON 2112 NY SUN	6,426
	3/20/2020	<200KW PV, PON 2112 NY SUN	6,986
Build Edison LLC	10/17/2019	OTHER PROGRAM AREA, Innovation Advisors	40,000
Buselli Plumbing & Heating	11/7/2019	<200KW PV, PON 2112 NY SUN	8,649
C-Action LLC	1/30/2020	Air Source Heat Pumps, Contract with Tauris Tech	50,000
C. Kenneth Inports	1/6/2020	Industrial Process Effic, Industrial Process Efficiency	70,150
C.J. Brown Energy, P.C.	12/9/2019	Advancing Ag Enrgy Technologie, AAET - Tech Review - CJ Br..	9,320
C&S Engineers, Inc.	2/10/2020	Flexible Tech Assistance, FT12290 - Lockheed - FTC	81,714
	2/21/2020	REV Campus Challenge, FT13036 - 432 Western - FTC	7,263
	3/16/2020	REV Campus Challenge, FT13048 - Maria College - FTC	23,317
Cablevision of Southern Westchester, I..	3/12/2020	Fuel Cells, Fuel Cell Incentive - FC-042	1,000,000
Cairo NY 1, LLC	3/26/2020	>200KW PV, NY-Sun C&I	496,776
		NY-SUN, NY-Sun C&I	876,663
Campus West, LLC	11/13/2019	New Construction- Housing, 2019 LRNCP	168,000
CannonDesign	10/10/2019	REV Campus Challenge, RFP3628FlexTechConsultUmbrella	13,700
Capital for Communities, LLC	10/7/2019	NEW YORK GREEN BANK, Green Bank	25,000
Carahsoft Technology Corporation	10/1/2019	EVALUATION, Qualtrics Software Renewal	61,221
	10/9/2019	EVALUATION, Qualtrics Software Renewal	5,921
	1/22/2020	Salesforce cloud	1,405,719
Carbon Lighthouse	11/21/2019	Real Time Enrgy Management, CL-Multisite-RTEM	800,000
Caroline Hazard	10/4/2019	NYCH: Comfort Home, Heat Pump Ready Participation	10,000
	3/23/2020	NYCH: Comfort Home, Heat Pump Ready Participation	40,000
Cayuga / Onondaga BOCES	12/30/2019	Flexible Tech Assistance, FT12254 - Cayuga BOCES - PON	21,400
Cayuga Country Homes	3/11/2020	New Construction- Housing, 2019 LRNCP	6,800
Cayuga Milk Ingredients	1/21/2020	Industrial Process Effic, Industrial Process Efficiency	356,262
CBP 441 Ninth Avenue Owner, LLC	12/30/2019	Commercial New Construc, SF106912 - 441 Ninth Avenue	488,362
CDS Monarch Inc	1/3/2020	New Construction- Housing, 2019 LRNCP	46,000
	1/21/2020	New Construction- Housing, 2019 LRNCP	46,000
	1/27/2020	New Construction- Housing, 2019 LRNCP	57,000
CEC Stuyvesant Cove, Inc.	10/30/2019	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	4,896
Center for Sustainable Energy	11/8/2019	OTHER PROGRAM AREA, Centralized Services & Support	149,219

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount	
CES Danbury Solar, LLC	11/4/2019	<200KW PV, PON 2112 NY SUN	7,500	
	12/10/2019	>200KW PV, PON 2112 NY SUN	135,090	
	2/12/2020	>200KW PV, PON 2112 NY SUN	111,715	
CHA Consulting Inc.	10/11/2019	On-Site Energy Manager, Staff Augmentation Services	132,542	
	11/4/2019	Industrial Process Effic, IPE16249	9,901	
	11/6/2019	Flexible Tech Assistance, FT12234-Lydall-68 George-FTC	7,695	
		Industrial Process Effic, Technical Review and Program S	46,500	
	1/15/2020	Industrial Process Effic, IPE16259	16,775	
	1/17/2020	Flexible Tech Assistance, FT12295 - HVCC - CHP	147,270	
	1/28/2020	On-Site Energy Manager, Outreach Support	75,000	
Chautauqua County	11/26/2019	Clean Energy Communities, CEC111465 Chautauqua Co	150,000	
Chenango 1 Solar, LLC	1/22/2020	>200KW PV, NY-Sun C&I	1,737,513	
Christopher Alan Hunter	3/3/2020	Green Bank	50,000	
Christopher Community, Inc.	12/10/2019	New Construction- Housing, 2019 LRNCP	25,000	
	1/3/2020	New Construction- Housing, 2019 LRNCP	63,000	
CIR ELECTRICAL CONSTRUCTION CORP.	10/1/2019	<200KW PV, PON 2112 NY SUN	5,198	
	10/2/2019	<200KW PV, PON 2112 NY SUN	5,187	
	10/7/2019	<200KW PV, PON 2112 NY SUN	5,460	
	11/4/2019	<200KW PV, PON 2112 NY SUN	5,460	
	11/19/2019	<200KW PV, PON 2112 NY SUN	308,669	
	11/21/2019	<200KW PV, PON 2112 NY SUN	8,750	
	12/20/2019	<200KW PV, PON 2112 NY SUN	3,822	
	1/21/2020	<200KW PV, PON 2112 NY SUN	5,544	
	2/4/2020	<200KW PV, PON 2112 NY SUN	4,500	
	3/10/2020	<200KW PV, PON 2112 NY SUN	5,460	
Citadel SPV LLC	12/5/2019	Green Bank	52,500	
	3/12/2020	Executed Services Agreement	80,000	
Citigroup Technology, Inc.	12/19/2019	Flexible Tech Assistance, FT12294 - 390 Greenwich - CHP	92,500	
	2/3/2020	EXISTING FACILITIES, DMP Bonus - EFP2465 -CitiGroup	555,598	
Citistaffing, LLC	10/19/2019	NEW YORK GREEN BANK, TS.008 - NYGB Office Admin	2,000	
	11/13/2019	NEW YORK GREEN BANK, TS.008 - NYGB Office Admin	6,500	
	12/11/2019	NEW YORK GREEN BANK, TS.008 - NYGB Office Admin	6,000	
	3/31/2020	NEW YORK GREEN BANK, TS.008 - NYGB Office Admin	3,867	
City of Middletown	12/23/2019	Flexible Tech Assistance, FT12264 - Middletwn WWTP - PON	36,147	
City of Rochester	12/4/2019	Electric Vehicles - Innovation, City of Rochester EV Carshare	310,000	
City of Saratoga Springs, NY	12/5/2019	Clean Energy Communities, Communities & Local Government	50,000	
City Parks Foundation	11/7/2019	GREENING THE BRONX, Efficiency Planning & Engineer	92,171	
Clarkson University	2/6/2020	High Performing Grid, Offshore Wind Interconn Study	400,000	
Clean Energy States Alliance	3/18/2020	Community RH&C, Contract with CESA for CH&C Ca	17,000	
Clean Power Research	1/16/2020	Electric Vehicles - Innovation, 2020 WattPlan license	18,000	
CleanFiber LLC	3/26/2020	76 West, 76West Clean Energy Bus. Comp	250,000	
CLEAResult Consulting, Inc.	11/25/2019	Home Energy Ratings, TWO #13 - SFR	20,000	
		Home Perf w Energy Star, TWO #13 - SFR	5,000	
	12/13/2019	EMPOWER NY, Technical Support SFR	20,000	
		Healthy Homes VB Payment Pilot, Technical Support SFR	40,000	
		Home Perf w Energy Star, Technical Support SFR	2,349,405	
		Technical Support SFR	806,525	
		ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Ce..	2,331	
	12/27/2019	Centralized Services & Support	520,975	
		EMPOWER NY, Centralized Services & Support	2,331	
		Healthy Homes VB Payment Pilot, Centralized Services & Supp..	20,000	
		Home Perf w Energy Star, Centralized Services & Support	1,304,575	
		HOME PERFORMANCE WITH ENERGY STAR, Centralized Se..	1,065	
		2/3/2020	GJGNY Market Rate Audits, TWO #13 - SFR	641,274
		Home Energy Ratings, TWO #13 - SFR	160,319	
	3/27/2020	Multifam Performance Pgm, Centralized Services & Support	123,118	

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Clifton Park Solar 1, LLC	1/31/2020	>200KW PV, NY-Sun C&I	1,874,340
Clifton Park Solar 2, LLC	1/31/2020	>200KW PV, NY-Sun C&I	747,630
Climate Change & Environmental	10/29/2019	Commercial Real Estate Ten, CCES - 110 E. 42nd St	6,260
	11/18/2019	Commercial Real Estate Ten, CCES - Multisite	18,455
	1/17/2020	Commercial Real Estate Ten, CCES-129-09 26thAve-Multi-CTP	38,009
	2/3/2020	Commercial Real Estate Ten, CCES - 801 2nd Avenue	8,160
	2/4/2020	Commercial Real Estate Ten, CCES - Multisite	43,620
	2/14/2020	Commercial Real Estate Ten, CCES - 88 Pine Street FL3	8,025
		Commercial Real Estate Ten, CCES - Multisite (14)	63,160
CMC Energy Services, Inc	1/16/2020	Consumer Ed and Market Support, Conduct HVAC Roundtables	50,000
CNY Solar, Inc.	10/16/2019	<200KW PV, PON 2112 NY SUN	5,915
	12/20/2019	<200KW PV, PON 2112 NY SUN	254
Code Green Solutions, Inc.	10/22/2019	Commercial Real Estate Ten, CodeGreen-11 Madison Ave	5,000
	10/29/2019	Commercial Real Estate Ten, CodeGreen - 2 Penn Plaza	31,038
	11/14/2019	Flexible Tech Assistance, FT12269 - 1211 6th - FTC	15,000
	2/24/2020	Flexible Tech Assistance, FT12284 - 2 Penn Plaza - FTC	26,000
	2/26/2020	Commercial Real Estate Ten, CodeGreen - 535 Madison Avenue	5,000
Columbia University	12/20/2019	Environmental Research, Climate Info Needs Assessment	49,910
	2/26/2020	OTHER PROGRAM AREA, On-Site Power	649,281
Commercial Investigations LLC	2/4/2020	NYSERDA ADMINISTRATION, Background Checks	10,000
Community Preservation Corp.	3/4/2020	New Construction- Housing, Carbon Neutral Summit	35,000
CON EDISON SOLUTIONS, INC.	10/21/2019	ESTOR:Retail Storage Incentive, Retail Storage	3,000,000
	11/27/2019	<200KW PV, NY-Sun	652,344
	1/15/2020	>200KW PV, NY-Sun C&I	255,984
		NY-SUN, NY-Sun C&I	451,737
	1/23/2020	<200KW PV, NY-Sun	323,280
	1/27/2020	<200KW PV, NY-Sun	656,964
	1/30/2020	>200KW PV, NY-Sun C&I	511,969
		NY-SUN, NY-Sun C&I	1,204,631
Consensus Building Institute, Inc.	2/13/2020	REC:CES REC System Dev Costs, Large-Scale Renewables	49,884
Consortium for Energy Efficiency, Inc.	10/21/2019	Consumer Ed and Market Support, CEE Lighting Homes For To..	12,000
	11/1/2019	EVALUATION, 2019 NYS Consumer Awrnss Study	5,080
Consumerbase LLC	1/2/2020	Eval MCDC Cross Cutting, Email Addresses for Study	14,177
Converge Strategies, LLC	10/11/2019	High Performing Grid, FutureGrid Summit Facilitation	48,800
	1/23/2020	High Performing Grid, Climate Resilience	49,129
Convergent Energy and Power LP	12/18/2019	ESTOR:Retail Storage Incentive, Retail Storage	1,875,000
	1/6/2020	ESTOR:Retail Storage Incentive, Retail Storage	6,750,000
	3/13/2020	>200KW PV, NY Sun	2,284,256
CopperTree Analytics Ltd	11/5/2019	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	535,924
Corelle Brands LLC	1/3/2020	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effic..	254,938
Corelogic, Inc.	1/31/2020	Informat. Products & Brokering, RFQL 3711 CoreLogic Bldg Da..	132,405
Cornell Cooperative Extension - Tompkins	12/20/2019	OTHER PROGRAM AREA, CEEP Southern Tier Region (CCE	100,000
	2/5/2020	OTHER PROGRAM AREA, CEEP Southern Tier Region (CCE	50,000
Cornell University	11/5/2019	OTHER PROGRAM AREA, 2019 Cornell Sponsorship	5,000
	12/9/2019	Industrial Process Effic, Industrial Process Efficiency	49,445
	1/7/2020	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech P..	1,000,000
	1/14/2020	OTHER PROGRAM AREA, 76West TWO 31	85,637
	1/21/2020	OTHER PROGRAM AREA, 70333 TWO 32	905,999
	2/14/2020	REV Campus Challenge, RM30A - Cornell University	9,692
Cornerstone Energy Services	11/14/2019	Renewable Heat NY, Cornerstone - Monks-Kelly	15,750
	1/23/2020	Renewable Heat NY, Cornerstone - Meissner	23,310
	1/27/2020	Renewable Heat NY, Cornerstone - Sullivan	7,000
Cortex Building Intelligence, Inc.	12/12/2019	Real Time Enrgy Management, CBI - 529 5th Ave - RTEM	23,660
		Real Time Enrgy Management, CBI - 600 Madison Ave - RTEM	5,587
	1/9/2020	Real Time Enrgy Management, CBI - 140 E 45th St - RTEM	60,697
	1/30/2020	Real Time Enrgy Management, CBI- 1411 Broadway - RTEM	63,658

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Cortex Building Intelligence, Inc.	3/4/2020	Real Time Enrgy Management, CBI - 111 W 40th St - RTEM	21,000
	3/26/2020	Real Time Enrgy Management, CBI - 441 9th Ave - RTEM	29,400
		Real Time Enrgy Management, CBI - 885 2nd Ave - RTEM	64,519
Cream Street Solar, LLC	10/22/2019	NY-SUN, NY Sun	1,135,296
Croton Energy Group, Inc.	10/16/2019	<200KW PV, PON 2112 NY SUN	18,889
Crown Castle Fiber LLC	2/12/2020	NYSERDA ADMINISTRATION, Primary WAN Circuit NYGB	64,512
Cryomech	12/16/2019	Industrial Process Effic, Industrial Process Efficiency	24,437
CTG:I LLC	1/14/2020	OTHER PROGRAM AREA, CTG i3Connect subscription	8,500
	2/5/2020	OTHER PROGRAM AREA, CTG i3Connect subscription	425
CubeSmart TRS Inc	1/22/2020	>200KW PV, NY-Sun	30,340
Currier Plastics	1/22/2020	Industrial Process Effic, Industrial Process Efficiency	163,069
Cutone & Company Consultants, LLC	11/18/2019	Commercial Real Estate Ten, LC Assoc- 2700 Westchester Ave	10,215
	12/6/2019	Commercial Real Estate Ten, LC Assoc - 2500 Westchester Av	11,918
	12/20/2019	Commercial Real Estate Ten, LCA-GH ManagementMultisite-C..	25,295
	2/19/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
Cypress Creek Renewables LLC	10/24/2019	ESTOR:Retail Storage Incentive, Retail Storage	814,000
	10/28/2019	ESTOR:Retail Storage Incentive, Retail Storage	1,628,000
	3/26/2020	>200KW PV, NY Sun	1,200,227
D.K. & S Enterprises Inc	1/2/2020	NY-SUN, 2019 2GW Solar Press Event	14,915
Dailey Electric Inc	2/19/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
Dandelion Energy Inc	10/21/2019	Talent Pipeline:CE and OJT, OJT HIRE	7,040
	11/19/2019	Talent Pipeline:CE and OJT, OJT HIRE	7,040
Darling Advertising Agency Inc.	10/4/2019	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	27,000
	10/16/2019	Off-Shore Wind Pre-Dev Act, Marketing Support for NYSERDA	158,677
Daroga Power LLC	1/24/2020	Fuel Cells, Fuel Cell Incentive - FC-030	500,000
		Fuel Cells, Fuel Cell Incentive FC-028 IL	500,000
David Energy Systems, Inc.	3/4/2020	Real Time Enrgy Management, DavidEnergy-228 E 45th St-RT..	23,010
David Homes, Inc.	1/3/2020	New Construction- Housing, 2019 LRNCP	19,950
Davies Office Refurbishing, Inc.	2/12/2020	Furniture	5,323
Davis Polk & Wardwell LLP	11/14/2019	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	2,700
	12/16/2019	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	4,840
DealCloud Inc.	3/30/2020	NEW YORK GREEN BANK, DealCloud Licensing	2,355
Delaware River Solar, LLC	10/25/2019	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	22,362,290
	11/21/2019	>200KW PV, NY-Sun C&I	393,984
	11/25/2019	>200KW PV, NY-Sun C&I	1,275,264
	12/18/2019	>200KW PV, NY-Sun C&I	1,378,944
	1/6/2020	>200KW PV, NY Sun CI Payee Assignment	2,131,920
	1/10/2020	>200KW PV, NY Sun	2,232,576
		>200KW PV, NY Sun CI Payee Assignment	902,880
	1/24/2020	>200KW PV, NY Sun CI Assignment	1,268,731
		>200KW PV, NY-Sun CI Assignment	330,654
		>200KW PV, NYSun CI Assignment	1,006,020
	1/30/2020	>200KW PV, NY Sun	1,200,010
2/27/2020	>200KW PV, NY Sun	1,116,288	
2/28/2020	>200KW PV, NY-Sun C&I	3,663,478	
Dell, Inc.	10/29/2019	NYSERDA ADMINISTRATION, 25 Dell Desktops	16,937
	11/14/2019	NYSERDA ADMINISTRATION, DELL Desktops - 25 Order 2	16,937
	2/12/2020	NYSERDA ADMINISTRATION, Dell - Precision Workstations	7,295
	3/4/2020	NYSERDA ADMINISTRATION, DELL - Wyse 50 Thin Clients	17,378
Delta Connects, Inc.	2/27/2020	Real Time Enrgy Management, Delta - 55 Water St - RTEM	420,885
	3/24/2020	Real Time Enrgy Management, Delta - 148 W 90 St - RTEM	37,027
Delta Dental of New York	12/20/2019	NYSERDA ADMINISTRATION, Delta Dental Premiums 2020-202	675,000
DePaul Properties, Inc.	12/23/2019	New Construction- Housing, 2019 LRNCP	108,000
	12/27/2019	New Construction- Housing, 2019 LRNCP	56,000
DG New York CS, LLC	12/6/2019	ESTOR:Retail Storage Incentive, Retail Storage	5,400,000
	12/18/2019	>200KW PV, NY Sun	1,275,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
DG New York CS, LLC	12/18/2019	ESTOR:Retail Storage Incentive, Retail Storage	3,750,000
	12/20/2019	ESTOR:Retail Storage Incentive, Retail Storage	1,875,000
	1/6/2020	ESTOR:Retail Storage Incentive, Retail Storage	1,250,000
	1/29/2020	>200KW PV, NY Sun	789,434
	3/26/2020	>200KW PV, NY Sun	2,550,000
DG Northeast 1 LLC	3/5/2020	>200KW PV, NY Sun	221,850
DIBD NYC Inc.	10/28/2019	OTHER PROGRAM AREA, 2019 Climate Leadership Forum	6,346
	2/26/2020	Cleantech ICC Engage, Circular City Week Sponsorship	10,000
Digital Energy Corp	3/10/2020	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage ..	450,000
Digital Realty Trust	3/4/2020	Industrial Process Effic, Industrial Process Efficiency	337,606
DiLernia Marine Services, Inc	12/27/2019	OREC: Technical Support, OSW Fisheries Liaison	300,000
Dillon Klepetar	10/16/2019	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech P..	28,864
Dimension Energy LLC	11/25/2019	>200KW PV, NY-Sun	2,384,280
	1/6/2020	ESTOR:Retail Storage Incentive, Retail Storage	1,109,125
	2/14/2020	>200KW PV, NY Sun	566,100
Dimitri House, Inc.	1/15/2020	New Construction- Housing, 2019 LRNCP	6,000
DMV EQUITY, INC.	10/15/2019	<200KW PV, PON 2112 NY SUN	5,740
DNV GL Energy Insights USA Inc.	10/15/2019	Commercial Real Estate Ten, TWO 8 CEF Comm Impact_DNV	112,777
		K-12 SCHOOLS, TWO 8 CEF Comm Impact_DNV	122,277
		REV Campus Challenge, TWO 8 CEF Comm Impact_DNV	137,946
	11/6/2019	Clean Energy Communities, TWO 9 - CEC	727,961
	12/6/2019	EVALUATION, RFQ 3183 KEMA, Inc	24,342
	2/10/2020	EVALUATION, TWO 7 - T&MD 2014-18 Impact Ev	16,597
	2/27/2020	ENERGY ANALYSIS, TWO#1 OSW Resource Planning	300,000
		OREC: Technical Support, TWO#1 OSW Resource Planning	500,000
DNV GL Energy USA, Inc.	1/17/2020	High Performing Grid, Backfeed Control Testing	300,000
Dodge Data & Analytics	3/3/2020	Code to Zero, Business Intelligence Subscrip	12,245
		Eval MCDC Cross Cutting, Business Intelligence Subscrip	34,430
Doherty Electric, LLC	3/20/2020	<200KW PV, PON 2112 NY SUN	8,190
	3/24/2020	<200KW PV, PON 2112 NY SUN	15,795
Dollaride, Inc.	11/25/2019	Cleantech Ignition, PON 3871 Ignition Grants	98,130
Dolomite Products Group, Inc.	12/19/2019	Industrial Process Effic, Industrial Process Efficiency	85,200
Douglas R Jarvis	2/26/2020	<200KW PV, PON 2112 NY SUN	5,082
Dowd-Witbeck Printing Corp.	1/13/2020	NYSERDA ADMINISTRATION, Printing and mailing services	11,848
DRYDEN-TOMPKINS SOLAR II LLC	2/26/2020	>200KW PV, NY-Sun C&I	2,510,123
Dual Fuel Corp	10/16/2019	Real Time Enrgy Management, Dual Fuel-1710 Avenue H-RTEM	27,375
	10/18/2019	Real Time Enrgy Management, DF - 569 W 173rd St - RTEM	21,900
	11/5/2019	Real Time Enrgy Management, DF - 1-13 Greenridge Av - RTEM	19,950
	11/13/2019	Real Time Enrgy Management, DF - 450 W 147th Street - RTEM	34,800
	3/10/2020	Real Time Enrgy Management, DF- 819 E 173 St - RTEM	43,800
DuMond Grains	12/27/2019	Industrial Process Effic, Industrial Process Efficiency	41,200
Dynamo Energy Hub	2/7/2020	Cleantech ICC Engage, support the growth of the clea	50,000
E Source Companies LLC	2/19/2020	Subscription/Data Access, Market Insights	63,000
Earth Sensitive Solutions, LLC	12/10/2019	Geothermal Incentive Program, Large-Scale GSHP Rebate	256,200
	3/9/2020	Geothermal Incentive Program, Large-Scale GSHP Rebate	331,200
East River Solar, LLC	1/22/2020	>200KW PV, NY-Sun C&I	883,593
Eastern Research Group, Inc.	2/11/2020	ENERGY ANALYSIS, TWO #1 CLCPA GHG	254,142
EC Infosystems, Inc.	2/25/2020	EDI Vendor, EC Infosys - EDI Processing	181,300
Ecology & Environment, Inc.	1/27/2020	Environmental Research, ENV & Fisheries Rsrch for OSW	500,000
Ecology and Environment Engineering	11/26/2019	OREC: Technical Support, TWO#19 SEIS for CLCPA	172,241
		REC:CES REC System Dev Costs, TWO#19 SEIS for CLCPA	73,817
Ecosave, Inc.	10/3/2019	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	750,000
Ecovis, Inc.	1/16/2020	<200KW PV, PON 2112 NY SUN	7,487
Eden Devco Borrower, LLC	11/8/2019	NY Green Bank, EdenDevco	2,500,000
	3/31/2020	NY Green Bank, EdenDevco Upsize	1,800,000
Eden Renewables, LLC	11/22/2019	ESTOR:Retail Storage Incentive, Retail Storage	7,074,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Edison Energy, LLC	3/21/2020	K-12 SCHOOLS, FlexTech Consultant Selection	502,175
Eiger 3970 Consultants Inc.	10/15/2019	<200KW PV, PON 2112 NY SUN	20,743
	10/23/2019	<200KW PV, PON 2112 NY SUN	235
	11/12/2019	<200KW PV, PON 2112 NY SUN	5,292
	1/6/2020	<200KW PV, PON 2112 NY SUN	8,547
Electric Power Research Institute	10/28/2019	Environmental Research, Energy Related Air Quality	42,000
Elmbrook Solar, LLC	10/21/2019	>200KW PV, NY Sun	1,498,728
ELP Saugerties Solar LLC	10/22/2019	NY-SUN, NY Sun	1,199,016
Embertec USA, LLC	11/15/2019	Market Tests, Purchase 390 Tier 2 APS	15,207
EMCOR Services Betlem	2/5/2020	Technical Services, AGG1008-EMCOR Services Betlem	50,000
EME Consulting Engineering Group, LLC	10/1/2019	Talent Pipeline:CE and OJT, OJT HIRE	28,460
	12/18/2019	Flexible Tech Assistance, FT12267 -Barnard College- FTC	30,000
	1/10/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	1/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,461
	2/24/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Empire Solar Solutions LLC	11/25/2019	<200KW PV, PON 2112 NY SUN	6,064
	12/4/2019	<200KW PV, PON 2112 NY SUN	11,088
	12/23/2019	<200KW PV, PON 2112 NY SUN	5,427
	1/14/2020	<200KW PV, PON 2112 NY SUN	5,513
	1/16/2020	<200KW PV, PON 2112 NY SUN	8,750
	1/30/2020	<200KW PV, PON 2112 NY SUN	8,750
	2/6/2020	<200KW PV, PON 2112 NY SUN	8,677
	3/3/2020	<200KW PV, PON 2112 NY SUN	6,720
	3/9/2020	<200KW PV, PON 2112 NY SUN	5,159
	3/16/2020	<200KW PV, PON 2112 NY SUN	5,460
	3/27/2020	<200KW PV, PON 2112 NY SUN	6,832
Empire Wind	10/28/2019	OREC:OffShore Wind-1st solicit, Large-Scale Renewables	3,600,000,000
Employee Leasing of Greater NY	12/17/2019	NYSERDA ADMINISTRATION, Temp TWO	33,000
Empower CES, LLC	10/3/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/7/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/7/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/12/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/9/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/30/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/13/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/16/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/21/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/11/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/18/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
Eneractive Solutions	12/5/2019	Flexible Tech Assistance, FT12281 - Schwartz - FTC	22,950
		Flexible Tech Assistance, FT12282 - Main Campus - FTC	101,380
Enercon Services Inc	12/31/2019	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3305 Licenc..	30,000
Energetic Insurance, Inc.	11/5/2019	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	500,000
Energy & Resource Solutions, Inc.	10/15/2019	Commercial Real Estate Ten, TWO 5 CEF Comm Impact_ERS	255,211
		K-12 SCHOOLS, TWO 5 CEF Comm Impact_ERS	301
		REV Campus Challenge, TWO 5 CEF Comm Impact_ERS	168,488
	11/1/2019	Campus/Technical Assistance, Concierge Services - ERS - TWO	50,000
		Electric Vehicles - Innovation, Concierge Services - ERS - TWO	25,000
		Industrial Process Effic, Concierge Services - ERS - TWO	25,000
		Multifam Performance Pgm, Concierge Services - ERS - TWO	25,000
		On-Site Energy Manager, Concierge Services - ERS - TWO	25,000
		Real Time Enrgy Management, Concierge Services - ERS - TWO	50,000
		Technical Services, Concierge Services - ERS - TWO	50,000
	12/6/2019	Air Source Heat Pumps, TWO 6 - Performance Monitoring	508,018
		EVALUATION, TWO 6 - Performance Monitoring	112,893
		Geothermal Incentive Program, TWO 6 - Performance Monitoring	508,018

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Energy & Resource Solutions, Inc.	12/9/2019	REV Campus Challenge, Efficiency Planning & Engineer	230,000
		Technical Services, AEAP	2,500
	12/20/2019	Industrial Process Effic, IPE16241	6,935
	1/9/2020	Rmve Barriers Dist Enrgy Storg, FT Energy Storage ERS - TWO	25,000
	1/28/2020	On-Site Energy Manager, Industrial & Agriculture	75,000
	2/3/2020	Technical Services, AEAP	3,137
	2/12/2020	EXISTING FACILITIES, Technical Review and Program S	2,808
	2/13/2020	Commercial Real Estate Ten, Efficiency Planning & Engineer	100,000
	2/26/2020	Technical Services, Cannabis - TWO - ERS	50,000
Energy and Environmental Economics Inc.	10/3/2019	New Construction- Commercial, TWO 20 NZE Road Map - 2019	50,000
		New Construction- Housing, TWO 20 NZE Road Map - 2019	50,000
	10/18/2019	EVALUATION, TWO #17 Heat Pump Analysis	50,000
	11/18/2019	Mkt Char: Tech Assist, TWO# 14 - Grid Value Model	41,000
	2/24/2020	ENERGY ANALYSIS, 101127 TWO#14	26,810
		OTHER PROGRAM AREA, 101127 TWO#14	80,000
		REC:CES REC System Dev Costs, 101127 TWO#14	100,000
	3/11/2020	ENERGY ANALYSIS, TWO#21 - NG Avoided Cost Tool	150,000
3/19/2020	ENERGY ANALYSIS, TWO#22 Bldg. Elec. Roadmap	250,000	
Energy Conservation & Supply, Inc.	3/4/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Energy Improvement Corporation	10/7/2019	Clean Energy Communities, EIC PACE financing program	500,000
	3/21/2020	Clean Energy Communities, EIC PACE financing program	2,190,000
Energy Technology Savings, Inc.	10/31/2019	Real Time Enrgy Management, ETS-90-15 Queens-RTEM	166,377
Energy Vision	12/16/2019	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech P..	878,400
Enertiv Inc.	12/17/2019	Real Time Enrgy Management, Enertiv - 700 8th Ave - RTEM	8,684
	12/18/2019	Real Time Enrgy Management, Enertiv-Sibley 250 E Main-RTEM	17,056
	1/16/2020	Real Time Enrgy Management, Enertiv - Multisite - RTEM	30,509
ENGIE North America Inc.	1/14/2020	<200KW PV, PON 2112 NY SUN	250,614
ENNOVEA, LLC	3/19/2020	Industrial Process Effic, Industrial Process Efficiency	23,082
Ensava, Inc.	10/9/2019	Advancing Ag Enrgy Technologie, Advancing Ag Energy Tech P..	142,719
	1/29/2020	Technical Services, Agricultural Best Practices	148,398
Episcopal Senior Housing Penfield LLC	1/30/2020	New Construction- Housing, 2019 LRNCP	17,100
EPR Properties	1/10/2020	NEW CONSTRUCTION PROGRAM, NCP13170 - Adelaar Hote..	220,000
Erdman Anthony & Associates, Inc.	10/21/2019	Commercial New Construc, Commerical New Construction	33,962
	12/27/2019	Technical Services, AEAP	2,500
	1/7/2020	Commercial New Construc, Commercial New Construction	55,125
	2/3/2020	Technical Services, AEAP	3,500
	3/4/2020	Commercial New Construc, Commercial New Construction	64,894
Erie County	11/22/2019	CLEANER GREENER COMMUNITIES, CGC - Erie County	1,500,000
ESNY-JFK-PLDB LLC	12/24/2019	>200KW PV, NY-Sun	419,832
ESNY-PLD-BRONX LLC	1/16/2020	>200KW PV, NY-Sun	391,356
ESNY-PLD-JFKA, LLC	12/24/2019	>200KW PV, NY-Sun	373,716
ESNY-PLD-JFKC, LLC	12/24/2019	>200KW PV, NY-Sun	347,004
ESNY-PLD-JFKD, LLC	12/24/2019	>200KW PV, NY-Sun	603,288
ESNY-SFSHPN, LLC	11/4/2019	>200KW PV, NY-Sun	288,450
ESS Group, Inc.	2/6/2020	Off-Shore Wind Pre-Dev Act, TWO3 GG Review	13,104
Essense Partners Inc.	10/31/2019	Electric Vehicles - Innovation, Marketing Support for NYSERDA	550,000
	3/6/2020	OTHER PROGRAM AREA, Marketing Support for NYSERDA	237,500
	3/31/2020	OTHER PROGRAM AREA, Marketing Support for NYSERDA	150,000
Extraterrestrial Materials Inc.	10/3/2019	<200KW PV, PON 2112 NY SUN	5,544
	10/8/2019	<200KW PV, PON 2112 NY SUN	8,547
	1/6/2020	<200KW PV, PON 2112 NY SUN	5,494
	1/21/2020	<200KW PV, PON 2112 NY SUN	10,260
	2/6/2020	<200KW PV, NY-Sun	5,494
	2/26/2020	<200KW PV, PON 2112 NY SUN	42,768
	3/31/2020	<200KW PV, PON 2112 NY SUN	12,096
Faraday, Inc.	11/5/2019	Community RH&C, RFP3761 Customer Targeting Too	170,000

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Faraday, Inc.	11/5/2019	Informat. Products & Brokering, RFP3761 Customer Targeting T..	30,000
Federated Conservationists of Westche..	3/5/2020	OREC: Technical Support, West. Youth Climate Summit	5,000
Finch Paper, LLC	2/10/2020	Industrial Process Effic, Industrial Process Efficiency	500,000
	2/26/2020	Industrial Process Effic, Industrial Process Efficiency	137,199
Finger Lakes United Cerebral Palsy, Inc	10/29/2019	New Construction- Housing, 2019 LRNCP	30,000
First Quality Maintenance II, LLC	3/31/2020	NYSERDA ADMINISTRATION, Janitorial Services - NYC 19th	107,988
First Republic Corp of America	11/6/2019	Home Perf w Energy Star, 2019 NY Res Home Reg Training	1,185
First Ward Action Council, Inc.	1/16/2020	New Construction- Housing, 2019 LRNCP	27,000
Florenton River LLC	11/25/2019	<200KW PV, PON 2112 NY SUN	5,661
	1/29/2020	<200KW PV, PON 2112 NY SUN	5,738
	3/20/2020	<200KW PV, PON 2112 NY SUN	5,644
Forbes-Capretto Homes	11/21/2019	Low Rise New Construction, 2019 LRNCP	8,550
	1/22/2020	Low Rise New Construction, 2019 LRNCP	6,650
	1/24/2020	New Construction- Housing, 2019 LRNCP	5,700
ForeFront Power, LLC	10/28/2019	ESTOR:Retail Storage Incentive, Retail Storage	2,000,000
	11/22/2019	ESTOR:Retail Storage Incentive, Retail Storage	2,000,000
	1/30/2020	>200KW PV, NY Sun	1,049,963
Four Points Group, Inc.	3/23/2020	OTHER PROGRAM AREA, RFQL 3685 R2	150,000
Fourth Coast, Inc.	10/24/2019	<200KW PV, PON 2112 NY SUN	5,292
	12/23/2019	<200KW PV, PON 2112 NY SUN	22,239
	2/4/2020	<200KW PV, PON 2112 NY SUN	5,387
	3/24/2020	<200KW PV, PON 2112 NY SUN	66,623
Franklin, County of	3/10/2020	Clean Energy Communities, CEC711060 - Franklin County	150,000
Fred F. Collis & Sons, Inc.	12/27/2019	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	3/11/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
Frederick A Proven	11/5/2019	<200KW PV, PON 2112 NY SUN	17,388
	3/24/2020	<200KW PV, PON 2112 NY SUN	8,910
Frontier Energy, Inc.	10/4/2019	Industrial Process Effic, IPE16163	6,000
	10/17/2019	ENERGY ANALYSIS, TWO - Heat Pump Analysis	22,000
	11/13/2019	Air Source Heat Pumps, TWO - ASHP Pro Forma	47,000
	12/23/2019	Industrial Process Effic, IPE16254	18,490
	2/12/2020	Geothermal Incentive Program, Technical Review_Prgm Support	48,000
	3/10/2020	ENERGY ANALYSIS, TWO - Heat Pump Analysis	27,750
Fuller Road Management Corporation	11/12/2019	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	435,585
	12/13/2019	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	201,910
Fulton Friendship Housing Developmen..	1/28/2020	New Construction- Housing, 2019 LRNCP	58,400
Fusion Energy Services LLC	11/18/2019	<200KW PV, PON 2112 NY SUN	8,750
G.W. Ehrhart, Inc.	11/14/2019	Renewable Heat NY, Ehrhart - Bass	21,000
	12/16/2019	Renewable Heat NY, Ehrhart - Redman	21,000
Gardeau Crest Farm	2/27/2020	Anaerobic Digesters, PON 3739 CAT C	15,000
Garlock Sealing Technologies, LLC	12/13/2019	Industrial Process Effic, Industrial Process Efficiency	9,822
Garnet Energy Center LLC	3/31/2020	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	234,144,030
GDS Associates, Inc.	2/18/2020	Technical Services, Agricultural Best Practices	95,547
General Electric International Inc	10/21/2019	>200KW PV, NY-Sun C&I	1,281,119
		ESTOR:Retail Storage Incentive, NY-Sun C&I	2,500,001
General Electric International, Inc.	11/27/2019	ENERGY ANALYSIS, TWO 2 2019 T&D Reliability Upd	49,900
Generate Capital Inc.	12/18/2019	>200KW PV, NY-Sun	529,932
	12/24/2019	>200KW PV, NY-Sun	313,788
	12/30/2019	>200KW PV, NY-Sun	244,110
	1/8/2020	<200KW PV, NY-Sun	135,864
		>200KW PV, NY-Sun	350,760
	1/9/2020	>200KW PV, NY-Sun	91,008
	1/13/2020	>200KW PV, NY-Sun	309,522
	1/21/2020	>200KW PV, NY-Sun	181,152
Generate NY Community Solar I, LLC	11/5/2019	>200KW PV, NY-Sun C&I	926,896



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Generate NY Community Solar I, LLC	12/4/2019	>200KW PV, NY-Sun C&I	1,068,064
Generate NY Community Solar Lessor II, L	12/3/2019	>200KW PV, NY Sun Assignment	529,046
		>200KW PV, NY Sun CI Assignment	529,046
		>200KW PV, NY-Sun C&I Assignment	1,172,567
		>200KW PV, NY-Sun Full/Payee Assignment	932,129
	12/9/2019	>200KW PV, NY Sun CI Assignment	1,212,397
	12/27/2019	>200KW PV, NYSun CI Assignment	845,093
Generate PPL SPV I, LLC	12/5/2019	NY Green Bank, Generate Capital - 2	35,000,000
George E Denmark II	10/28/2019	<200KW PV, PON 2112 NY SUN	13,997
	11/12/2019	<200KW PV, PON 2112 NY SUN	126
George J. Martin & Son	11/5/2019	<200KW PV, PON 2112 NY SUN	335,340
Georgetown Climate Center	10/16/2019	ENERGY ANALYSIS, TCI cap-and-invest analysis	250,000
Glenwood Management Corp	2/3/2020	EXISTING FACILITIES, DMP Bonus - EFP2308 - Glenwood	203,196
Global Change Associates Inc.	1/30/2020	Cleantech ICC Engage, 2020 Wall Street Green Summit	5,000
Global Common, LLC	10/25/2019	Anaerobic Digesters, PON 3739 CAT C	15,000
	10/29/2019	Anaerobic Digesters, PON 3739 CAT C	15,000
Global Dwelling, LLC	10/3/2019	Talent Pipeline:CE and OJT, OJT HIRE	7,200
	10/17/2019	Talent Pipeline:CE and OJT, OJT HIRE	6,154
	12/18/2019	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	12/27/2019	Talent Pipeline:CE and OJT, OJT Hire	5,120
	2/13/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,154
Goldman Copeland Associates, P.C.	10/1/2019	Commercial Real Estate Ten, G&C Associates - 40 Fulton St	5,000
		Commercial Real Estate Ten, G&C Associates - 280 Park Ave	5,000
	10/4/2019	Rmve Barriers Dist Enrgy Storg, FT12244-1 Dag Hammarskjold..	11,995
	10/7/2019	Commercial Real Estate Ten, GCA - 909 3rd Ave Alix FI 28	5,000
	10/11/2019	Commercial Real Estate Ten, GCA - 909 3rd Ave (SVC)	5,000
	10/22/2019	Commercial Real Estate Ten, GCA - 1 Penn Plaza	22,435
		Commercial Real Estate Ten, GCA - 423 West 55th St FI 6-12	5,000
	10/29/2019	Technical Services, AGG1005 - Goldman&Copeland - 2	50,000
	11/18/2019	Commercial Real Estate Ten, GCA - 1400 Broadway 21st Floor	9,990
	11/20/2019	Commercial Real Estate Ten, GCA-1400 Broadway	5,997
	11/21/2019	Commercial Real Estate Ten, GCA-60 E 42nd FI27	5,998
		Commercial Real Estate Ten, GCA-60 E 42nd FI42	5,998
		Commercial Real Estate Ten, GCA-250 W57th	5,997
	11/27/2019	Commercial Real Estate Ten, Goldman&Copeland-600 Madison	9,000
	12/6/2019	Technical Services, AGG1006 - GoCo - Portfolio 3	50,000
		Technical Services, AGG1007 - GoCo - Portfolio 4	50,000
	12/9/2019	Flexible Tech Assistance, FT12275 - Cushman - FTC	11,985
	12/12/2019	Commercial Real Estate Ten, Goldman Copeland-330MadisonA..	10,997
	12/19/2019	Commercial Real Estate Ten, Goldman Copeland - 909 3rd Ave	10,997
	12/20/2019	Commercial Real Estate Ten, GCA - 111 W 33rd 14th FI	5,998
		Commercial Real Estate Ten, GCA - 111 W 33rd St 20th FI	5,998
		Commercial Real Estate Ten, Goldman Copela-1 Penn Plaza-CT	10,997
		Commercial Real Estate Ten, Goldman Copeland-2 Penn Pla-CT	10,997
		Commercial Real Estate Ten, Goldman Copeland-100 W 33rd-..	10,997
		Commercial Real Estate Ten, Goldman Copeland-150 E 58th-CT	10,997
		Commercial Real Estate Ten, Goldman Copeland-510 5th Av-CT	10,997
		Commercial Real Estate Ten, Goldman Copeland-1290 AoA-CT	10,997
Commercial Real Estate Ten, Goldman-280 Park Ave-CT		10,997	
Commercial Real Estate Ten, GoldmanCopeland-33-00 N Blv-CT		10,997	
12/23/2019		Commercial Real Estate Ten, Goldman Copeland-40 Fulton-CT	10,997
		Commercial Real Estate Ten, Goldman Copeland-90 Park Av-CT	10,997
		Commercial Real Estate Ten, Goldman Copeland-888 7th Av-CT	10,997
1/14/2020		Commercial Real Estate Ten, GCA-SLGreen-MultiSites(25)-CTP	124,890
	Commercial Real Estate Ten, Goldman Copeland-1 Park Ave-CT	10,997	
	Commercial Real Estate Ten, Goldman&Copeland-595 Madison	10,997	

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Goldman Copeland Associates, P.C.	1/15/2020	Commercial Real Estate Ten, Goldman Copeland-350 Park A-CT	10,997
	1/30/2020	Technical Services, FT13010 - 40 Fulton - FTC	5,496
		Technical Services, FT13011 - 350 Park - FTC	5,496
	3/6/2020	Commercial Real Estate Ten, Goldman&Copeland-505 Park Ave	10,997
	3/9/2020	Technical Services, FT13003 - 1466 Manor - FTC	16,488
	3/23/2020	Commercial Real Estate Ten, GCA - 250 W 57th Street 24FL	5,997
Commercial Real Estate Ten, GCA - 1350 Broadway		5,000	
Green Eagle Solar VI, LLC	12/13/2019	>200KW PV, NY Sun CI Assignment	882,728
	12/27/2019	>200KW PV, NY-Sun C&I	5,273,465
	3/3/2020	>200KW PV, NY-Sun	884,396
Green Hybrid Energy Solutions Inc.	10/23/2019	<200KW PV, PON 2112 NY SUN	8,190
	1/8/2020	<200KW PV, PON 2112 NY SUN	168
		>200KW PV, PON 2112 NY SUN	32,448
	1/15/2020	<200KW PV, PON 2112 NY SUN	3,276
	1/27/2020	>200KW PV, PON 2112 NY SUN	28,080
	3/6/2020	<200KW PV, PON 2112 NY SUN	5,000
	3/24/2020	>200KW PV, PON 2112 NY SUN	28,800
Green Machine Equipment Inc	3/4/2020	ESTOR:Retail Storage Incentive, Retail Storage	70,500
Green Team USA, LLC	12/27/2019	WORKFORCE DEVELOPMENT, OJT HIRE	10,240
	1/15/2020	WORKFORCE DEVELOPMENT, OJT HIRE	5,120
	1/17/2020	WORKFORCE DEVELOPMENT, OJT HIRE	13,600
	1/27/2020	WORKFORCE DEVELOPMENT, OJT HIRE	6,400
	3/4/2020	WORKFORCE DEVELOPMENT, OJT HIRE	5,760
Green Volt Solutions LLC	1/16/2020	<200KW PV, PON 2112 NY SUN	14,040
GreenBiz Group, Inc.	10/22/2019	OTHER PROGRAM AREA, Verge 2019	7,500
GreenLogic, LLC	1/15/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
Greenpac Mill, LLC	2/18/2020	On-Site Energy Manager, OsEM15 - Greenpac Mill	33,143
Greentech Media Inc.	10/21/2019	NY-SUN, NY-Sun	26,000
Grid City Electric Corp	10/16/2019	>200KW PV, PON 2112 NY SUN	21,021
	12/4/2019	>200KW PV, PON 2112 NY SUN	22,638
	12/5/2019	>200KW PV, PON 2112 NY SUN	6,930
	12/24/2019	<200KW PV, PON 2112 NY SUN	16,170
	12/30/2019	>200KW PV, PON 2112 NY SUN	112,266
	1/6/2020	>200KW PV, PON 2112 NY SUN	100,716
	1/8/2020	>200KW PV, PON 2112 NY SUN	22,176
	1/13/2020	>200KW PV, PON 2112 NY SUN	160,545
	1/21/2020	<200KW PV, NY-Sun	8,760
>200KW PV, NY-Sun		13,140	
GridPoint, Inc	11/5/2019	Real Time Enrgy Management, Dos Toros - Multi Sites - RTEM	11,804
Group-S LLC	10/10/2019	Flexible Tech Assistance, FT12265 - AST Financial - FTC	9,250
	12/18/2019	Flexible Tech Assistance, FT12280 - 3611 14th - FTC	15,500
	1/16/2020	Real Time Enrgy Management, Group-S - 333 E 69 St - RTEM	37,230
Guidehouse Inc.	3/25/2020	NEW YORK GREEN BANK, TWO #2 - Bulk Storage	45,000
	3/30/2020	NEW YORK GREEN BANK, TWO #1 - Price Forecast	250,000
Guth Deconzo Consulting Engineers	3/27/2020	REV Campus Challenge, RM40 - SUNY New Paltz	114,475
GZA GeoEnvironmental of New York	3/30/2020	WEST VALLEY DEVELOPMENT PROGRAM, Trench 14 Investi..	58,650
H.E.L.P Development Corp.	10/22/2019	New Construction- Housing, 2019 MFCNP	805,000
	12/30/2019	New Construction- Housing, 2019 MFCNP	263,505
	1/27/2020	New Construction- Housing, 2019 MFCNP	300,000
Halcyon, Inc.	11/19/2019	<200KW PV, PON 2112 NY SUN	5,600
	11/26/2019	<200KW PV, PON 2112 NY SUN	5,040
HALO Branded Solutions, Inc.	10/2/2019	POLICY DEVELOPMENT, DPS 2019 NYS Fair giveaways	41,998
	10/31/2019	POLICY DEVELOPMENT, DPS 2019 NYS Fair giveaways	18,338
Hamilton College	11/8/2019	REV Campus Challenge, RM31-Hamilton College	154,000
Hamlin Solar 1, LLC	1/31/2020	>200KW PV, NY-Sun C&I	1,626,885
Harris Beach PLLC	10/8/2019	SARATOGA TECHNOLOGY & ENERGY PARK, RFP 3300 Out..	20,000

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Harris Wiltshire & Grannis LLP	10/17/2019	Rmve Barriers Dist Enrgy Storg, Cluster Study Tariff Research	6,000
	1/8/2020	OREC: Technical Support, RFP3776 Outside Counsel Servic	60,000
	1/17/2020	NYSERDA ADMINISTRATION, Outside Counsel for Resource A	75,000
	3/17/2020	REC:CES REC System Dev Costs, CES 2.0 Support	250,000
	3/27/2020	REC:CES REC System Dev Costs, 2020 RES Agreement Supp..	49,950
	3/31/2020	OREC: Technical Support, RFP3776 Outside Counsel Servic	220,000
Harvest Power, LLC	11/6/2019	<200KW PV, NY-Sun	5,200
		>200KW PV, NY-Sun	7,800
	12/4/2019	<200KW PV, NY-Sun	89,246
		>200KW PV, NY-Sun	134,613
	12/23/2019	<200KW PV, NY-Sun	34,712
		>200KW PV, NY-Sun	52,068
	12/31/2019	<200KW PV, NY-Sun	2,340
		>200KW PV, NY-Sun	3,510
	1/9/2020	<200KW PV, NY-Sun	91,506
		>200KW PV, NY-Sun	137,259
1/13/2020	<200KW PV, NY-Sun	36,112	
	>200KW PV, NY-Sun	54,168	
Health Research, Inc.	1/22/2020	Healthy Homes VB Payment Pilot, NYS HH VBP Pilot Health Im..	2,943,654
Healthy Home Energy & Consulting, Inc.	1/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,880
Heat Keepers, Inc.	10/18/2019	Talent Pipeline:CE and OJT, OJT HIRE JEROR	5,120
	12/12/2019	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	3/4/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
Helix Partners, LLC	10/3/2019	Industrial Process Effic, Industrial Process Efficiency	236,950
Herkimer Affordable Housing	10/16/2019	Low Rise New Construction, 2019 LRNCP	48,000
	10/17/2019	Low Rise New Construction, 2019 LRNCP	15,000
High Falls Operating Co, LLC	1/24/2020	Industrial Process Effic, Industrial Process Efficiency	100,007
High Hawk Owner LLC	10/17/2019	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,310
High Peaks Solar	10/17/2019	<200KW PV, PON 2112 NY SUN	5,850
	3/2/2020	Talent Pipeline:CE and OJT, OJT HIRE	11,040
Highland DG LLC	3/5/2020	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	9,900,000
HK Property Monticello LLC	12/30/2019	Commercial New Construc, SF158447 - HK Property Montice	7,355
Hodgson Russ LLP	3/31/2020	NYSERDA ADMINISTRATION, RFP 3300 & RFP 3776 Outside ..	15,000
Holland & Knight LLP	12/9/2019	Commercial Real Estate Ten, Green Bank Outside Legal Serv.	33,727
	12/11/2019	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	141,284
	12/20/2019	Green Bank Outside Legal Serv.	150,000
	3/5/2020	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	44,373
		RFP 12 - NYGB Legal Services	81,335
Home Leasing, LLC	1/24/2020	New Construction- Housing, 2019 LRNCP	116,200
	1/27/2020	New Construction- Housing, 2019 LRNCP	62,000
	2/24/2020	New Construction- Housing, 2019 LRNCP	82,800
Honeywell International Inc.	3/25/2020	Healthy Homes VB Payment Pilot, Technical Assurance	20,000
		NYCH: Comfort Home, Technical Assurance	28,000
Hope Solar Farm, LLC	10/21/2019	>200KW PV, NY Sun C&I	942,474
Houlihan Lokey Financial Advisors, Inc.	11/21/2019	Green Bank	25,000
Housing Visions Consultants, Inc.	1/21/2020	New Construction- Housing, 2019 LRNCP	56,600
	3/26/2020	New Construction- Housing, 2019 LRNCP	21,000
HUB Controls USA Inc	1/27/2020	Cleantech Ignition, PON 3871 Ignition Grants	47,605
Hudson HK LLC	2/26/2020	New Construction- Housing, 2019 MFCNP	300,000
Hudson River Trading	10/7/2019	Industrial Process Effic, Industrial Process Efficiency	151,544
	11/19/2019	Industrial Process Effic, Industrial Process Efficiency	161,563
Hudson Valley Clean Energy Inc.	10/17/2019	<200KW PV, PON 2112 NY SUN	17,820
	10/28/2019	<200KW PV, PON 2112 NY SUN	5,758
	11/14/2019	<200KW PV, PON 2112 NY SUN	7,900
	11/25/2019	<200KW PV, PON 2112 NY SUN	11,880
	11/26/2019	<200KW PV, PON 2112 NY SUN	5,292

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Hudson Valley Clean Energy Inc.	12/4/2019	<200KW PV, PON 2112 NY SUN	14,508
	12/5/2019	<200KW PV, PON 2112 NY SUN	32,400
	2/27/2020	<200KW PV, PON 2112 NY SUN	14,753
	3/3/2020	<200KW PV, PON 2112 NY SUN	6,860
	3/9/2020	<200KW PV, PON 2112 NY SUN	12,250
	3/24/2020	<200KW PV, PON 2112 NY SUN	9,362
	3/25/2020	<200KW PV, PON 2112 NY SUN	30,929
Hudson Valley Community College	10/15/2019	Talent Pipeline:CE and OJT, PON3981 Round 3	226,212
Hudson Valley Wind Energy, LLC	1/22/2020	<200KW PV, PON 2112 NY SUN	8,750
Huhtamaki, Inc.	12/31/2019	Industrial Process Effic, Industrial Process Efficiency	166,010
Huron Real Estate Associates, LLC	2/25/2020	On-Site Energy Manager, OsEM5-I Huron Campus	4,429
HyperGen Inc	10/31/2019	NYSERDA ADMINISTRATION, PeopleSoft Support Services	2,000,000
Ibero-American Development Corp	12/23/2019	New Construction- Housing, 2019 LRNCP	36,000
	3/9/2020	New Construction- Housing, 2019 LRNCP	55,600
IBM - East Fishkill Site	1/17/2020	Technical Services, FT13000 - IBM 2455 South - PON	29,750
ICE Data, LP	3/26/2020	ENERGY ANALYSIS, Data & Markets	20,220
ICF Resources, LLC	10/9/2019	Campus/Technical Assistance, Natural Gas Constrained Area	464,663
	12/27/2019	ENERGY ANALYSIS, RFQL 3685 - Flexergy 3.0	150,000
	2/20/2020	ENERGY ANALYSIS, TWO #4 - Statewide NG Study	200,000
	3/3/2020	Combined Heat and Power, TWO #5 - RNG Potential	156,863
		Environmental Research, TWO #5 - RNG Potential	39,216
	3/18/2020	ENERGY ANALYSIS, Tech Assist, REV Pool	60,000
	OREC: Technical Support, Tech Assist, REV Pool	60,000	
	3/20/2020	ENERGY ANALYSIS, TWO #4 - Statewide NG Study	100,000
ICONICS, Inc.	3/18/2020	Real Time Enrgy Management, ICONICS - Multisite - RTEM	97,136
IESI NY Corporation	10/7/2019	NYSERDA ADMINISTRATION, Trash Removal for the 19th Fl	7,830
IHS Global Inc.	1/31/2020	ENERGY ANALYSIS, PointLogic Gas Service Subscri	20,000
	3/30/2020	FUEL NY, OPIS Rack Price Subscription	9,324
IKEA	10/30/2019	Flexible Tech Assistance, FT12030 - IKEA Brooklyn - PON	4,755
Illume Advising LLC	2/28/2020	Home Perf w Energy Star, Analysis Support for NYSERDA	50,000
Impact by Design Inc.	1/24/2020	Low-Income Forum on Energy, Facilitation Support NYSERDA	49,500
Inclusive Fund I, LLC	3/18/2020	NY Green Bank, Inclusive Prosperity Capital	25,000,000
Indeed Inc.	10/8/2019	NYSERDA ADMINISTRATION, Job Postings	19,500
Industrial Economics, Incorporated	11/18/2019	Mkt Char: Tech Assist, TWO 1 EE Supply Curve Analysis	49,000
	1/13/2020	NYSERDA ADMINISTRATION, Research of Indian Point Purch	5,000
	1/17/2020	EVALUATION, TWO 1 Grid Moderniz Case Study	4,843
		High Performing Grid, TWO 1 Grid Moderniz Case Study	4,843
	3/10/2020	NYSERDA ADMINISTRATION, Research of Indian Point Purch	10,000
	3/30/2020	Environmental Research, TWO#4 Climate Econ. Impact	99,949
INF Associates LLC	10/11/2019	Commercial Real Estate Ten, INF Associates-Multisite	50,591
	10/22/2019	Commercial Real Estate Ten, INF-Multisites (1345 AoA)	100,000
	11/18/2019	Commercial Real Estate Ten, INF - 333 East 70th Street	5,000
	12/10/2019	Commercial Real Estate Ten, INF-1745BroadwayMultisite-CTP	10,000
	2/4/2020	Commercial Real Estate Ten, INF - 299 Park Ave FL 18,19	5,000
		Commercial Real Estate Ten, INF Associates LLC - Multisite	23,155
	2/10/2020	Commercial Real Estate Ten, INF Associates LLC - Multisite	43,757
Infinity Solar Systems, LLC	1/16/2020	<200KW PV, PON 2112 NY SUN	5,460
	3/11/2020	<200KW PV, PON 2112 NY SUN	7,350
Institute for Building Technology and Sa	10/7/2019	<200KW PV, TWO No. 7 NY-Sun C&I QA TWO	39,340
		COMMUNITY SOLAR, TWO No. 7 NY-Sun C&I QA TWO	9,835
		NY-SUN, TWO No. 7 NY-Sun C&I QA TWO	300,825
InStream, LLC	2/11/2020	microfilm reader/scanner	9,645
		WEST VALLEY DEVELOPMENT PROGRAM, microfilm reader/..	300
InTech Energy, Inc.	2/20/2020	Real Time Enrgy Management, IE-2619 Francis Lewis Blv-RTEM	36,745
	3/6/2020	Real Time Enrgy Management, InTech - 3755 Broadway - RTEM	50,976
Integral Building & Design, Inc.	12/17/2019	Talent Pipeline:CE and OJT, OJT HIRE	9,230

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Integrity Solar Solutions, LLC	11/7/2019	<200KW PV, PON 2112 NY SUN	5,394
Intralinks, Inc.	2/20/2020	NEW YORK GREEN BANK, 3PC VDR Services	2,250
Investors Circle	1/2/2020	Cleantech ICC Engage, 2020 Investor Circle Sponsor	40,000
Irving Community LLC	11/18/2019	New Construction- Housing, 2019 LRNCP	25,000
	11/21/2019	New Construction- Housing, 2019 LRNCP	30,000
J Synergy Green Inc	2/6/2020	WORKFORCE DEVELOPMENT, OJT HIRE	12,000
	2/14/2020	WORKFORCE DEVELOPMENT, OJT HIRE	5,760
Jaros, Baum & Bolles	11/18/2019	Flexible Tech Assistance, FT12274 - 80 Pine - FTC	14,217
	1/17/2020	Flexible Tech Assistance, FT12286 - 3 Times Square - FTC	22,250
	2/11/2020	Technical Services, FT13001 - NYS Exchange - FTC	22,250
	2/12/2020	Flexible Tech Assistance, FT12287 - 6 MetroTech - FTC	47,388
	2/14/2020	Commercial Real Estate Ten, JBB-80 Pine St Fl 12-CTP	15,041
JC Solutions LLC	1/30/2020	Nat'l OffShWind R&D Consortium, Natl Offshore Wind R&D	550,000
		Natl Offshore Wind R&D	550,000
JDC Energy Services, LLC	3/18/2020	ENERGY STORAGE, Retail Storage	448,750
Johnson Controls Inc.	11/21/2019	Real Time Enrgy Management, JC-Multisite-RTEM	678,967
Jones Lang LaSalle Americas, Inc.	12/3/2019	Flexible Tech Assistance, FT12273 - IBM 2455 South - PON	85,979
	12/18/2019	Real Time Enrgy Management, JLL - Multisite - RTEM	233,220
	3/6/2020	Commercial Real Estate Ten, JLL Americas, Inc-Multisite	5,000
Joule Capital, LLC	2/5/2020	Real Time Enrgy Management, JC LLC - 97 Lake Ave - RTEM	24,791
JouleSmart Solutions, Inc.	10/2/2019	Real Time Enrgy Management, RTEM Gas Mini-Bid Contract	209,810
JPMorgan Chase Bank National Associ..	1/8/2020	NYSERDA ADMINISTRATION, Depository Banking Services	140,790
Juniper Time Owner, LLC	11/22/2019	NEW CONSTRUCTION PROGRAM, NCP12321 - NYLO Hotel	106,396
Kamtech Restoration Corp	1/23/2020	<200KW PV, PON 2112 NY SUN	14,271
Kasselman Solar LLC	10/3/2019	<200KW PV, PON 2112 NY SUN	6,048
	10/4/2019	<200KW PV, PON 2112 NY SUN	2,880
	10/7/2019	<200KW PV, PON 2112 NY SUN	12,996
	10/23/2019	<200KW PV, PON 2112 NY SUN	7,472
	10/29/2019	<200KW PV, PON 2112 NY SUN	14,209
	10/30/2019	<200KW PV, PON 2112 NY SUN	12,599
	11/1/2019	<200KW PV, PON 2112 NY SUN	8,750
	11/4/2019	<200KW PV, PON 2112 NY SUN	12,658
	11/6/2019	<200KW PV, PON 2112 NY SUN	16,200
	11/12/2019	<200KW PV, PON 2112 NY SUN	13,500
	11/14/2019	<200KW PV, NY-Sun	7,600
		<200KW PV, PON 2112 NY SUN	34,200
	11/15/2019	<200KW PV, PON 2112 NY SUN	5,040
	11/27/2019	<200KW PV, PON 2112 NY SUN	5,023
	12/4/2019	<200KW PV, NY-Sun	7,904
	12/5/2019	<200KW PV, PON 2112 NY SUN	6,918
	12/19/2019	<200KW PV, PON 2112 NY SUN	22,140
	12/30/2019	<200KW PV, NY-Sun	5,472
		<200KW PV, PON 2112 NY SUN	15,840
	12/31/2019	<200KW PV, PON 2112 NY SUN	83
	1/6/2020	<200KW PV, PON 2112 NY SUN	5,635
	1/16/2020	<200KW PV, NY-Sun	5,776
		<200KW PV, PON 2112 NY SUN	9,855
	1/17/2020	<200KW PV, PON 2112 NY SUN	9,315
	1/21/2020	<200KW PV, NY-Sun	7,904
	1/22/2020	<200KW PV, NY-Sun	8,604
	1/23/2020	<200KW PV, NY-Sun	5,472
	1/28/2020	<200KW PV, PON 2112 NY SUN	117
	2/10/2020	<200KW PV, PON 2112 NY SUN	13,113
	2/11/2020	<200KW PV, NY-Sun	8,406
	2/27/2020	<200KW PV, NY-Sun	6,688
	3/6/2020	<200KW PV, PON 2112 NY SUN	1,660

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Kasselman Solar LLC	3/17/2020	<200KW PV, PON 2112 NY SUN	8,750
	3/19/2020	<200KW PV, NY-Sun	6,992
	3/20/2020	<200KW PV, NY-Sun	3,447
	3/24/2020	<200KW PV, NY-Sun	7,904
Katherine MacDonald	11/19/2019	OTHER PROGRAM AREA, Tech to Market Assessment	11,150
Kawi Energy Group Corp.	11/5/2019	Commercial Real Estate Ten, Kawi Energy Group - Multisite	23,436
	12/9/2019	Commercial Real Estate Ten, Kawi Energy-69 E 167th St-CTP	8,978
	3/3/2020	Commercial Real Estate Ten, Kawi Energy Group - Multisite	36,022
Kelliher Samets Volk	11/4/2019	Consumer Awareness, KSV TWO 30 Consumer Awareness	2,803,610
		NYSERDA ADMINISTRATION, KSV TWO 30 Consumer Aware..	2,473,290
	12/10/2019	ESTOR:Consumer Education, KSV TWO 31 Energy Storage	31,940
	12/18/2019	Home Perf w Energy Star, KSV TWO 32 LMI Website Hub	300,000
	2/7/2020	Marketing Support for NYSERDA	125,000
Key Capture Energy, LLC	12/18/2019	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	26,650,000
	1/22/2020	ESTOR:Bulk Storage Incentive, Bulk Storage Incentive	8,800,000
Kilowatt Engineering, Inc.	10/28/2019	Industrial Process Effic, Industrial Process Efficiency	42,781
	1/21/2020	Industrial Process Effic, IPE16252	28,777
		Industrial Process Effic, IPE16253	24,978
		Industrial Process Effic, IPE16256	15,292
		Industrial Process Effic, IPE16258	26,600
		Industrial Process Effic, IPE16261	15,000
		Industrial Process Effic, IPE16264	18,267
		Industrial Process Effic, IPE16265	25,000
		2/10/2020	Industrial Process Effic, IPE16255
	2/12/2020	Industrial Process Effic, IPE16257	26,600
		Industrial Process Effic, IPE16260	15,000
		Industrial Process Effic, IPE16262	13,650
	3/9/2020	Industrial Process Effic, IPE16263	12,717
		Industrial Process Effic, 2621 Umbrella Contract	6,200
	Kinderhook AD1, LLC	11/19/2019	Combined Heat and Power, CHPA - Kinderhook AD1
L&S Energy Services, Inc.	10/2/2019	ANAEROBIC DIGESTER, ADG - L&S - TWO	43,000
		Combined Heat and Power, ADG - L&S - TWO	43,000
	10/4/2019	Industrial Process Effic, Umbrella Contract	7,350
	10/8/2019	Industrial Process Effic, Umbrella Contract	5,229
	12/13/2019	Commercial New Construc, Commercial New Construction	175,150
	1/9/2020	Campus/Technical Assistance, L&S Technical Review - TWO	32,500
		Flexible Tech Assistance, L&S Technical Review - TWO	75,689
		K-12 SCHOOLS, L&S Technical Review - TWO	33,179
		REV Campus Challenge, L&S Technical Review - TWO	12,000
	2/18/2020	Technical Services, L&S Technical Review - TWO	200,658
REV Campus Challenge, RM43 - Paul Smith's College		52,590	
La Central Manager II LLC	3/18/2020	New Construction- Housing, 2019 MFCNP	472,400
LaBella Associates, P.C.	10/28/2019	Rmve Barriers Dist Enrgy Storg, FT12257 - Tompkins County Jail	9,631
	11/18/2019	Flexible Tech Assistance, FT12278 - 3 Pultney - FTC	60,000
	2/14/2020	Geothermal Incentive Program, Large-Scale GSHP Rebate	848,000
	2/20/2020	Geothermal Incentive Program, Large-Scale GSHP Rebate	152,000
Lakeview Mental Health Services, Inc.	10/23/2019	New Construction- Housing, 2019 LRNCP	56,000
LastMile Energy, LLC	12/3/2019	>200KW PV, PON 2112 NY SUN	44,319
Level Agency for Infrastructure, LLC	2/28/2020	CI Carbon Challenge, C&I Carbon Challenge Insight	50,000
Levitan & Associates, Inc.	3/12/2020	OREC: Technical Support, Large-Scale Renewables	831,000
LG Broadway Management Inc	12/27/2019	NEW CONSTRUCTION PROGRAM, NCP13138 - Virgin Broad..	295,315
Libolt & Sons, Inc.	1/21/2020	Talent Pipeline:CE and OJT, OJT HIRE	15,360
	2/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	15,360
Lime Hollow Solar, LLC	1/22/2020	>200KW PV, NY-Sun C&I	751,994
Lincoln Life & Annuity Company of NY	3/30/2020	NYSERDA ADMINISTRATION, Long Term Disability Premium	738
Linde, LLC	10/4/2019	Industrial Process Effic, Industrial Process Efficiency	141,399

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Livolt Cogen LLC	1/8/2020	Combined Heat and Power, CHPA-730 E 236th St	8,616
		Combined Heat and Power, CHPA-2206 Holland Ave	8,616
		Combined Heat and Power, CHPA-2418 Olinville Ave	8,616
		Combined Heat and Power, CHPA-4138 Barnes Ave, Bronx	8,616
	3/4/2020	Combined Heat and Power, CHPA-45 Tehama Street	8,616
	3/6/2020	Combined Heat and Power, CHPA-2630 Ocean Ave, Brooklyn	8,616
	3/10/2020	Combined Heat and Power, CHPA-1985 Ocean Ave, Brooklyn	8,616
Lodestar Energy	11/20/2019	>200KW PV, NY Sun	983,008
	1/10/2020	>200KW PV, NY Sun	969,129
	1/30/2020	>200KW PV, NY Sun	1,275,000
Long Island Power Solutions	1/16/2020	<200KW PV, PON 2112 NY SUN	3,105
	3/3/2020	<200KW PV, PON 2112 NY SUN	2,070
Low-Level Radioactive Waste Forum, In..	1/7/2020	NYSERDA ADMINISTRATION, Data & Markets	5,000
Lower Road II LLC	1/29/2020	>200KW PV, NY Sun	511,877
Lower Road III LLC	1/29/2020	>200KW PV, NY Sun	511,877
Luminate, LLC	12/12/2019	Outside Technical and Eng. Srv	9,282
	3/26/2020	Outside Technical and Eng. Srv	3,039
M/E Engineering, P.C.	10/11/2019	Commercial New Construc, Commercial New Construction	64,725
	10/21/2019	Commercial New Construc, New Construction	56,925
	12/11/2019	Flexible Tech Assistance, FT12268 - PRI - FTC	5,214
	12/13/2019	Commercial New Construc, Commercial New Construction	65,200
	12/19/2019	Commercial Real Estate Ten, M/E Eng- 720 Warner Road	5,000
Maalka Inc	1/31/2020	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Maifly Development LLC	10/16/2019	Low Rise New Construction, 2019 LRNCP	23,900
Maine-Endwell Central School District	2/19/2020	>200KW PV, NY Sun	680,192
Malcarne Contracting, Inc.	1/10/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,230
	2/11/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	2/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Mamerck Solutions LLC	11/12/2019	NEW YORK GREEN BANK, Green Bank	50,000
	2/3/2020	NEW YORK GREEN BANK, Green Bank	10,000
Manifold Robotics, Inc.	2/4/2020	High Performing Grid, PON4074 High Perfrm Grid Prgr	250,000
Marshall & Sterling, Inc.	3/25/2020	NYSERDA ADMINISTRATION, RFP 4301 Insurance	246,745
Martin J. Wolff	11/18/2019	Pub Transit & Elect Rail, Magnetic rail propulsion study	125,000
Mayfair Housing, LLC	2/26/2020	New Construction- Housing, 2019 LRNCP	64,400
McLean Solar 1, LLC	1/22/2020	>200KW PV, NY-Sun C&I	883,593
McMahon and Mann Consulting Engineers	10/3/2019	WEST VALLEY DEVELOPMENT PROGRAM, TWO #5 - Catch ..	20,000
	3/26/2020	WEST VALLEY DEVELOPMENT PROGRAM, TWO 2 - Evaluati..	40,000
Meadows Senior Living 2 L.P.	10/29/2019	New Construction- Housing, 2019 LRNCP	81,200
Medusa NY 1 LLC	12/11/2019	>200KW PV, NY-Sun	718,200
Mendelsohn Consulting, Inc.	2/3/2020	NEW YORK GREEN BANK, Green Bank	50,000
MEPT 309 Fifth Avenue LLC	2/14/2020	NEW CONSTRUCTION PROGRAM, NCP10319 - 309 Fifth Ow..	57,042
Messer LLC	11/18/2019	Industrial Process Effic, Industrial Process Efficiency	300,230
	11/25/2019	Industrial Process Effic, Industrial Process Efficiency	1,000,000
Metal Container Corp.	12/19/2019	Industrial Process Effic, Industrial Process Efficiency	84,105
Micatu, Inc.	2/20/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	3/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	3/11/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,120
	3/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,680
Michaels Group Homes, LLC	10/23/2019	Low Rise New Construction, 2019 LRNCP	9,500
	12/11/2019	Low Rise New Construction, 2019 LRNCP	11,400
Mirbeau of Rhinebeck, LLC	11/26/2019	NEW CONSTRUCTION PROGRAM, NCP14036 - Rhinebeck Vi..	36,266
Molecular Glasses, Inc.	12/9/2019	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Monolith Solar Associates, LLC	10/24/2019	<200KW PV, PON 2112 NY SUN	1,944
Morris II Apartments, LP	11/8/2019	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	69,300
Mount Sinai Medical Center	11/20/2019	Technical Services, OSEM34-C - Mount Sinai West	214,000
	11/26/2019	Technical Services, OsEM35 - Mount Sinai St Lukes	214,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Munson Williams Proctor Arts Institute	1/17/2020	Technical Services, OSEM38-C - MWPAI	109,984
MVAH Partners LLC	2/14/2020	New Construction- Housing, 2019 LRNCP	48,000
MVP Consulting Plus, Inc.	10/25/2019	NYSERDA ADMINISTRATION, License Renewal for SAS Statis	10,418
MyPower Corp	12/9/2019	>200KW PV, NY Sun CI Assignment	845,093
	12/27/2019	>200KW PV, NY-Sun Assignment	845,093
MyPower Corp.	1/29/2020	>200KW PV, NY Sun	508,470
Naber Electric Corp	3/3/2020	>200KW PV, NY-Sun	13,584
NASEO	2/11/2020	EVALUATION, USEER Support	50,000
Natale Builders	1/3/2020	New Construction- Housing, 2019 LRNCP	43,200
	2/5/2020	Low Rise New Construction, 2019 LRNCP	16,550
National Renewable Energy Laboratory	2/3/2020	Environmental Research, ENV & Fisheries Rsrch for OSW	500,000
	2/14/2020	Cleantech ICC Engage, 2020 NREL Sponsorship	6,000
National Solar Technologies	10/15/2019	<200KW PV, PON 2112 NY SUN	19,872
Navigant Consulting Inc.	10/17/2019	Environmental Research, TWO #2 Equitable Cooling	350,000
	3/5/2020	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	1,498
	3/17/2020	REV Connect, REV Connect Initiative	1,930,000
NBC Universal Media, LLC	1/7/2020	Real Time Enrgy Management, NBC - 30 Rockefeller PI - RTEM	600,000
NESCAUM	10/9/2019	ENVIRONMENTAL RESEARCH, TWO #7 Comparative Assess..	394,500
	10/29/2019	OTHER PROGRAM AREA, TWO #6 VOCs on Staten Island	397,500
	3/20/2020	ENVIRONMENTAL RESEARCH, TWO #7 LISTOS Air Quality ..	134,500
	3/24/2020	Electric Vehicles - Innovation, Joint EV Mktg Campaign 2020	275,000
	3/27/2020	ENVIRONMENTAL RESEARCH, TWO #8 Wood Analytical	217,000
	3/30/2020	ENVIRONMENTAL RESEARCH, TWO #9 IDC Techology Trans..	100,000
NESEA	3/13/2020	New Construction- Housing, 2020 NESEA ProTours	25,000
Netsparker Limited	11/21/2019	NYSERDA ADMINISTRATION, NetSparker Software - 1 year	6,000
Network Craze Technologies	11/8/2019	NYSERDA ADMINISTRATION, Network Data Center Project	24,920
Network Experts of New York, Inc.	10/24/2019	NYSERDA ADMINISTRATION, Helpdesk Tech. - John Campag..	150,000
	12/5/2019	NYSERDA ADMINISTRATION, WAN Redundancy Prof Services	12,000
	3/27/2020	NYSERDA ADMINISTRATION, WAN Redundancy Prof Services	3,240
New Buildings Institute, Inc.	10/3/2019	New Construction- Commercial, NBI- GTZF REQ4185	37,350
		New Construction- Housing, NBI- GTZF REQ4185	74,650
	10/29/2019	Code to Zero, TWO #3 - Policy Research	85,000
New Energy Nexus New York LLC	12/6/2019	Cleantech POCC, Cleantech Accelerator	6,000,000
New England Solar & Green Solutions, I..	2/27/2020	<200KW PV, NY-Sun	6,080
New York Battery and Energy Storage	11/5/2019	Rmve Barriers Dist Enrgy Storg, TWO #4	135,000
New York Power Authority,	10/18/2019	Electric Vehicles - Innovation, 2019 NY Auto Show	15,000
New York State Solar Farm Inc.	12/4/2019	<200KW PV, PON 2112 NY SUN	5,376
	12/10/2019	<200KW PV, PON 2112 NY SUN	29,707
	12/31/2019	<200KW PV, PON 2112 NY SUN	6,804
	2/26/2020	<200KW PV, PON 2112 NY SUN	6,174
	3/3/2020	<200KW PV, PON 2112 NY SUN	8,288
New York State Weatherization Directors	10/23/2019	Talent Pipeline:CE and OJT, PON3981 Round 3	240,080
New York University	1/16/2020	REV Campus Challenge, RM36-NYU-Stern Business School	94,698
Newburgh Housing Authority	3/17/2020	Technical Services, FT13020 - Newburgh - PON	7,500
Newport Ventures, Inc.	1/17/2020	Code to Zero, TWO2 NYStretch Outreach	50,000
	2/11/2020	Code to Zero, Newport TWO #1 Training	399,809
Nexamp Inc.	10/30/2019	>200KW PV, NY Sun	931,288
	12/6/2019	ESTOR:Retail Storage Incentive, Retail Storage	1,600,000
	1/10/2020	>200KW PV, NY Sun	782,782
Nexant, Incorporated	2/12/2020	EXISTING FACILITIES, Technical Review and Program S	1,361
Next Generation Solar, LLC	1/8/2020	<200KW PV, NY-Sun	8,481
NextCorps Inc	2/27/2020	Cleantech POCC, Cleantech Accelerator	10,000,000
Nickels Energy Solutions LLC	11/4/2019	<200KW PV, PON 2112 NY SUN	5,198
Nixon Peabody LLP	11/12/2019	Green Bank Outside Legal Serv.	22,500
	2/20/2020	NYSERDA ADMINISTRATION, Loan Loss Reserve PON Review	5,000
NMR Group, Inc.	11/18/2019	EVALUATION, RFQ 3183 NMR Group, Inc.	57,552



## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
NMR Group, Inc.	11/18/2019	Home Perf w Energy Star, RFQ 3183 NMR Group, Inc.	29,463
		NEW YORK GREEN BANK, RFQ 3183 NMR Group, Inc.	14,808
	1/30/2020	Eval MCDC Clean Transportation, Clean Transportation Evaluat..	49,895
Noresco LLC	12/13/2019	Commercial New Construc, Commercial New Construction	115,525
	1/14/2020	Commercial New Construc, TWO Commercial NC	10,721
	3/11/2020	Code to Zero, TWO1-ENERGY STAR NYSTRETCH	15,000
Norstar Development USA, LP	11/13/2019	New Construction- Housing, LR NCP - Incentives SF206404	64,800
North American Passive House Network, In	10/15/2019	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	248,579
	2/3/2020	New Construction- Housing, Passive House 2020	16,667
		Retrofit NY, Passive House 2020	8,334
North Branch Services, LLC	1/10/2020	Code to Zero, NYStretch Outreach Circuit Ri	65,000
North Catskill DG LLC	3/5/2020	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	9,900,000
North Side Energy Center, LLC -	3/31/2020	REC: CES REC Contracts, CESRFP1_Tier 1 RECS	176,084,277
Northbrook Lyons Falls, LLC	1/27/2020	REC: CES REC Contracts, Large-Scale Renewables	996,606
Northeast Energy Efficiency Partnerships	12/11/2019	NextGen HVAC, End-Use Load Profiles	49,949
	1/2/2020	Clean Energy Communities, 2019 NEEP Sponsorship	10,000
		Code to Zero, 2019 NEEP Sponsorship	10,000
		NYSERDA ADMINISTRATION, 2019 NEEP Sponsorship	3,600
		On-Site Energy Manager, 2019 NEEP Sponsorship	10,000
Northeast Green Building Consulting, L..	1/17/2020	Code to Zero, TWO#1 NYStretch Outreach	50,000
Novel Approaches Solar Applications, ..	11/19/2019	<200KW PV, PON 2112 NY SUN	7,665
NP Environmental LLC	10/17/2019	Talent Pipeline:CE and OJT, OJT HIRE	8,640
	12/12/2019	Talent Pipeline:CE and OJT, OJT HIRE	9,691
NRP Holdings LLC	1/21/2020	New Construction- Housing, 2019 LRNCP	148,200
NSF Angelica Site 1, LLC	3/13/2020	>200KW PV, NY Sun	1,274,728
NSF Angelica Site 2, LLC	3/13/2020	>200KW PV, NY Sun	1,060,800
NSF Angelica Site 3, LLC	3/13/2020	>200KW PV, NY Sun	1,060,800
NSF Parma Site 2, LLC	10/21/2019	>200KW PV, NY-Sun C&I	1,049,257
		ESTOR: Retail Storage Incentive, NY-Sun C&I	3,749,999
NuWorld Lighting Solutions Inc	2/21/2020	WORKFORCE DEVELOPMENT, OJT HIRE	17,440
	3/12/2020	WORKFORCE DEVELOPMENT, OJT HIRE Christopher McDan..	8,000
NY BIG FLATS I, LLC	10/9/2019	>200KW PV, NY Sun C&I	2,563,354
	11/5/2019	>200KW PV, NY Sun C&I	1,281,677
NY CDG 001 LLC	12/24/2019	>200KW PV, NY-Sun	115,656
NY CDG 002 LLC	1/8/2020	>200KW PV, NY-Sun	200,976
NY CDG 003 LLC	12/24/2019	>200KW PV, NY-Sun	182,490
NY Community Solar (Fund III) Borrowe..	12/27/2019	NY Green Bank, CIT Group	20,000,000
NY Dryden I, LLC	10/9/2019	>200KW PV, NY Sun c&I	1,281,677
NY Horseheads I, LLC	10/9/2019	>200KW PV, NY Sun c&I	1,281,677
NY Horseheads II, LLC	10/9/2019	>200KW PV, NY Sun C&I	1,281,677
NY Newfield IV, LLC	10/9/2019	>200KW PV, Assignment Agreement	1,211,332
		>200KW PV, NY Sun C&I	1,211,332
	11/5/2019	>200KW PV, Assignment Agreement	1,211,332
NYS Economic Development Council	2/18/2020	New Construction- Commercial, General marketing and outreach	10,000
		New Construction- Housing, General marketing and outreach	40,000
NYS Labor Management Cooperation C..	12/13/2019	Talent Pipeline:CE and OJT, PON3981 Round 4	171,180
NYS Office of Information Technology ..	11/8/2019	NYSERDA ADMINISTRATION, Office 365: 4/2019 - 3/2020	140,112
NYS Office of Parks, Recreation and	12/19/2019	<200KW PV, PON 2112 NY SUN	10,323
	2/28/2020	MOU	2,000,000
NYS Olympic Regional Development Au..	3/23/2020	Industrial Process Effic, Industrial Process Efficiency	16,759
NYSDEC	3/26/2020	WEST VALLEY DEVELOPMENT PROGRAM, WV-State Lic's'd ..	450,000
O'Brien & Gere Engineers, Inc.	12/31/2019	New Construction- Commercial, TWO PON 3943 - SF167681	175,000
	3/27/2020	REV Campus Challenge, RM37 - SUNY Morrisville	131,348
O'Connell Electric Company	10/24/2019	ESTOR: Retail Storage Incentive, Retail Storage	84,000
Oak Hill Solar 1, LLC	10/31/2019	>200KW PV, NY Sun	1,498,728
Oak Hill Solar 2, LLC	10/31/2019	>200KW PV, NY Sun	1,498,728

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Oliver Kinross Ltd.	3/3/2020	New Construction- Housing, Exhibit at NYBuild 2020	5,895
Once Again Nut Butter	10/29/2019	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Effici..	28,946
OnForce Solar	2/5/2020	NY-SUN, PV System @ Manhattan Beer Dis	144,203
	3/5/2020	>200KW PV, NY Sun	805,344
Onondaga Community College	1/16/2020	REV Campus Challenge, RM38 - Onondaga Community Coll	62,625
	2/5/2020	Technical Services, OsEM19-C Onondaga Com College	13,546
Oracle America, Inc.	2/14/2020	NYSERDA ADMINISTRATION, Peoplesoft - Oracle 2020 /2021	54,227
Orion Polymer Corp	10/29/2019	Energy Storage Tech/Prod Dev, PON3585 R4 Energy Storage ..	400,000
Otsego County	11/14/2019	Flexible Tech Assistance, FT12210 - Otsego County - PON	13,750
OwnBackup Inc.	11/27/2019	NYSERDA ADMINISTRATION, Ownbackup Archiver, Salesforce	12,931
	12/27/2019	NYSERDA ADMINISTRATION, OwnBackup - Salesforce Backup	15,608
OYA INDEPENDENCE ROAD LLC	3/26/2020	>200KW PV, NY Sun	1,270,441
OYA ROBINSON ROAD LLC	3/5/2020	>200KW PV, NY Sun	1,270,441
PA Consulting Group	12/10/2019	ENERGY ANALYSIS, TWO #1 Enbridge Pipeline Study	35,000
	2/13/2020	ENERGY ANALYSIS, TWO #2 Downstate Research	50,000
	3/11/2020	ENERGY ANALYSIS, TWO #3 Nat. Gas Tech. Support	500,000
Pactiv Corp.	2/10/2020	Industrial Process Effic, Industrial Process Efficiency	82,808
Paradise Energy Solutions, LLC	11/12/2019	<200KW PV, PON 2112 NY SUN	18,191
	2/3/2020	<200KW PV, PON 2112 NY SUN	7,722
	3/23/2020	<200KW PV, PON 2112 NY SUN	31,532
Passive House Institute US	1/23/2020	New Construction- Housing, PHIUS 2020	50,000
Pathfinder Engineers & Architects, LLP	10/21/2019	Commercial New Construc, 2019 CNCP	26,258
	1/31/2020	Commercial New Construc, Commercial New Construction	36,524
	2/6/2020	Commercial New Construc, Commercial New Construction	39,039
Pathstone Corporation	11/18/2019	New Construction- Housing, 2019 LRNCP	70,400
Pathstone Housing Action Corporation	12/11/2019	New Construction- Housing, 2019 LRNCP	63,800
	1/23/2020	New Construction- Housing, 2019 LRNCP	53,600
	3/5/2020	New Construction- Housing, New Construction	70,400
Patriot Energy Solutions Corp	2/3/2020	<200KW PV, NY-Sun	6,000
	3/12/2020	<200KW PV, NY-Sun	6,448
Paul A Bradbury	2/20/2020	POLICY DEVELOPMENT, DPS 2020 giveaways	10,952
PC Learning Centers, Inc.	11/7/2019	OREC: Technical Support, E- and F-TWG meetings OSW	5,000
Penda Aiken Inc.	10/10/2019	NYSERDA ADMINISTRATION, Temporary Receptionist	57,442
Penfield Sq Associates MM LLC.	12/27/2019	New Construction- Housing, 2019 LRNCP	88,400
Pennrose LLC	10/17/2019	Low Rise New Construction, 2019 LRNCP	73,400
Pepsi-Cola Technical Operations, Inc.	11/7/2019	>200KW PV, NY-Sun	141,474
Perdita Flats Development, LLC	12/23/2019	Low Rise New Construction, 2019 LRNCP	6,400
Performance Systems Development	2/27/2020	Code to Zero, PSD TWO #1 Training	1,999,497
Performance Systems Development, Inc.	11/20/2019	Market Tests, TWO 3 - HPR OpenStudio/EPI	292,214
Philip Hopke	11/26/2019	Environmental Research, Health/Reduced Emissions	20,000
PitchBook Data, Inc.	10/15/2019	OTHER PROGRAM AREA, Online Subscription	24,000
PLB Oil & Gas Consult LLC	2/20/2020	NEW YORK GREEN BANK, Green Bank	50,000
Plugged In Strategies	2/3/2020	EVALUATION, Data Privacy and Data Access	49,999
Plugin Stations Online, LLC	11/5/2019	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	3/17/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	3/19/2020	Talent Pipeline:CE and OJT, OJT HIRE	8,000
PlugPV, LLC	10/8/2019	<200KW PV, PON 2112 NY SUN	5,072
	10/16/2019	<200KW PV, PON 2112 NY SUN	8,710
	11/18/2019	<200KW PV, NY-Sun	7,056
	11/20/2019	<200KW PV, PON 2112 NY SUN	5,292
	12/23/2019	<200KW PV, PON 2112 NY SUN	10,044
	12/26/2019	<200KW PV, PON 2112 NY SUN	5,513
	12/31/2019	<200KW PV, PON 2112 NY SUN	5,843
	1/15/2020	<200KW PV, PON 2112 NY SUN	5,402
	1/16/2020	<200KW PV, PON 2112 NY SUN	22,752
	1/27/2020	<200KW PV, PON 2112 NY SUN	13,331

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
PlugPV, LLC	1/31/2020	<200KW PV, PON 2112 NY SUN	7,276
	2/3/2020	<200KW PV, PON 2112 NY SUN	8,048
	2/18/2020	<200KW PV, PON 2112 NY SUN	10,864
	2/26/2020	<200KW PV, PON 2112 NY SUN	9,776
	3/5/2020	<200KW PV, PON 2112 NY SUN	5,152
Polly Jean Suites LLC	10/16/2019	New Construction- Housing, 2019 LRNCP	8,000
Poseidon Systems, LLC	10/10/2019	Talent Pipeline:CE and OJT, OJT HIRE	5,760
Potentia Management Group LLC	1/15/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,154
	2/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,000
Power Guru, LLC	12/4/2019	<200KW PV, PON 2112 NY SUN	81
Premier Solar Solutions LLC	11/4/2019	>200KW PV, PON 2112 NY SUN	41,292
	11/7/2019	>200KW PV, PON 2112 NY SUN	23,310
	3/20/2020	>200KW PV, PON 2112 NY SUN	46,065
Prescriptive Data	10/16/2019	Real Time Enrgy Management, Prescriptive-1540Broadway-RT..	100,000
	11/26/2019	Real Time Enrgy Management, Prescriptive-630 3rd Ave-RTEM	38,613
	11/27/2019	Real Time Enrgy Management, PrescriptiveData-383MadAv-RT..	24,319
	12/9/2019	Real Time Enrgy Management, Prescriptive - 1330 AoA - RTEM	67,304
	1/13/2020	Real Time Enrgy Management, PD - 300 Vesey St - RTEM	66,911
	2/7/2020	Real Time Enrgy Management, PD - 40 W 57 Street - RTEM	113,069
	2/12/2020	Real Time Enrgy Management, PD - 4 NY Plaza - RTEM	99,999
	3/3/2020	Real Time Enrgy Management, PD - 300 Vesey St - RTEM	9,343
President Container Group II, LLC	10/28/2019	Industrial Process Effic, Industrial Process Efficiency	18,903
	10/29/2019	Industrial Process Effic, Industrial Process Efficiency	19,934
Pro Custom Solar LLC	11/14/2019	<200KW PV, PON 2112 NY SUN	7,728
	11/21/2019	<200KW PV, PON 2112 NY SUN	5,387
	12/3/2019	<200KW PV, PON 2112 NY SUN	5,863
Proenergy Consulting LLC	10/3/2019	NEW YORK GREEN BANK, Green Bank	50,000
Propmodo Inc.	12/6/2019	Real Time Enrgy Management, Strategic Industry Partner Eng	50,000
ProsumerGrid, Inc	3/27/2020	76 West, 76 West Clean Energy	250,000
Provantage, LLC	11/1/2019	NYSERDA ADMINISTRATION, 52 Monitors ( Order 2)	9,343
	3/12/2020	NYSERDA ADMINISTRATION, Monitors - 26 Provantage	5,064
Providence Housing Development Corp	11/13/2019	New Construction- Housing, 2019 LRNCP	175,000
	1/30/2020	New Construction- Housing, 2019 LRNCP	50,000
Prowind Renewables Inc.	1/29/2020	>200KW PV, NY Sun	1,895,242
	1/30/2020	>200KW PV, NY Sun	2,467,584
Psychedelic Solar LLC	10/31/2019	>200KW PV, NY Sun	1,294,704
Public Utility Law Project of New York	11/18/2019	SFY 19-20 PULP Appropriation	900,000
Pvilion Technologies, LLC	10/29/2019	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	2/10/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Quality Installations of NY Inc.	11/21/2019	>200KW PV, NY Sun	27,885
Quanta Technology LLC	3/11/2020	DER Integration(Intrcnct), Next Generation DER Gateway	400,000
Quest Energy Group	1/31/2020	Commercial Real Estate Ten, Quest Energy - 257 Park Ave S	6,500
	2/18/2020	Commercial Real Estate Ten, Quest Energy - 100 W 33rd St	7,750
	2/26/2020	Commercial Real Estate Ten, Quest Energy - 622 3rd Avenue	7,750
	3/3/2020	Commercial Real Estate Ten, Quest Energy - 20 W 34 Street	7,500
QwikSolar, LLC	3/20/2020	<200KW PV, PON 2112 NY SUN	8,750
R3 Energy Management Audit & Review, LLC	12/23/2019	Real Time Enrgy Management, CardinalHS-650 Grand Conc-R..	25,200
		Real Time Enrgy Management, Jack Resnick-8 W 40th St-RTEM	7,200
		Real Time Enrgy Management, P Clabby-110 East 59th St-RTE..	10,800
		Real Time Enrgy Management, R3 - 880 3rd Avenue - RTEM	7,200
		Real Time Enrgy Management, Resnick&Sons-485MadisonAv-..	10,800
	1/8/2020	Real Time Enrgy Management, R3 - 199 Water St - RTEM	10,800
R.W. Beck Group, Inc.	10/15/2019	Electric Vehicles - Innovation, Concierge Services - Leidos	25,000
		Industrial Process Effic, Concierge Services - Leidos	25,000
		Multifam Performance Pgm, Concierge Services - Leidos	25,000
		On-Site Energy Manager, Concierge Services - Leidos	25,000

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
R.W. Beck Group, Inc.	10/15/2019	Real Time Enrgy Management, Concierge Services - Leidos	50,000
		Technical Services, Concierge Services - Leidos	50,000
Radiant Labs, LLC	3/26/2020	Informat. Products & Brokering, TWO 1 SFR and MFR Data An..	50,000
Raj Technologies Inc.	10/1/2019	NYSERDA ADMINISTRATION, Modification - Name Change	21,856
	10/21/2019	NYSERDA ADMINISTRATION, Modification - Name Change	531,339
Randstad North America, Inc.	10/8/2019	NYSERDA ADMINISTRATION, TS.010 - Payroll Services	17,550
	11/14/2019	NYSERDA ADMINISTRATION, Temporary Services	106,880
	11/25/2019	Home Perf w Energy Star, Payroll Services	10,000
	11/27/2019	Payroll Services	21,600
	12/4/2019	OTHER PROGRAM AREA, Payroll Services	48,165
	12/17/2019	NYSERDA ADMINISTRATION, Payroll Services	1,900
	12/23/2019	Community RH&C, Payroll Services	21,600
	1/8/2020	CLEANER GREENER COMMUNITIES, Payroll Services	1,080
		NYSERDA ADMINISTRATION, Payroll Services	34,996
	1/16/2020	ENERGY ANALYSIS, Payroll Services	21,600
	1/17/2020	Environmental Research, Temporary Services	72,145
		Home Perf w Energy Star, Payroll Services	41,438
		NYSERDA ADMINISTRATION, Temporary Services	24,048
		Temporary Services	106,880
	1/22/2020	NYSERDA ADMINISTRATION, Temporary Services	96,194
	1/27/2020	Energy Storage Tech/Prod Dev, Temporary Services	30,206
		High Performing Grid, Temporary Services	30,206
		NextGen HVAC, Temporary Services	30,206
		Pub Transit & Elect Rail, Temporary Services	30,206
	2/3/2020	NYSERDA ADMINISTRATION, Temporary Services	101,537
	2/12/2020	NYSERDA ADMINISTRATION, Payroll Services	46,000
3/12/2020	NYSERDA ADMINISTRATION, TS.010 - Payroll Services	8,775	
3/25/2020	Environmental Research, Temp Services	56,112	
	NYSERDA ADMINISTRATION, Temp Services	56,112	
Ranger Sagamore Crescent Owner LLC	2/24/2020	MULTIFAMILY PERFORMANCE PROGRAM, Assignment Agre..	49,500
RED Rochester	11/5/2019	Industrial Process Effic, Industrial Process Efficiency	706,613
	2/18/2020	Technical Services, FT13021 - RED Rochester - PON	29,485
	2/21/2020	Real Time Enrgy Management, RED Roch-1200 Ridgeway Av-..	239,141
	3/30/2020	Real Time Enrgy Management, RR LLC - 1200 Ridgeway - RTE..	181,315
Reed Midem SAS	11/21/2019	Informat. Products & Brokering, 2019 PropTech Challenge	50,000
Regan Development Corp	10/24/2019	New Construction- Housing, 2019 LRNCP	63,200
Regional Economic Models, Inc	10/11/2019	ENERGY ANALYSIS, Modeling and Analytics	6,000
Regional Greenhouse Gas Initiative, Inc.	2/3/2020	ENERGY ANALYSIS, 2020 RGGI Funding Agreement	612,619
Renew Solar CS4 Fund LLC	10/7/2019	>200KW PV, NY-Sun C&I	1,204,258
Renovus Energy, Inc.	10/2/2019	<200KW PV, PON 2112 NY SUN	5,072
	10/11/2019	<200KW PV, PON 2112 NY SUN	8,694
	10/21/2019	<200KW PV, PON 2112 NY SUN	5,338
	10/24/2019	<200KW PV, NY-Sun	7,728
	10/30/2019	<200KW PV, PON 2112 NY SUN	8,750
	10/31/2019	<200KW PV, PON 2112 NY SUN	7,245
	11/12/2019	<200KW PV, PON 2112 NY SUN	7,728
	11/19/2019	<200KW PV, PON 2112 NY SUN	11,592
	11/21/2019	<200KW PV, PON 2112 NY SUN	7,166
	11/25/2019	<200KW PV, PON 2112 NY SUN	8,113
	11/26/2019	<200KW PV, PON 2112 NY SUN	6,521
	12/19/2019	<200KW PV, PON 2112 NY SUN	153,698
	1/6/2020	<200KW PV, PON 2112 NY SUN	153,698
	1/16/2020	<200KW PV, PON 2112 NY SUN	5,551
	1/23/2020	<200KW PV, PON 2112 NY SUN	6,279
	2/6/2020	<200KW PV, NY-Sun	7,728
	3/11/2020	<200KW PV, PON 2112 NY SUN	6,405

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Renovus Energy, Inc.	3/27/2020	<200KW PV, PON 2112 NY SUN	5,119
Rensselaer Polytechnic Institute	11/6/2019	Energy Storage Tech/Prod Dev, Renewable Optimz Energy Stor..	200,000
Rensselaer Polytechnic Institute-LRC	11/27/2019	OTHER PROGRAM AREA, Lighting Research Center	25,000
		Prof & Expert Engagement, LRC partners Program	60,000
Research Foundation of CUNY	10/16/2019	Rmve Barriers Dist Enrgy Storg, RFP 3407 Category 1	93,257
Research Foundation of SUNY	1/16/2020	Environmental Research, IDEA-NYS air quality forecast	49,361
	1/28/2020	OTHER PROGRAM AREA, 2020 Advanced Energy Conferenc	70,000
	2/21/2020	Environmental Research, Graduate Fellowship - Biomass	45,000
Research Foundation of The City	2/28/2020	Talent Pipeline:CE and OJT, PON3981 Round 4	91,447
Resource Refocus LLC	10/30/2019	Code to Zero, TWO 2 NYStretch Res CE	3,000
Resources for the Future Inc	3/24/2020	ENERGY ANALYSIS, TWO #1 Social Cost of Carbon	150,000
Responsible Offshore Development Allii..	11/27/2019	Environmental Research, ENV & Fisheries Rsrch for OSW	297,972
RHM Inc.	10/4/2019	Renewable Heat NY, Aeon Heating-Thomas	19,555
	12/16/2019	Renewable Heat NY, Aeon Heating - Bonno	21,000
Ringlead, Inc.	1/15/2020	RingLead Software 2020-2023	49,000
Riseboro Community Partnership, Inc.	12/11/2019	New Construction- Housing, 2019 MFCNP	199,800
Robert Derector Associates	10/1/2019	Commercial Real Estate Ten, RDA - 250 W 55th Street	5,000
	11/22/2019	Commercial Real Estate Ten, RDA - 1271 Avenue of the Ameri	33,300
	1/21/2020	Commercial Real Estate Ten, RDA-1114 AoA FI 5-7 - CTP	18,750
	3/23/2020	Commercial Real Estate Ten, RDA - 225 Liberty St - CTP	23,700
		Commercial Real Estate Ten, RDA - 555 Madison Ave FI 6-7	5,000
Rochester Civic Housing, Inc.	1/23/2020	New Construction- Housing, 2019 LRNCP	68,000
	2/26/2020	New Construction- Housing, 2019 LRNCP	45,000
Rochester Institute of Technology	12/12/2019	High Performing Grid, PON 3770	87,209
Rochester Regional Health	3/31/2020	Technical Services, OsEM42-C - Rochester Regional	214,000
Rocky Mountain Institute	10/3/2019	Code to Zero, 140390 TWO#1	96,875
		Consumer Ed and Market Support, 140390 TWO#1	96,875
		New Construction- Commercial, 140390 TWO#1	96,875
		New Construction- Housing, 140390 TWO#1	193,750
	3/20/2020	ENERGY ANALYSIS, TWO# 2 Bldg. Elec. Roadmap	50,000
	3/27/2020	Remote Energy Management, Technical support for NYSERDA	187,500
		Technical Services, Technical support for NYSERDA	62,500
Rome Housing Authority	1/7/2020	Multifam Performance Pgm, Multifamily	24,900
Rosenblum Property Services, LLC	10/30/2019	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	23,640
	11/13/2019	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	164,750
	3/10/2020	SARATOGA TECHNOLOGY & ENERGY PARK, STEP Propert..	218,500
Route 13 Solar, LLC	1/22/2020	>200KW PV, NY-Sun C&I	938,817
Ruffalo Appliance	2/14/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
Rural Housing Opportunities Corp.	3/24/2020	New Construction- Housing, 2019 LRNCP	255,600
Rural Ulster Preservation Company	11/13/2019	New Construction- Housing, 2019 LRNCP	32,000
Russell Unger Consulting LLC	10/9/2019	MF Market Transformation, MF Energy Efficiency Consultin	200,000
RXR Realty LLC	1/15/2020	Technical Services, FT13002 - RXR Realty - PON	31,600
Ryan Homes (Virginia)	10/1/2019	Low Rise New Construction, 2019 LRNCP	26,600
	10/25/2019	Low Rise New Construction, 2019 LRNCP	27,550
	11/13/2019	Low Rise New Construction, 2019 LRNCP	22,800
	2/6/2020	Low Rise New Construction, 2019 LRNCP	12,350
	3/11/2020	New Construction- Housing, 2019 LRNCP	17,100
Safari Energy LLC	10/7/2019	>200KW PV, PON 2112 NY SUN	46,080
	12/30/2019	>200KW PV, PON 2112 NY SUN	46,080
	1/6/2020	>200KW PV, PON 2112 NY SUN	69,120
Salmon River Solar LLC	12/3/2019	>200KW PV, NY-Sun C&I	603,651
Sandy 350, LLC	11/21/2019	Multifam Performance Pgm, Multifamily	1,400
Saranac Lake Community Solar LLC	3/27/2020	>200KW PV, NY-Sun C&I	503,010
Saturn Power Corporation	11/22/2019	>200KW PV, NY Sun	1,330,560
SBW Consulting	2/27/2020	Air Source Heat Pumps, Heat Pump Impact Evaluation	22,500
		EVALUATION, Heat Pump Impact Evaluation	5,000

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
SBW Consulting	2/27/2020	Geothermal Incentive Program, Heat Pump Impact Evaluation	22,500
Scanifly, Inc.	1/10/2020	Cleantech Ignition, PON 3871 Ignition Grants	99,750
Schenectady County Solar Projects 2019,	1/16/2020	>200KW PV, NY-Sun Assignment	2,625,000
		>200KW PV, NY-Sun C&I Assignment	1,281,120
		>200KW PV, NY-Sun CI Full/Payee Assignmen	1,248,650
		>200KW PV, NY-Sun Full & Payee Assignment	413,270
		>200KW PV, NY-Sun Full/Payee Assignment	1,463,904
		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	12/20/2019	Real Time Enrgy Management, SEBAI - 222 E 41st St - RTEM	56,461
	2/6/2020	Real Time Enrgy Management, Schneider-390 Madison Ave-RT..	51,082
	3/13/2020	Real Time Enrgy Management, SEBA - 30-19 Crescent St- RTE..	118,389
Sea Bright Solar, LLC	12/19/2019	>200KW PV, PON 2112 NY SUN	10,692
SED NY Holdings	11/25/2019	REC:CES REC Contracts, SED Clay Solar	15,507,594
		REC:CES REC Contracts, SED Hills Solar	15,366,526
SEPP, Inc.	1/15/2020	New Construction- Housing, 2019 LRNCP	25,000
Setty & Associates, Ltd. PC	12/13/2019	Commercial New Construc, Commerical New Construction	20,696
Sharon Springs Village	12/16/2019	Clean Energy Communities, CEC600971 V Sharon Springs	50,000
SHI, Inc.	10/28/2019	NYSERDA ADMINISTRATION, Storage - Virtual Environment	49,976
	12/31/2019	NYSERDA ADMINISTRATION, Information Technology	5,498
	2/3/2020	NYSERDA ADMINISTRATION, ADA - Compliance Sub. 2020 -21	15,544
	2/13/2020	Pure Storage	46,211
	2/21/2020	NYSERDA ADMINISTRATION, Embarcadero ER/ Studio	17,502
	2/28/2020	NYSERDA ADMINISTRATION, SHI - Chromebooks 50 - order 1	20,642
	3/25/2020	NYSERDA ADMINISTRATION, Adobe DC Pro Creative Cloud	55,457
Siemens Industry, Inc.	10/7/2019	Real Time Enrgy Management, Siemens Ind - Multisite - RTEM	338,019
	11/1/2019	Real Time Enrgy Management, Siemens - 73 Co Rte 11a - RTE..	179,451
	11/27/2019	Real Time Enrgy Management, Siemens - Multisite - RTEM	950,610
	1/13/2020	Real Time Enrgy Management, Siemens - Multisite - RTEM	576,177
Silver Creek Solar, LLC	1/30/2020	>200KW PV, NY Sun	1,275,000
Silver Street Solar LLC	10/15/2019	<200KW PV, NY-Sun	76,089
	10/16/2019	<200KW PV, NY-Sun	53,026
Sive Paget & Riesel PC	10/9/2019	NYSERDA ADMINISTRATION, FOIL related Services	3,363
	12/10/2019	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	12,000
	12/12/2019	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	85,771
	1/6/2020	NYSERDA ADMINISTRATION, FOIL related Services	10,000
	1/30/2020	OREC: Technical Support, RFP 3300 & RFP 3776 Outside Co	1,500
	2/20/2020	WEST VALLEY DEVELOPMENT PROGRAM, RFP 3300 & RF..	100,000
	3/20/2020	CI Engy Siting & Soft Cost Red, Large-Scale Renewables	500,000
	3/23/2020	NYSERDA ADMINISTRATION, Internal SEQRA Practice Review	5,000
SJP TS, LLC	10/8/2019	Flexible Tech Assistance, FT12252-11 Times Square-PON	12,000
Skylands Renewable Energy, LLC	11/19/2019	Small Wind, Wind Turbine Incentive	30,250
Skyven Technologies, Inc	11/1/2019	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Slaterville Springs Real Estate Company,	11/5/2019	Commercial New Construc, Commercial New Construction	7,425
Smarter Grid Solutions, Inc.	10/9/2019	Talent Pipeline:CE and OJT, OJT HIRE	15,360
	11/26/2019	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	1/15/2020	DER Integration(Intrcnct), PON4094 DER Interconnection	221,250
Smith Engineering PLLC	1/10/2020	Workforce Industry Partnership, PON 3715 Workforce Training	716,716
Snug Planet, LLC	10/10/2019	Talent Pipeline:CE and OJT, OJT Hire	6,400
	10/24/2019	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	10/25/2019	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	10/28/2019	Talent Pipeline:CE and OJT, OJT HIRE	8,640
	3/24/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,760
Sol Ace Solar, LLC	1/23/2020	>200KW PV, NY-Sun	200,244
Solar Energy Systems, LLC	12/10/2019	<200KW PV, NY-Sun	13,824
		>200KW PV, NY-Sun	20,736

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Solar Liberty Energy Systems, Inc	10/9/2019	<200KW PV, PON 2112 NY SUN	6,087
	10/15/2019	<200KW PV, NY-Sun	55,768
		>200KW PV, NY-Sun	88,914
	10/16/2019	<200KW PV, NY-Sun	7,904
		>200KW PV, NY-Sun	11,856
	10/22/2019	<200KW PV, NY-Sun	7,904
		<200KW PV, PON 2112 NY SUN	13,914
		>200KW PV, NY-Sun	11,856
	10/25/2019	<200KW PV, PON 2112 NY SUN	4,300
	11/4/2019	<200KW PV, PON 2112 NY SUN	5,346
	11/6/2019	<200KW PV, PON 2112 NY SUN	388
	12/3/2019	<200KW PV, NY-Sun	141,912
	12/9/2019	<200KW PV, NY-Sun	7,260
		<200KW PV, PON 2112 NY SUN	25,542
		>200KW PV, NY-Sun	10,890
		>200KW PV, PON 2112 NY SUN	29,898
	1/13/2020	<200KW PV, PON 2112 NY SUN	88
	1/14/2020	<200KW PV, PON 2112 NY SUN	12,771
	1/27/2020	<200KW PV, PON 2112 NY SUN	63
		>200KW PV, PON 2112 NY SUN	17,160
	2/10/2020	>200KW PV, PON 2112 NY SUN	6,270
	2/28/2020	<200KW PV, PON 2112 NY SUN	5,891
	3/3/2020	<200KW PV, PON 2112 NY SUN	24,467
3/9/2020	>200KW PV, PON 2112 NY SUN	11,088	
3/20/2020	>200KW PV, NY-Sun	43,700	
Solar One, Inc.	10/7/2019	>200KW PV, PON 2112 NY SUN	12,636
Solar Tompkins Inc.	3/13/2020	Community RH&C, CH&C Communities Round 3	200,000
Solar Village Company LLC	12/27/2019	Talent Pipeline:CE and OJT, OJT HIRE	6,240
	1/6/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,712
	1/15/2020	New Construction- Housing, 2019 LRNCP	120,000
	1/16/2020	New Construction- Housing, 2019 LRNCP	95,000
	3/16/2020	Low Rise New Construction, 2019 LRNCP	52,000
SolarKal LLC	10/18/2019	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	500,000
Solitude Solar LLC	1/31/2020	>200KW PV, NY Sun	2,475,200
SOLSTICE INITIATIVE, INC.	10/30/2019	NY-SUN, CDG in Southern Tier	128,130
		NY-SUN, CDG in Western NY	151,668
Source Renewables, LLC	12/6/2019	ESTOR:Retail Storage Incentive, Retail Storage	1,875,000
SourceOne Power Technologies, Inc.	3/20/2020	Real Time Enrgy Management, SourceOne - 825 3rd Ave - RTE..	600,000
	3/24/2020	Real Time Enrgy Management, SourceOne - Multisite - RTEM	800,000
South Goshen Solar LLC	12/6/2019	ESTOR:Retail Storage Incentive, Retail Storage	3,000,000
	12/18/2019	>200KW PV, NY Sun	1,275,000
	2/28/2020	NY-SUN, NY Sun	1,875,000
Southern Tier Technologies LLC	11/25/2019	Cleantech Ignition, PON 3871 Ignition Grants	100,000
Spectrotel Holding Company LLC	12/13/2019	NYSERDA ADMINISTRATION, Spectrotel Telecommunication	37,980
St. Anthonys Associates LLC	3/26/2020	New Construction- Housing, 2019 LRNCP	52,400
Stacks and Joules Inc.	12/19/2019	Talent Pipeline:CE and OJT, PON3981 Round 4	249,955
Standard Solar, Inc	1/27/2020	>200KW PV, NY-Sun C&I	1,627,920
	2/12/2020	ENERGY STORAGE, Retail Storage	256,500
Stantec Consulting Services, Inc.	3/4/2020	Commercial New Construc, Commercial New Construction	20,642
Stephen Taya Property Development	3/5/2020	New Construction- Housing, 2019 LRNCP	10,500
Steven Winter Associates, Inc.	10/23/2019	NYCH: Comfort Home, Heat Pump Ready Training	128,766
	10/25/2019	New Construction- Commercial, TWO PON 3943	110,216
		New Construction- Housing, TWO PON 3943	110,216
	11/14/2019	NextGen HVAC, NextGen HVAC Innovation	118,176
		Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	249,985
11/18/2019	Workforce Industry Partnership, PON 3715 Workforce Training	109,100	

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Steven Winter Associates, Inc.	12/9/2019	Commercial Real Estate Ten, SWA - Demand Flex - Multisite	75,070
	12/31/2019	Low Rise New Construction, SF 107580 - 211 West 29th St.	3,465
		New Construction- Housing, SF 107580 - 211 West 29th St.	2,035
		Talent Pipeline:CE and OJT, PON3981 Round 4	239,725
	2/12/2020	Market Tests, Market Insights	288,680
2/19/2020	Novel Bus Models & Offers, Novel Business Models R2	500,000	
Stevens Institute of Technology	10/9/2019	Environmental Research, SIT Storm Surge	42,500
Storke, LLC	12/19/2019	Small Wind, Wind Turbine Incentive	32,214
Strata Solar, LLC	3/16/2020	>200KW PV, PON 2112 NY SUN	1,048,172
Studioverde, LLC	10/1/2019	CI Engy Siting & Soft Cost Red, Wind Energy Siting TA	32,440
Summit Solar company LLC	11/6/2019	>200KW PV, PON 2112 NY SUN	52,392
Sumner Senior Partners LLC	1/14/2020	Multifam New Construction, New Construction	300,000
Sun Shelter LLC	2/21/2020	NEW YORK ENERGY STAR HOMES, LRNCP Blake Hendrix	80,000
Sun Source Technologies	11/19/2019	<200KW PV, PON 2112 NY SUN	5,268
	12/4/2019	<200KW PV, PON 2112 NY SUN	8,750
	12/30/2019	<200KW PV, PON 2112 NY SUN	9,347
	3/24/2020	<200KW PV, PON 2112 NY SUN	8,750
SuNation Solar Systems, Inc.	10/2/2019	<200KW PV, PON 2112 NY SUN	10,395
	10/23/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	10/24/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	11/12/2019	ENERGY STORAGE, PON 2112 NY SUN	3,375
	11/19/2019	<200KW PV, PON 2112 NY SUN	8,694
	11/25/2019	ENERGY STORAGE, PON 2112 NY SUN	12,500
	12/4/2019	ENERGY STORAGE, PON 2112 NY SUN	6,250
	12/9/2019	<200KW PV, PON 2112 NY SUN	5,000
	12/30/2019	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/13/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/15/2020	ENERGY STORAGE, PON 2112 NY SUN	2,875
	1/27/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/25/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/27/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/4/2020	ENERGY STORAGE, PON 2112 NY SUN	18,750
	3/5/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
3/16/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250	
SunnyMac LLC	11/7/2019	<200KW PV, PON 2112 NY SUN	6,615
SunPower Capital, LLC	10/21/2019	<200KW PV, PON 2112 NY SUN	5,724
	10/29/2019	<200KW PV, PON 2112 NY SUN	5,160
	11/1/2019	<200KW PV, PON 2112 NY SUN	6,696
	11/15/2019	<200KW PV, PON 2112 NY SUN	5,040
	11/18/2019	<200KW PV, PON 2112 NY SUN	6,066
	11/25/2019	<200KW PV, PON 2112 NY SUN	5,600
	12/9/2019	<200KW PV, NY-Sun	10,328
	12/11/2019	<200KW PV, PON 2112 NY SUN	5,569
	1/6/2020	<200KW PV, PON 2112 NY SUN	13,986
	1/21/2020	<200KW PV, PON 2112 NY SUN	6,440
	1/22/2020	<200KW PV, PON 2112 NY SUN	10,956
	1/31/2020	<200KW PV, PON 2112 NY SUN	6,125
	2/11/2020	<200KW PV, PON 2112 NY SUN	5,400
	3/11/2020	<200KW PV, PON 2112 NY SUN	7,325
3/13/2020	<200KW PV, PON 2112 NY SUN	8,126	
SUNRISE ELECTRICAL SERVICES	11/20/2019	<200KW PV, NY-Sun	165,540
	11/27/2019	<200KW PV, PON 2112 NY SUN	538,140
	12/30/2019	<200KW PV, PON 2112 NY SUN	53,100
Sunrise Solar Solutions, LLC	10/16/2019	<200KW PV, PON 2112 NY SUN	17,705
	11/4/2019	>200KW PV, PON 2112 NY SUN	142,527
	12/23/2019	>200KW PV, PON 2112 NY SUN	10,980



## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Sunrise Solar Solutions, LLC	1/8/2020	>200KW PV, PON 2112 NY SUN	380,253
	1/13/2020	>200KW PV, PON 2112 NY SUN	10,872
Sunrise Wind LLC	10/28/2019	OREC:OffShore Wind-1st solicit, Large-Scale Renewables	2,320,000,000
Sunrun SafeHarbor OpCo, LLC	2/6/2020	NY Green Bank, Sunrun Safe Harbor	10,000,000
SunRun, Inc	10/7/2019	<200KW PV, PON 2112 NY SUN	6,395
	10/17/2019	<200KW PV, PON 2112 NY SUN	5,046
	10/30/2019	<200KW PV, PON 2112 NY SUN	7,035
	11/1/2019	<200KW PV, PON 2112 NY SUN	6,615
	11/14/2019	<200KW PV, PON 2112 NY SUN	5,177
	11/22/2019	<200KW PV, PON 2112 NY SUN	943
	2/12/2020	<200KW PV, PON 2112 NY SUN	5,954
	2/18/2020	<200KW PV, PON 2112 NY SUN	5,758
	2/19/2020	<200KW PV, PON 2112 NY SUN	14,105
	3/3/2020	<200KW PV, PON 2112 NY SUN	11,501
	3/11/2020	<200KW PV, PON 2112 NY SUN	5,748
	3/17/2020	<200KW PV, PON 2112 NY SUN	6,918
	3/23/2020	<200KW PV, PON 2112 NY SUN	5,017
Sunset Green Home LLC	11/22/2019	NEW YORK GREEN BANK, Third-Party Capital Consulting	50,000
Sunwealth Project Pool 14 LLC	2/26/2020	<200KW PV, NY-Sun	21,132
		>200KW PV, NY-Sun	72,241
SUNY - ESF	10/4/2019	REV Campus Challenge, SUNY ESF - Energy Master Plan	18,112
	10/18/2019	REV Campus Challenge, RM2 - SUNY ESF	14,132
SUNY Binghamton	1/15/2020	Energy Storage Tech/Prod Dev, NECCES	250,000
SUNY Fredonia	1/28/2020	NEW CONSTRUCTION PROGRAM, NCP12636 - Houghton Hall	73,382
SUNY Ulster	12/9/2019	Talent Pipeline:CE and OJT, PON3981 Round 4	249,700
SUNY: Polytechnic Institute	3/23/2020	Commercial New Construc, Comm NC Incentives - SF182319	12,932
Sustainable Comfort, Inc	12/6/2019	Talent Pipeline:CE and OJT, OJT HIRE	6,154
	12/31/2019	New Construction- Housing, SF183758-46 South St.	9,200
	1/2/2020	New Construction- Housing, SF183532_BaldwinRealEstate	10,000
		New Construction- Housing, SF183892 - 2047 Chili Ave.	10,000
	New Construction- Housing, SF222055 - 2770 Baird Rd.	10,000	
Sustainable Energy Advantage, LLC	1/15/2020	REC:CES REC System Dev Costs, RES Program Review	199,950
Sustainable Energy Developments Inc.	10/17/2019	<200KW PV, PON 2112 NY SUN	7,392
	1/6/2020	<200KW PV, PON 2112 NY SUN	7,840
	2/26/2020	<200KW PV, PON 2112 NY SUN	30,395
	2/27/2020	<200KW PV, PON 2112 NY SUN	23,463
	3/31/2020	<200KW PV, PON 2112 NY SUN	5,688
Sustainable South Bronx Inc.	10/9/2019	Talent Pipeline:CE and OJT, PON3981 WFD Capacity Building	250,000
Switch Automation Inc.	3/10/2020	Real Time Enrgy Management, SwitchAuto-10HudsonYards-RT..	354,250
Syracuse University	2/18/2020	Retrofit NY, Syracuse University-Retrofit	50,000
Systems Management Planning, Inc.	2/12/2020	NYSERDA ADMINISTRATION, AeroHive Subscription 1 year	5,414
	3/16/2020	NYSERDA ADMINISTRATION, Webex Services - 2019 2020	105
	3/24/2020	NYSERDA ADMINISTRATION, SMP - Storage Upgrade Services	2,400
	3/25/2020	NYSERDA ADMINISTRATION, VMware Licensing - End User	21,244
T.M. Bier & Associates	12/20/2019	Real Time Enrgy Management, TMB&A - Multisite - RTEM	450,569
	3/13/2020	Real Time Enrgy Management, TM Bier - Multisite - RTEM	313,077
Taitem Engineering, P.C.	10/25/2019	Geothermal Incentive Program, Technical Review and Program S	129,974
	1/6/2020	Commercial New Construc, Commercial New Construction	13,562
	1/17/2020	Code to Zero, TWO#1 NYStretch Outreach CR	50,000
	1/24/2020	Technical Services, AEAP	2,500
	2/6/2020	Commercial New Construc, Commercial New Construction	27,251
	2/20/2020	Technical Services, AEAP	3,462
	3/3/2020	Technical Services, FT13013 - Flushing Com - FTC	9,965
	3/4/2020	Commercial New Construc, Commercial New Construction	7,838
Talva Energy	3/24/2020	>200KW PV, PON 2112 NY SUN	37,620
Tax Credit Asset Management, LLC	1/30/2020	New Construction- Housing, 2019 LRNCP	76,600

## Contracts Executed

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Contractor	Date Encumbered	Contract Description	Total Contract Amount
Taylor Group LTD	12/4/2019	NYSERDA ADMINISTRATION, NYS Fair 2019 Display	540
Tech Valley Talent, LLC	10/3/2019	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	101,400
	12/23/2019	NYSERDA ADMINISTRATION, Information Technology	32,090
	1/7/2020	NYSERDA ADMINISTRATION, TWO26 Server Ops	185,250
	1/10/2020	REC:CES REC System Dev Costs, RFP3143 Umbrella Agree..	177,450
	1/31/2020	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	337,050
	2/3/2020	NYSERDA ADMINISTRATION, TWO26 Server Ops	81,938
		SecureAuth Appliance upgrade	5,420
	2/19/2020	NYSERDA ADMINISTRATION, TWO Salesforce BA - Himmelfa..	380,000
Technology Professionals Group Inc.	3/20/2020	NYSERDA ADMINISTRATION, Salesforce CRM Advisory	84,000
Tecogen	11/4/2019	Combined Heat and Power, CHPA-Queens Plaza Park	1,080,000
	11/5/2019	Combined Heat and Power, CHPA-301 East 69th Street - Ma	153,000
	11/20/2019	Combined Heat and Power, CHPA-9 Orchard	262,500
		Combined Heat and Power, CHPA-Masaryk Towers	459,000
	11/22/2019	Combined Heat and Power, CHPA-Park West Village 7	135,000
	11/25/2019	Combined Heat and Power, CHPA-Meadow Hill Elementary	135,000
		Combined Heat and Power, CHPA-Newburgh Free Academy	261,000
		Combined Heat and Power, CHPA-Temple Hill Academy	135,000
	11/26/2019	Combined Heat and Power, CHPA-Heritage Middle School	135,000
Tesla Energy Operations Inc	11/26/2019	<200KW PV, PON 2112 NY SUN	3,969
	12/11/2019	<200KW PV, PON 2112 NY SUN	5,481
	1/3/2020	<200KW PV, PON 2112 NY SUN	5,292
	1/13/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/14/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/15/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/16/2020	ENERGY STORAGE, PON 2112 NY SUN	12,500
	1/21/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/22/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/29/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	1/30/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/3/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	2/27/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/9/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/10/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/16/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
	3/24/2020	ENERGY STORAGE, PON 2112 NY SUN	6,250
Tetra Tech MA, Inc.	2/6/2020	OREC: Technical Support, TWO#1 OSW Fisheries WG	330,000
The Brooklyn Brewery Corporation	3/17/2020	Industrial Process Effic, Industrial Process Efficiency	16,087
The Cadmus Group, LLC	10/21/2019	OREC: Technical Support, TWO 4 - RegionalFundingEntity	34,180
		TWO 4 - RegionalFundingEntity	34,180
	11/25/2019	Mkt Char: Tech Assist, RFQL 3685 R2 Umbrella	30,000
	2/20/2020	Home Perf w Energy Star, EnergyAffordability and Equity	99,725
	3/23/2020	ENERGY ANALYSIS, RFQL 3685 R2 Umbrella	72,000
The Community Builders, Inc.	2/12/2020	New Construction- Housing, 2019 MFCNP	300,000
The Doe Fund Inc	3/30/2020	New Construction- Housing, 2019 MFCNP	78,800
The Garrick Co., LLC	2/6/2020	WEST VALLEY DEVELOPMENT PROGRAM, Probabilistic Eval..	25,000
The Hartz Group, Inc.	12/9/2019	Flexible Tech Assistance, FT12213 - Roxy Hotel - PON	34,400
		Flexible Tech Assistance, FT12214 - Soho Grand Hotel-PON	32,800
The Hudson Companies Incorporated	10/3/2019	New Construction- Housing, New Construction	200,000
The Levy Partnership, Inc.	12/10/2019	NextGen HVAC, NextGen HVAC Innovation	104,363
The Radiant Store	10/22/2019	Renewable Heat NY, Radiant - Walters	23,000
The Renewables Consulting Group, LLC	2/14/2020	OREC: Technical Support, Large-Scale Renewables	133,631
The Research Foundation for the State	3/10/2020	Code to Zero, 2020 NYS Green Building Conf	1,000
		New Construction- Housing, 2020 NYS Green Building Conf	5,000
The RF of SUNY Binghamton University	3/31/2020	Pub Transit & Elect Rail, XFC onboard charger	175,000
The Union League Club of NY	10/4/2019	Geothermal Incentive Program, FT12262 - Union League - PON	7,810

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
The Walters Company Air Conditioning,...	3/12/2020	HVAC Replacement	99,156
Therm Controls Incorporated	1/3/2020	NextGen HVAC, NextGen HVAC Innovation	81,250
Thomas Roach	10/22/2019	Anaerobic Digesters, PON 3739 CAT C	15,000
Thuesen Mechanical Corp	10/22/2019	Combined Heat and Power, CHPA-Silo Ridge 1.2	52,500
ThunderCat Technology LLC	2/12/2020	NYSERDA ADMINISTRATION, Rightstar Scanstar System	5,390
	2/18/2020	DocuSign Subscription 20 - 21	87,270
TM Montante Solar Developments, LLC	11/19/2019	<200KW PV, PON 2112 NY SUN	206,550
	12/9/2019	<200KW PV, PON 2112 NY SUN	44,064
Towerstream 1 Incorporated	12/27/2019	NYSERDA ADMINISTRATION, Secondary WAN Circuit - NYGB	37,500
Town of Austerlitz, New York	2/18/2020	CEC400162-Twn of Austerlitz	30,000
		Clean Energy Communities, CEC400162-Twn of Austerlitz	5,000
Town of Bethlehem	2/14/2020	CEC400006 - Town of Bethlehem	30,000
Town of Canaan	11/22/2019	Clean Energy Communities, CEC400102-Twn of Canaan	35,000
Town of Conewango	1/9/2020	Clean Energy Communities, Town of Conewango	50,000
Town Of Hornellsville	10/16/2019	Clean Energy Communities, CEC001379 Town of Hornellsvi	50,000
Town of Leyden	1/31/2020	Clean Energy Communities, CEC701136-Town Leyden	50,000
Town of Marbletown	12/16/2019	Clean Energy Communities, Town of Marbletown	50,000
Town of Meredith	10/2/2019	Clean Energy Communities, CEC001328 - Town of Meredith	50,000
Town of Nassau	11/22/2019	CEC400123-Town of Nassau	30,000
		Clean Energy Communities, CEC400123-Town of Nassau	5,000
Town of Veteran	12/5/2019	Clean Energy Communities, CEC001367 - Town of Veteran	50,000
Town of Waddington	1/13/2020	Clean Energy Communities, CEC701153-Town Waddington	50,000
Town of Westerlo	3/10/2020	CEC400109 - Town of Westerlo	30,000
Town of Windsor	1/30/2020	Clean Energy Communities, Town of Windsor	50,000
Trane	11/1/2019	Real Time Enrgy Management, The London Hotel-151 W 54-RT..	156,038
	11/21/2019	Real Time Enrgy Management, Trane-85 Livingston-RTEM	79,348
		Real Time Enrgy Management, Trane-90 Broad-RTEM	47,670
		Real Time Enrgy Management, Trane-215 S Broad-RTEM	106,975
		Real Time Enrgy Management, Trane-2320 US Rt 6-RTEM	255,501
	12/19/2019	Real Time Enrgy Management, Trane - 685 3rd Ave - RTEM	106,560
	12/31/2019	Real Time Enrgy Management, Hines - 375 Hudson St - RTEM	10,634
		Real Time Enrgy Management, Trane US Inc- Multisite - RTEM	365,159
	2/4/2020	Real Time Enrgy Management, Trane - 1 Manhattan Sq - RTEM	28,045
		Real Time Enrgy Management, Trane-645 St Nicholas Ave-RTE..	8,181
	2/19/2020	Real Time Enrgy Management, Trane-1293 Broadway Her-RTE..	12,374
	3/5/2020	Real Time Enrgy Management, Trane - 334 Co Rte 16 - RTEM	191,637
	3/30/2020	Real Time Enrgy Management, Trane-2320 US Rt 6-RTEM	8,757
TRC Energy Services	10/8/2019	Multifam Performance Pgm, CRIS Project Macro Development	35,000
	10/29/2019	Low-Income Forum on Energy, LIFE Implementation Services	83,022
	11/14/2019	ENERGY ANALYSIS, Staff Augmentation Services	253,078
	1/9/2020	NYCH: Comfort Home, Comfort Home Implementation	199,980
	1/22/2020	Commercial New Construc, Staff Augmentation Services	10,800
		Low Rise New Construction, Staff Augmentation Services	12,960
		Multifam New Construction, Staff Augmentation Services	12,240
		New Construction- Commercial, Staff Augmentation Services	10,800
		New Construction- Housing, Staff Augmentation Services	25,200
	1/29/2020	Multifam Performance Pgm, Rose Hamm Multifamily Summit	5,918
	2/5/2020	NYSERDA ADMINISTRATION, Staff Augmentation Services	336,473
Trees New York	10/28/2019	GREENING THE BRONX, Efficiency Planning & Engineer	92,171
Tri State Solar Services	12/5/2019	<200KW PV, NY-Sun	6,818
	1/16/2020	<200KW PV, PON 2112 NY SUN	6,930
	2/3/2020	<200KW PV, PON 2112 NY SUN	6,216
Triangle Electrical Systems, Inc.	12/4/2019	<200KW PV, PON 2112 NY SUN	5,460
Trinity Heating & Air, Inc.	11/18/2019	<200KW PV, PON 2112 NY SUN	5,182
	12/19/2019	<200KW PV, PON 2112 NY SUN	5,072
Trinity Real Estate	3/18/2020	Commercial New Construc, SF106869 - 74 Trinity Place	95,666

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Trove Predictive Data Science, Inc.	12/5/2019	Informat. Products & Brokering, DER Data Platform Pilot	75,000
	2/19/2020	Informat. Products & Brokering, DER Data Platform Pilot	150,000
	2/25/2020	Informat. Products & Brokering, RFQL3711 TWO Bldg Assets	300,000
Troy Housing Authority	10/28/2019	Low Rise New Construction, New Construction	37,000
Troy Web Consulting, LLC	10/18/2019	NYSERDA ADMINISTRATION, Troy Web Hosting - 1yr Cloud	7,380
True Energy Solutions	12/5/2019	Talent Pipeline:CE and OJT, OJT HIRE	11,200
	1/23/2020	Talent Pipeline:CE and OJT, OJT HIRE	7,360
Trust for Conservation Innovation	11/6/2019	Code to Zero, BCAP Alt Enforcement Research	47,817
TurnKey Internet, Inc.	10/7/2019	Industrial Process Effic, Industrial Process Efficiency	105,756
Two Plus Four Construction Co., Inc.	11/18/2019	New Construction- Housing, 2019 LRNCP	41,000
	12/27/2019	New Construction- Housing, 2019 LRNCP	145,400
U.S. Department of Energy/Wv	11/22/2019	WVDP PO – FFY 2020	10,000,000
U.S. Geological Survey (Troy).	1/10/2020	ENVIRONMENTAL RESEARCH, ALTM Stream Monitoring	44,600
U.S. Green Building Council, NY Chapter	2/24/2020	Code to Zero, Urban Green TWO#1 Training	1,508,643
UGE USA Inc.	12/4/2019	>200KW PV, PON 2112 NY SUN	75,480
	12/30/2019	>200KW PV, PON 2112 NY SUN	63,048
	1/8/2020	>200KW PV, PON 2112 NY SUN	173,160
	2/6/2020	>200KW PV, PON 2112 NY SUN	19,703
Ulster, County of	11/20/2019	Pub Transit & Elect Rail, Bus fleet electrification plan	40,000
Union Avenue DG LLC	3/5/2020	ESTOR: Bulk Storage Incentive, Bulk Storage Incentive	9,900,000
Unique Comp Inc.	1/24/2020	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	44,200
	1/31/2020	NYSERDA ADMINISTRATION, TWO Sr. Systems Admin.- Bha..	176,800
	2/12/2020	NYSERDA ADMINISTRATION, TWO SQL ETL Dev.	176,800
Unique Electric Solutions of NYS LLC	2/18/2020	Electric Vehicles - Innovation, PON 3578 R1 Cat2	499,531
	2/27/2020	Cleantech Ignition, PON 3871 Ignition Grants	99,960
United States Department of the Interior	1/17/2020	Environmental Research, ENV & Fisheries Rsrch for OSW	290,205
United Way of Long Island	11/19/2019	OTHER PROGRAM AREA, New Construction	595,000
University of North Carolina at Chapel H	10/18/2019	Environmental Research, AQHE PON 3921	363,115
University of Rochester	1/31/2020	REV Campus Challenge, RM34 - University of Rochester	150,000
Uplight, Inc.	10/31/2019	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Re..	1,250
		EMPOWER NY, Residential Program MgtRFP3545	1,250
		GJGNY REVOLVING LOAN FUND, Residential Program MgtR..	17,578
	12/31/2019	Home Perf w Energy Star, Residential Program MgtRFP3545	166,245
		HOME PERFORMANCE WITH ENERGY STAR, Residential Pr..	1,250
		GJGNY Market Rate Audits, Residential Program MgtRFP3545	81,250
Upstate Alternative Energy	10/30/2019	<200KW PV, PON 2112 NY SUN	6,405
Upstate Capital Association of New York	1/29/2020	OTHER PROGRAM AREA, NY Business Plan Competition	40,000
Urban Electric Power, LLC	1/21/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,920
	1/27/2020	Talent Pipeline:CE and OJT, OJT HIRE	9,600
	2/5/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	2/7/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	2/13/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	2/18/2020	Talent Pipeline:CE and OJT, OJT HIRE	10,240
	3/18/2020	Talent Pipeline:CE and OJT, OJT HIRE	6,400
	USE ACQUISITION LLC	2/5/2020	Real Time Enrgy Management, USE Acq LLC - Multisite - RTEM
	2/7/2020	Real Time Enrgy Management, USE Acq LLC - Multisite - RTEM	20,399
Utilities Program & Metering, Inc.	12/17/2019	Real Time Enrgy Management, utiliVisor-9 West 57th St-RTEM	173,120
	3/23/2020	Real Time Enrgy Management, UPM - 56-45 Main St - RTEM	85,800
	3/26/2020	Real Time Enrgy Management, UPM - 11 Times Square - RTEM	85,046
Vassar College	2/19/2020	REV Campus Challenge, RM5 - Vassar College	8,200
Vecino Group New York, LLC	10/17/2019	New Construction- Housing, 2019 MFCNP	55,400
	3/25/2020	New Construction- Housing, 2019 MFCNP	67,400
Venture Home Solar LLC	10/9/2019	<200KW PV, PON 2112 NY SUN	5,025
Verari Financial Services, LLC	1/14/2020	Fuel Cells, Fuel Cell Incentive - FC-036	1,000,000
	2/11/2020	Fuel Cells, Fuel cell Incentive - FC-038	862,500

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
Verari Financial Services, LLC	2/21/2020	Fuel Cells, Fuel Cell Incentive - Mt Sinai	1,000,000
Vermont Energy Investment Corporation	12/9/2019	Strategic Energy Manager, RFP 3352	400,000
	1/23/2020	Pay for Performance, Umbrella Contract	77,618
	1/27/2020	Home Perf w Energy Star, P4P_POTF_Minibid_TWO_VEIC	125,000
	2/5/2020	Geothermal Incentive Program, Heat Pump Supplemental Heat ..	50,000
	2/24/2020	Electric Vehicles - Innovation, EV Policies and Pilots for LMI	299,992
Vervent Inc.	11/6/2019	GJGNY REVOLVING LOAN FUND, Financing Solutions	296,555
VHB Engineering, Surveying and	11/21/2019	New Construction- Commercial, New Construction	25,000
		New Construction- Housing, New Construction	25,000
Vidaris, Inc.	11/18/2019	Flexible Tech Assistance, FT12256 - Trinity Hudson - FTC	50,120
	12/13/2019	Commercial New Construc, Commercial New Construction	174,050
	1/16/2020	Technical Services, FT13004 - 355 Lexington - FTC	5,992
	2/12/2020	Commercial New Construc, Vidaris - EMP	10,040
	3/12/2020	Code to Zero, TWO #4 Review Fan Power	17,000
Village of Brockport	1/31/2020	Clean Energy Communities, CEC300321 Village of Brockport	50,000
Village of Garden City	10/15/2019	CLEANER GREENER COMMUNITIES, Village of Garden City	50,000
Village of Kinderhook	2/12/2020	CEC400049 - Village of Kinderh	30,000
		Clean Energy Communities, CEC400049 - Village of Kinderh	5,000
Village of Williamsville	11/27/2019	Clean Energy Communities, PON 3298 CEC	50,000
Vincents Heating and Fuel Service, LLC	1/28/2020	Renewable Heat NY, Vincents Heating - Cross	26,120
		Renewable Heat NY, Vincents Heating - O'Rourke	20,420
Viola Homes Inc.	10/2/2019	<200KW PV, PON 2112 NY SUN	8,547
	10/28/2019	<200KW PV, PON 2112 NY SUN	5,216
	11/5/2019	<200KW PV, PON 2112 NY SUN	5,313
	11/12/2019	<200KW PV, PON 2112 NY SUN	24,178
	11/13/2019	<200KW PV, PON 2112 NY SUN	5,758
	11/18/2019	<200KW PV, PON 2112 NY SUN	5,880
	11/19/2019	<200KW PV, PON 2112 NY SUN	8,750
	11/22/2019	<200KW PV, PON 2112 NY SUN	6,216
	11/27/2019	<200KW PV, PON 2112 NY SUN	5,180
	12/3/2019	<200KW PV, PON 2112 NY SUN	5,392
	12/17/2019	<200KW PV, PON 2112 NY SUN	5,180
	12/19/2019	<200KW PV, PON 2112 NY SUN	8,018
	1/6/2020	<200KW PV, PON 2112 NY SUN	8,640
	1/14/2020	<200KW PV, PON 2112 NY SUN	5,530
	1/21/2020	<200KW PV, PON 2112 NY SUN	7,110
Vital Brookdale LLC	2/13/2020	New Construction- Housing, 2019 MFCNP	300,000
Vivint Solar	10/25/2019	<200KW PV, PON 2112 NY SUN	8,750
	11/14/2019	<200KW PV, PON 2112 NY SUN	6,195
	12/17/2019	<200KW PV, PON 2112 NY SUN	12,443
Voltaic Solaire LLC	1/16/2020	>200KW PV, PON 2112 NY SUN	10,880
W & E Phillips Locksmith, Inc	11/13/2019	NYSERDA ADMINISTRATION, Facilities Management	10,000
Walden NY 1 LLC	12/9/2019	>200KW PV, NY Sun CI Assignment	718,200
Walter Snyder Printer, Inc.	1/29/2020	Air Source Heat Pumps, Printing and Mailing services	7,000
Warwick Renewables, LLC	10/9/2019	NY-SUN, NY Sun	472,028
Washingtonville Solar LLC	1/31/2020	>200KW PV, NY-Sun CI Payee Assignment	611,982
Water Research Foundation	11/7/2019	ENVIRONMENTAL RESEARCH, Collaboration with WRF	733,043
Wawayanda Solar LLC	12/5/2019	ESTOR:Retail Storage Incentive, Retail Storage	800,000
	1/29/2020	>200KW PV, NY Sun	428,828
WB Engineering & Consulting PLLC	12/23/2019	Commercial Real Estate Ten, WB Eng+Con - 1250 Broadway	37,675
	1/6/2020	Commercial Real Estate Ten, WBE 510 Madison CTP	12,925
	2/14/2020	Commercial Real Estate Ten, WB Engine-61 9thAve FI 2-9-CTP	18,750
	3/23/2020	Commercial Real Estate Ten, WB Engineering - 1271 AoA -CTP	67,750
Weill Medical College at Cornell Univers	2/18/2020	REV Campus Challenge, RM46 - Weill Cornell - PON	58,484
Wells College	12/19/2019	REV Campus Challenge, RM32 - Wells College	36,832
West Hill Energy & Computing, Inc.	2/26/2020	Air Source Heat Pumps, Heat Pump Impact Evaluation	22,500

## Contracts Executed

Period 10/1/2019 through 3/31/2020

Contractor	Date Encumbered	Contract Description	Total Contract Amount
West Hill Energy & Computing, Inc.	2/26/2020	EVALUATION, Heat Pump Impact Evaluation	5,000
		Geothermal Incentive Program, Heat Pump Impact Evaluation	22,500
West Valley Solar LLC	12/6/2019	>200KW PV, NY Sun	4,500,000
Western New York Veterans Housing C..	12/23/2019	New Construction- Housing, 2019 LRNCP	72,000
Wilder Balter Partners, Inc.	1/22/2020	New Construction- Housing, 2019 LRNCP	274,200
Wildlife Conservation Society.	12/16/2019	Environmental Research, Environmental Research	50,000
Willdan Energy Solutions	10/21/2019	Industrial Process Effic, Technical Review and Program S	2,733
	10/22/2019	Commercial Real Estate Ten, Willdan Energy - Multisite	15,000
	11/21/2019	Rmve Barriers Dist Enrgy Storg, FT12283 - 1250 Waters - FTC	60,030
	1/21/2020	Industrial Process Effic, IPE16224	13,719
	1/27/2020	Commercial Real Estate Ten, Wildan Energy - Multisite	39,900
	2/7/2020	Commercial Real Estate Ten, Efficiency Planning & Engineer	200,000
	2/12/2020	Industrial Process Effic, Industrial Process Efficiency	34,940
	2/18/2020	Industrial Process Effic, IPE16234	32,821
	2/19/2020	Real Time Enrgy Management, Assignment of Agreement	21,000
	3/6/2020	Air Source Heat Pumps, Staff Augmentation Services	47,008
		Campus/Technical Assistance, Staff Augmentation Services	47,008
		Community RH&C, Staff Augmentation Services	47,008
		Geothermal Incentive Program, Staff Augmentation Services	47,008
		Renewable Heat NY, Staff Augmentation Services	94,016
3/10/2020	Technical Services, FT13038 - Phelps - FTC	75,000	
3/17/2020	Industrial Process Effic, IPE16240	25,263	
3/24/2020	Code to Zero, Staff Augmentation Services	825,926	
Willdan Lighting & Electric, Inc.	2/20/2020	Talent Pipeline:CE and OJT, OJT HIRE	5,400
	2/27/2020	Talent Pipeline:CE and OJT, PON3981 Round 3	250,000
William Reynolds	12/9/2019	<200KW PV, PON 2112 NY SUN	7,227
	12/10/2019	>200KW PV, PON 2112 NY SUN	52,080
	12/18/2019	>200KW PV, PON 2112 NY SUN	5,694
WNY Rural Preservation, LP	11/19/2019	Multifam Performance Pgm, Multifamily	4,200
Wood Mackenzie Power & Renewables, Inc.	11/19/2019	Subscription/Data Access, Grid Edge, Storage and Squared	60,500
	3/16/2020	Cleantech ICC Engage, 2020 GTM Sponsorship	5,000
WTJ US Energy Services Inc	1/13/2020	Novel Bus Models & Offers, 3932 R 2 Novel Business Model	496,250
Xzerta Energy Group LLC	10/9/2019	>200KW PV, NY Sun	1,193,184
	10/21/2019	>200KW PV, NY Sun	1,006,020
	10/28/2019	>200KW PV, NY Sun	2,131,920
Yale University	10/17/2019	U.S. DOE SEP Grant for oTherm	98,611
You Save Green Incorporated	1/8/2020	<200KW PV, PON 2112 NY SUN	7,500
	1/13/2020	>200KW PV, PON 2112 NY SUN	483,840
Youth Action Programs and Homes, Inc.	10/7/2019	Talent Pipeline:CE and OJT, PON3981 Round 3	242,350
Yue Chen	3/10/2020	OTHER PROGRAM AREA, Consulting contract	48,000
ZBF Geothermal LLC	3/9/2020	Large-Scale GSHP Rebate	280,248
Zuber Farms	10/29/2019	Anaerobic Digesters, PON 3739 CAT C	5,000
<b>Grand Total</b>			<b>7,040,869,917</b>

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
1st Light Energy, Inc.	>200KW PV, NY Sun	105,300
	>200KW PV, PON 2112 NY SUN	58,320
2 North 6th Venture LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	498,600
3M Company	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	175,097
8-11 & 13 43rd Road LLC	Commercial New Construc, SF106887 - 8-11 43rd Rd-OFLT	64,137
18th Street Fulton Equities LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	189,600
20 West 40 Bryant Park Owner LLC	NEW CONSTRUCTION PROGRAM, NCP12032 - 20 West 40th Street	62,522
22nd Century Technologies, Inc.	NYSERDA ADMINISTRATION, Staff Augmentation	154,050
30-30 Equities LLC	NEW CONSTRUCTION PROGRAM, NCP11345 - The Apple Building	182,924
32-42 Broadway Owner LLC	Flexible Tech Assistance, FlexTech Program - PON 1746	40,498
33 Bond St LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	642,600
34-10 Development, LLC	NEW CONSTRUCTION PROGRAM, NCP11565 - 3410 Development ..	145,491
37-10 Crescent Street Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,500
40 Tiemann Place H.D.F.C.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	14,700
41-07 Crescent St JV LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	45,000
145 West Street, LLC	NEW CONSTRUCTION PROGRAM, NCP7241 - Waterfront Tower (14	524,292
156 Perry Street, LLC	Multifam New Construction, MFNCP PHIUS T3-156 Perry St	42,500
158th St. & Riverside Drive Housing Co.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	256,200
175 Pearl Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11972 - 175 Pearl Street Br	220,489
205 Wolf Holdings, LLC	NYSERDA ADMINISTRATION, 2018 NYSERDA All Staff Meeting	6,500
233 West 125th Street Danforth, LLC	NEW CONSTRUCTION PROGRAM, NCP11259 - Victoria Theater	140,874
295 Maryland, LLC	NEW YORK ENERGY STAR HOMES, New Construction	105,000
	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	136,000
300 Schemerhorn Realty LLC	NEW CONSTRUCTION PROGRAM, NCP11974 - Holiday Inn Brookly	96,868
309 Fifth Owners, LLC	NEW CONSTRUCTION PROGRAM, NCP10319 - 309 Fifth Owners,	57,042
323T LLC	Low Rise New Construction, New Construction	26,600
333 Lenox Associates, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	69,600
425 Park Owner LLC	NEW CONSTRUCTION PROGRAM, NCP12544 - 425 Park Avenue	191,491
455 Hospitality LLC	Multifam Performance Pgm, 2019 Multifamily Summit	40,000
	New Construction- Housing, 2019 Multifamily Summit	10,000
590 Madison Avenue LLC	EXISTING FACILITIES, EFP2325 - 590 Madison - 590 Ma	310,857
606 West 57 LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	925,200
770 Electric Corp.	<200KW PV, NY-Sun	34,060
	>200KW PV, NY-Sun	63,426
1067 Grant St LLC	Multifam Performance Pgm, Multifamily	18,900
1157 LLC	NEW CONSTRUCTION PROGRAM, NCP98372 - 1135 Fairport Road	38,155
2015 ESA Project Company, LLC	FUEL CELLS, RPS FC - Home Depot #1256	1,000,000
2605 GC Owner, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	162,145
2764-66 Realty LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	64,400
3349 Webster Avenue Associates LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	138,000
ABB, Incorporated	OREC: Technical Support, RFQL3685 Round 1	236,500
Abt Associates Inc.	ENVIRONMENTAL RESEARCH, Community Flood Risk	215,259
Accelerate Solar LLC	<200KW PV, PON 2112 NY SUN	5,670
Access Supports for Living Inc.	Low Rise New Construction, New Construction	68,600
Accord Power, Inc.	<200KW PV, NY-Sun	7,020
	>200KW PV, PON 2112 NY SUN	24,640

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>ACEEE</b>	Prof & Expert Engagement, 2020 ACEEE Membership	10,000
<b>Action Research Inc.</b>	ADVANCED BUILDINGS, Behavior Research Pilot Design	229,162
	CLEAN TRANSPORTATION, Behavior Research Pilot Design	50,000
<b>Active Solar Development, LLC</b>	<200KW PV, NY Sun	137,200
<b>Adam C. Boese</b>	Agriculture Energy Eff Pgm, RFP3628FlexTechConsultUmbrella	5,000
	Commercial New Construc, RFP3771 Umbrella Contract	16,000
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	14,640
	Technical Services, AEAP	6,000
	Technical Services, RFP3628FlexTechConsultUmbrella	10,000
<b>Adelaar HWP, LP</b>	NEW CONSTRUCTION PROGRAM, NCP13170 - Adelaar Hotel and I	220,000
<b>Adirondack Area Network</b>	NYSERDA ADMINISTRATION, 2015 Video Recording Services	17,000
<b>Adirondack North Country Association</b>	CLEANER GREENER COMMUNITIES, Green Jobs Green New York ..	47,423
	GJGNY REVOLVING LOAN FUND, Green Jobs Green New York Outr	265,960
<b>Advanced Radiant Design, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	11,520
<b>Aegis Energy Services Inc.</b>	COMBINED HEAT AND POWER, 113 Nassau	266,250
<b>AEP Onsite Partners, LLC</b>	>200KW PV, PV System @ Camden Central Sch	974,616
	>200KW PV, PV System @ Madison County	682,231
	NY-SUN, PV System @ Madison County	292,385
<b>AES DE RS VIII, LLC</b>	>200KW PV, NY-Sun	545,765
<b>Air Company Holdings, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	10,240
<b>Akimeka, LLC</b>	CLEAN TRANSPORTATION, Oneida County ITS Study	15,024
	EVALUATION, RFQL3685 Round 1	14,972
<b>Akoustis, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	170,000
<b>Albany Dodge</b>	New Fleet Car	21,121
<b>Albany Solar Solutions L.L.C.</b>	<200KW PV, NY Sun	5,623
	<200KW PV, PON 2112 NY SUN	13,997
<b>Albee Development</b>	NEW CONSTRUCTION PROGRAM, NCP98814 - Albee Development..	118,957
<b>Alberto Aceves Cornejo</b>	Agbotic - Tech. Due Diligence	11,271
<b>Albright Solutions LLC</b>	NEW YORK GREEN BANK, 3rd Party Capital Support	25,000
<b>All HVAC Service Co. Inc</b>	Commercial Real Estate Ten, Bright Energy-Multisite-CT	17,987
	Commercial Real Estate Ten, Bright NRG-511 Benedict Ave-CT	36,982
<b>All-State Air Control Sales &amp; Service In</b>	Talent Pipeline:CE and OJT, OJT HIRE	7,680
<b>All-Temperature Systems of Syracuse, Inc</b>	Talent Pipeline:CE and OJT, OJT HIRE	11,520
<b>Allegis Group Holdings Inc</b>	SA.050_TWO #8 - DER Coordinato	186,643
<b>Allen Power, Inc.</b>	<200KW PV, PON 2112 NY SUN	84,375
<b>Allen Stevenson School</b>	NEW CONSTRUCTION PROGRAM, NCP13052 - Townhouse Project	37,900
<b>Alliance for Housing Inc.</b>	Multifam New Construction, PPES T2 Fountain Sea A2	100,000
<b>Alliance for Sustainable Energy, LLC</b>	DER Integration(Intrcnct), Technical Assistance for NYS D	250,000
<b>Ally Financial Inc.</b>	2012 Chevy Volt	36,272
<b>Alteris Renewables Inc.</b>	NY-SUN, RPS CST Regional Program	834,656
<b>Alternative Power Solutions of NY, LLC</b>	<200KW PV, PON 2112 NY SUN	23,867
<b>American Council for an Energy Efficient</b>	Subscription/Data Access, Market Insights	12,500
<b>American Energy Care, Inc.</b>	<200KW PV, NY-Sun	38,224
	<200KW PV, PON 2112 NY SUN	16,423
<b>American Meteorological Society</b>	ENERGY ANALYSIS, NCA Support	254,000
<b>American Packaging Corp.</b>	Industrial Process Effic, Industrial Process Efficiency	81,984



**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>American Solar Partners, LLC</b>	>200KW PV, PON 2112 NY SUN	131,899
<b>Antares Group, Inc.</b>	AGRICULTURE ENERGY EFFICIENCY, FlexTech Consultant Selecti..	24,614
	Campus/Technical Assistance, FT12091-St. John's U - FTC	12,760
	Industrial Process Effic, Technical Review and Program S	32,391
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	58,220
<b>Apex Solar Power LLC</b>	<200KW PV, NY Sun	6,388
	<200KW PV, NY-Sun	5,850
	<200KW PV, PON 2112 NY SUN	62,386
	Talent Pipeline:CE and OJT, OJT HIRE	11,520
<b>Aramark Services Inc.</b>	Off-Shore Wind Pre-Dev Act, OSW Tech and Training Forum	885
	OREC: Technical Support, OSW Tech and Training Forum	5,500
<b>Arcadia Chair Company</b>	Office Furniture	5,281
<b>Arcadis of New York, Inc.</b>	Flexible Tech Assistance, FT12203-TownofUlster WWTP-FTC	13,890
	OREC: Technical Support, Large Scales Renewables Techni	43,500
	Technical Services, AEAP	17,934
	Technical Services, RFP3628FlexTechConsultUmbrella	5,978
<b>Arcadis U.S., Inc.</b>	EXISTING FACILITIES, Tech Review & Program Staff	464,401
	FLEXIBLE TECHNICAL ASSISTANCE, Tech Review & Program Staff	0
	Industrial Process Effic, Tech Review & Program Staff	19,159
	Real Time Enrgy Management, Tech Review & Program Staff	43,500
<b>Argus Media Inc.</b>	ENERGY ANALYSIS, Data & Markets	14,568
<b>Art Center and Theater of Schenectady, N</b>	COMBINED HEAT AND POWER, Advanced Buildings	18,000
<b>Asian Americans for Equality, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	207,900
<b>Association for Energy Affordability, In</b>	Talent Pipeline:CE and OJT, OJT HIRE	7,920
	Talent Pipeline:CE and OJT, OJT HIRE	23,040
<b>Association of Energy Engineers</b>	EVALUATION, Performance Management	9,792
	NY-SUN, Standards & Quality Assurance	2,060
	NYSERDA ADMINISTRATION, Standards & Quality Assurance	2,060
	On-Site Energy Manager, Industrial & Agriculture	2,577
	Workforce Industry Partnership, Workforce Dev & Train	2,060
<b>Atelier Ten</b>	Commercial New Construc, ATEN - EMP	42,032
	NEW CONSTRUCTION PROGRAM, ATEN - EMP	53,145
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	65,454
<b>Avenue D Investors LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	99,000
<b>Aviator Way Solar, LLC</b>	>200KW PV, NY Sun	845,093
<b>AVSC Holdings Corporation</b>	Buildings of Excellence, 2019 BOE Awards Ceremony	22,914
<b>Baldor Specialty Foods</b>	NEW CONSTRUCTION PROGRAM, NCP11949 - Baldor Expansion Ph	180,525
<b>Barbera Homes and Development, Inc.</b>	Low Rise New Construction, New Construction	18,050
<b>Barnard College</b>	NEW CONSTRUCTION PROGRAM, NCP12987 - New Building aka Te	189,032
<b>Bashing Panels LLC</b>	<200KW PV, PON 2112 NY SUN	5,208
<b>Battelle Memorial Institute</b>	Code to Zero, NYStretch Code (2018) support	59,525
<b>Bausch &amp; Lomb</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	1,580,877
<b>BDO USA LLP</b>	Background Investigation Servi	25,600
<b>Belmonte Builders</b>	Low Rise New Construction, 2019 LRNCP	5,700
<b>Bergmann Associates</b>	Commercial Imp Assist, Tech Review_Support_Umbrella	4,300
	Commercial Real Estate Ten, Berg-125EJefferson8,10,12,14	5,000

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Bergmann Associates</b>	Commercial Real Estate Ten, Bergman-125EJefferson7,9,11,15	5,000
	Commercial Real Estate Ten, Bergmann - Eaton Center Blg 31	5,000
	Commercial Real Estate Ten, Bergmann - Tenant Bldout	5,000
	Commercial Real Estate Ten, Bergmann Associates - 125 E J	5,000
	Commercial Real Estate Ten, Bergmann-224 Harrison 8th fl	5,000
	Commercial Real Estate Ten, Bergmann-224 Harrison St	5,000
	Commercial Real Estate Ten, Bergmann-224 HarrisonTnt BI Gd	5,000
	EXISTING FACILITIES, Tech Review_Support_Umbrella	29,670
	EXISTING FACILITIES, TWO_EFP/DMP_QA/QC	17,600
	Flexible Tech Assistance, FlexTech Umbrella Agreement	21,000
	Industrial Process Effic, Tech Review_Support_Umbrella	95,820
	INDUSTRIAL PROCESS EFFICIENCY, Tech Review_Support_Umbre..	78,158
<b>Bergmann Associates, P.C.</b>	CLEAN TRANSPORTATION, Mkt Trn (no longer in use)	517,359
<b>Best Energy Power</b>	<200KW PV, NY Sun	478,405
	<200KW PV, NY-Sun	138,368
	>200KW PV, NY-Sun	207,552
	>200KW PV, PON 2112 NY SUN	50,682
<b>Bettergy Corporation</b>	CLEAN TRANSPORTATION, Prototype Development	249,852
<b>Binghamton Regional</b>	REVitalize, RFP 3584 Revitalize	65,000
<b>Binghamton University</b>	NEW CONSTRUCTION PROGRAM, NCP11870 - Energy Rd Building	197,721
	NEW CONSTRUCTION PROGRAM, NCP13089 - School of Pharmacy	162,994
<b>BioDiversity Research Institute</b>	Off-Shore Wind Pre-Dev Act, BRI: TWO umbrella agreement	340,682
<b>BioMed Realty, LP</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	892,130
<b>Bishop House Consulting, Inc.</b>	NYSERDA ADMINISTRATION, Human Resources	80,000
<b>Bizodo Inc</b>	NYSERDA ADMINISTRATION, Seamless Doc license service	25,000
	NYSERDA ADMINISTRATION, Seamless Professional Services	25,000
	Seamlessdocs Licensing 20-21	42,740
<b>Black Women Talk Tech Inc</b>	OTHER PROGRAM AREA, Black Women Talk Tech Sponsor	25,000
<b>Bloom Energy Corporation</b>	Fuel Cells, Fuel Cell - AT&T - 400 Hamilto	1,000,000
	Fuel Cells, Fuel Cell Incentive - FC-015	231,000
	Fuel Cells, Fuel Cell Incentive FC-014	288,750
<b>Bloomberg, L.P.</b>	NEW CONSTRUCTION PROGRAM, NCP14014 - 919 Third Avenue	69,435
<b>BOCES of Rockland</b>	NEW CONSTRUCTION PROGRAM, NCP12950 - Jesse Kaplan Buildi	7,675
<b>BOP Manhattan West Holdings, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10559 - Tower 1	486,595
<b>BOP West 31st Street LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12078 - Manhattan West	198,104
<b>Boro Park Center</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON1746	60,000
<b>Borrego Solar Systems, Inc.</b>	>200KW PV, NY Sun	15,210,564
<b>Boston Properties</b>	NEW CONSTRUCTION PROGRAM, NCP14016 - BNYT Associates L..	165,059
<b>BP/CGCENTER AQUISITION CO., LLC</b>	NEW CONSTRUCTION PROGRAM, NCP14055 - 601 Lexington	105,111
<b>BQ Energy, LLC</b>	>200KW PV, commercial/industrial pv	583,553
<b>Brattle Group Inc.</b>	ENERGY ANALYSIS, Brief Con Ed on REV	49,999
<b>BRE Edison L.P.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	892,130
<b>Brickchurch Solar, LLCq</b>	>200KW PV, NY Sun	845,093
<b>Bridge Land Hudson LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11144 - Hudson Street	114,558
<b>Bridge Land Vestry LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12093 - 268 West Street	208,784
<b>Bridge Metals Industries</b>	Industrial Process Effic, Industrial Process Efficiency	15,362

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Bright Power, Inc.</b>	<200KW PV, NY Sun	212,432
	<200KW PV, NY-Sun	6,048
	>200KW PV, NY Sun	3,726
	>200KW PV, NY-Sun	9,072
	Flexible Tech Assistance, FT12093 - 205 W 39th St. - FTC	5,400
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	24,500
<b>Bristol Mountain</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	104,408
<b>Bronx Pro Real Estate Management</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	95,200
<b>Bronx River Art Center, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP98026 - Bronx River Art Cen	67,262
<b>Brookfield District Energy Microgrid LLC</b>	SMART GRID SYSTEMS, RFP 3044 R2	994,000
<b>Brooklyn Healthcare Investors LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12315 - 4813 Ninth Ave Medi	97,745
<b>Brooklyn SolarWorks LLC</b>	>200KW PV, PON 2112 NY SUN	49,262
<b>BTMI Engineering, PC</b>	Off-Shore Wind Pre-Dev Act, RFP3462 Umbrella Agreement	285,300
<b>Buena Vista Associates</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	590,200
<b>Buffalo Bills</b>	NEW CONSTRUCTION PROGRAM, NCP11662 - Stadium Lease Imp..	20,712
<b>Buffalo Niagara Medical Campus, Inc.</b>	SMART GRID SYSTEMS, RFP 3044 R2	807,500
<b>Buffalo Renewables, Inc.</b>	Small Wind, Wind Turbine Incentive	102,500
<b>Buffalo Solar Solutions Inc</b>	<200KW PV, NY-Sun	32,760
	<200KW PV, PON 2112 NY SUN	47,503
	ESTOR:Retail Storage Incentive, Energy Storage	32,250
<b>Built Well Solar Corp</b>	<200KW PV, NY Sun	8,663
<b>Buzzard's Ridge Group LLC</b>	<200KW PV, PON 2112 NY SUN	8,750
<b>BVG Associates LLC</b>	REC:CES REC System Dev Costs, TWO-1-IE-2019	38,500
<b>C.J. Brown Energy, P.C.</b>	Flexible Tech Assistance, FT12102- Gates Chili CSD - FTC	6,632
	Flexible Tech Assistance, FT12200 - Moravia CSD - FTC	12,700
<b>C&amp;R Housing Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	13,680
<b>Callanan Industries</b>	Industrial Process Effic, Industrial Process Efficiency	82,874
<b>Calstart</b>	CLEAN TRANSPORTATION, Implementation contractor for	1,561,643
<b>Capital Construction Services of NY, Inc</b>	NEW YORK ENERGY STAR HOMES, New Construction	561,000
<b>Capital District Records Management, Inc</b>	NYSERDA ADMINISTRATION, OffsiteTape Storage & Courier	5,132
<b>Capital Region Gaming LLC</b>	NEW CONSTRUCTION PROGRAM, NCP13190 - Mohawk Casino-OF..	212,996
<b>Carahsoft Technology Corporation</b>	EVALUATION, Qualtrics Software Renewal	67,142
	NYSERDA ADMINISTRATION, Salesforce Journey Builder	30,896
<b>Carbone Auto Group, LLC</b>	Replacement vehicle for Admini	45,630
<b>Caroprese &amp; Company</b>	NEW YORK GREEN BANK, Forecast Model Development	50,000
<b>Cascade Tissue Group-New York Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	647,114
<b>Cascades Containerboard Packaging</b>	Flexible Tech Assistance, FT12204-CCP-Niagara Falls-PON	12,332
<b>Caspian Solar, LLC</b>	>200KW PV, NY-Sun C&I	1,375,337
<b>Cayuga Milk Ingredients</b>	Industrial Process Effic, Industrial Process Efficiency	34,230
<b>CDG Sodus Solar 1 LLC</b>	<200KW PV, NY-Sun	303,345
<b>CDS Monarch Inc</b>	Low Rise New Construction, New Construction	50,000
<b>Center for Community Transportation</b>	CLEAN TRANSPORTATION, H+T index for Tompkins County	29,920
<b>Central New York Regional Planning and</b>	SMART GRID SYSTEMS, RFP 3044 R2	999,140
<b>CES Danbury Solar, LLC</b>	>200KW PV, PON 2112 NY SUN	319,302
<b>CHA Consulting Inc.</b>	EXISTING FACILITIES, Technical Review and Program S	375,200
	Flexible Tech Assistance, FlexTech Consultant CHA	150,079

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>CHA Consulting Inc.</b>	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	28,800
	Industrial Process Effic, Technical Review and Program S	212,200
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	770,738
	OTHER PROGRAM AREA, FlexTech Consultant CHA	30,247
<b>Charles Driscoll</b>	ENVIRONMENTAL RESEARCH, Tech. support for the ALTM	53,000
<b>Chelsea W26 LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	287,185
<b>Cicero Volunteer Fire Department</b>	NEW CONSTRUCTION PROGRAM, NCP12941 - Cicero Fire Station	7,300
<b>CIR ELECTRICAL CONSTRUCTION CORP.</b>	<200KW PV, PON 2112 NY SUN	364,587
<b>Citi Realty Services</b>	COMBINED HEAT AND POWER, FlexTech - PON1746	92,500
<b>Citigroup Technology, Inc.</b>	ADVANCED BUILDINGS, EFP/DMP2465 - Citigroup	314,714
	EXISTING FACILITIES, DMP Bonus - EFP2465 -CitiGroup	555,598
	EXISTING FACILITIES, EFP/DMP2465 - Citigroup	5,862,649
	Flexible Tech Assistance, FT12294 - 390 Greenwich - CHP	92,500
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	3,053,872
<b>City of Amsterdam</b>	Clean Energy Communities, CEC600876 City of Amsterdam	50,000
<b>City of Binghamton</b>	SMART GRID SYSTEMS, RFP 3044 R2	995,649
<b>City of Cortland</b>	CLEANER GREENER COMMUNITIES, CGC29757 - City of Cortland	112,000
<b>City of Ithaca</b>	ANAEROBIC DIGESTER, ADG-to-Electricity Program	487,672
<b>City of Peekskill</b>	CLEANER GREENER COMMUNITIES, City of Peekskill	50,000
<b>City of Rensselaer</b>	CLEANER GREENER COMMUNITIES, CGC41631 - City of Renssela..	187,500
<b>City of Troy</b>	CEC410003 - City of Troy	30,000
	Clean Energy Communities, CEC410003 - City of Troy	150,000
<b>City of Watervliet</b>	CLEANER GREENER COMMUNITIES, CGC39768 - City of Watervliet	100,000
<b>Clarkson Univ., Research Div.</b>	Environmental Research, MAP-AQ mobile platform	45,000
<b>Clean Power Research</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Consut on ..	25,000
	NY-SUN, Consut on NY SUN Block Program	25,000
	NY-SUN, Power Clerk Database for NYSUN	538,649
	NYSERDA ADMINISTRATION, Power Clerk Database for NYSUN	136,377
	RENEWABLE THERMAL, Power Clerk Database for NYSUN	1,197,077
	Solar Thermal, Power Clerk Database for NYSUN	6,500
<b>Climate Action Associates LLC</b>	OTHER PROGRAM AREA, DOE grant - UER - CAA Admin	270,000
<b>Climate Change &amp; Environmental</b>	Commercial Real Estate Ten, CCES - Multisite	18,455
<b>Clinton Complex Housing Development Fund</b>	Multifam Performance Pgm, Multifamily	5,600
<b>Clough, Harbour &amp; Associates, LLP</b>	INDUSTRIAL PROCESS EFFICIENCY, EFP Task Work Order	11,400
<b>CNY Solar, Inc.</b>	<200KW PV, PON 2112 NY SUN	68,288
<b>Code Green Solutions, Inc.</b>	Commercial Real Estate Ten, CodeGreen - 1211 6th Ave	15,000
	Commercial Real Estate Ten, CodeGreen_Madam Tussauds	20,000
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	56,340
<b>Cogen Power Technologies LLC</b>	SMART GRID SYSTEMS, RFP 3044 R2	990,000
<b>Cogeneration Contractors, Inc.</b>	COMBINED HEAT AND POWER, CHP Acceleration Program	1,276,000
	COMBINED HEAT AND POWER, CHPA - River Park Residences	1,350,000
<b>Coletree Security Corporation</b>	NYSERDA ADMINISTRATION, Human Resources	5,000
<b>Columbia University Medical Center</b>	NEW CONSTRUCTION PROGRAM, NCP10439 - Columbia Universit	202,340
<b>Combined Energies LLC</b>	CLEAN TRANSPORTATION, Power/energy module dev & demo	299,495
<b>COMMET 380, Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP11588 - Better Madison Aven	192,136
<b>Common Ground Community II HDFC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	696,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Community Access, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	151,200
<b>Community Energy Solar, LLC</b>	>200KW PV, NY Sun	611,982
<b>Computer Aid, Inc.</b>	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	280,800
<b>Comunilife, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	80,100
<b>Concern for Independent Living, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	121,500
<b>CONEG Policy Research Center, Inc.</b>	ENERGY ANALYSIS, Energy & Environmental Analysis	22,000
<b>Consortium for Energy Efficiency, Inc.</b>	Consumer Ed and Market Support, CEE Lighting Homes For Tomorrow	12,000
	EVALUATION, 2019 NYS Consumer Awareness Study	5,080
<b>Consumerbase LLC</b>	Eval MCDC Cross Cutting, Email Addresses for Study	14,177
<b>Continental Automated Buildings</b>	Subscription/Data Access, Market Insights	5,000
<b>Continental Buchanan, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	118,346
<b>Control Solutions Group, Inc.</b>	NYSERDA ADMINISTRATION, Control Panel for HVAC in NYC	9,852
	NYSERDA ADMINISTRATION, Facilities Management	10,238
<b>Converge Strategies, LLC</b>	High Performing Grid, FutureGrid Summit Facilitation	48,800
<b>Corelle Brands LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	254,938
<b>Cornell University</b>	ENVIRONMENTAL RESEARCH, improve EE of crop production	83,765
	OTHER PROGRAM AREA, 76West Building a Clean Energy	1,645,454
	OTHER PROGRAM AREA, 2019 Cornell Sponsorship	5,000
	OTHER PROGRAM AREA, CornellNYC Tech Energy Program	870,030
	OTHER PROGRAM AREA, Entr @ Cornell Sponsorship	30,000
<b>Cornerstone Energy Services</b>	Renewable Heat NY, Cornerstone - Meissner	23,310
	Renewable Heat NY, Cornerstone - Monks-Kelly	15,750
	Renewable Heat NY, Cornerstone - Sullivan	7,000
	Talent Pipeline:CE and OJT, OJT HIRE	5,600
<b>Corning Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP10752 - New Corning Hospital	308,834
<b>Corning Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	2,621,560
	INDUSTRIAL PROCESS EFFICIENCY, PON1219IP4	1,359,925
<b>Credit Suisse USA</b>	NEW CONSTRUCTION PROGRAM, NCP12333 - Eleven Madison Av..	173,802
<b>CTG:I LLC</b>	OTHER PROGRAM AREA, CTG i3Connect subscription	8,925
<b>Culture Shed</b>	NEW CONSTRUCTION PROGRAM, NCP11418 - Culture Shed	132,759
<b>Currier McCabe Associates</b>	NYSERDA ADMINISTRATION, 12 Month contractor - Help Des	108,000
<b>Cutone &amp; Company Consultants, LLC</b>	Commercial Real Estate Ten, LC Assoc-575 Lex Ave-CT	21,135
	Commercial Real Estate Ten, LCA - 245 Main St - CT	6,400
	Commercial Real Estate Ten, LCA-2488 Grand Concourse-CT	5,750
	Commercial Real Estate Ten, LCA-JPMC#4-Multisite-CT	23,383
<b>Cypress Creek Renewables LLC</b>	>200KW PV, commercial/industrial pv	3,853,624
	>200KW PV, NY Sun	1,109,185
	>200KW PV, NY Sun C&I	1,109,185
	>200KW PV, NY-Sun	2,281,751
	>200KW PV, NY-Sun C&I	1,172,567
<b>Cypress Hills Local Development Corporat</b>	GREEN AFFORDABLE HOUSING, Multifamily	43,299
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	91,123
<b>D. F. Brandt, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	140,939
<b>D.K. &amp; S Enterprises Inc</b>	NY-SUN, 2019 2GW Solar Press Event	14,915
<b>Darling Advertising Agency Inc.</b>	New Construction- Housing, Marketing Support for NYSERDA	125,000
	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
David Homes, Inc.	Low Rise New Construction, New Construction	39,900
David P Bruns	NEW YORK ENERGY STAR HOMES, New Construction	96,000
Davidson Equities LLC	NEW CONSTRUCTION PROGRAM, NCP11857 - Vernon Blvd Towers	204,707
Davis Polk & Wardwell LLP	NEW YORK GREEN BANK, Green Bank Outside Legal Couns	7,540
Delaware River Solar, LLC	>200KW PV, NY Sun	3,748,475
Dell, Inc.	NYSERDA ADMINISTRATION, 25 Dell Desktops	16,937
	NYSERDA ADMINISTRATION, Dell - Precision Workstations	7,295
	NYSERDA ADMINISTRATION, DELL Desktops - 25 Order 2	16,937
	NYSERDA ADMINISTRATION, DELL-Laptops and Docks 7	9,288
	NYSERDA ADMINISTRATION, MS Project and Visio	114,755
DePaul Properties, Inc.	Low Rise New Construction, New Construction	48,000
DIBD NYC Inc.	Cleantech ICC Engage, Circular City Week Sponsorship	10,000
	OTHER PROGRAM AREA, 2019 Climate Leadership Forum	6,346
Direct Packet Inc.	NYSERDA ADMINISTRATION, Direct Response 2017	5,055
Dithold Associates LLC	NEW CONSTRUCTION PROGRAM, NCP13141 - Ditmas Park Care Ce	36,778
Diversified Control Inc.	Industrial Process Effic, Industrial Process Efficiency	56,324
DMV EQUITY, INC.	<200KW PV, PON 2112 NY SUN	5,740
DNV GL Energy Insights USA Inc.	EVALUATION, RFQ 3183 KEMA, Inc	604,148
	Flexible Tech Assistance, RFQ 3183 KEMA, Inc	37,760
Documentation Strategies, Inc.	GREEN AFFORDABLE HOUSING, Multifamily IT Support	14,693
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily IT Support	405,307
	NYSERDA ADMINISTRATION, Multifamily IT Support	18,000
DOJ Operations Associates LLC	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Program - PON 1746	103,671
DRYDEN-TOMPKINS SOLAR II LLC	>200KW PV, NY-Sun C&I	2,510,123
Dynamic Energy Solutions, LLC	>200KW PV, NY Sun	62,224
E Source Companies LLC	Subscription/Data Access, Market Insights	63,000
Earth Environmental Group, LLC	RENEWABLE THERMAL, Solar Thermal Incentives	10,000
East 138th Street, LLC.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	115,200
East Village 14 LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	148,200
Eastern Research Group, Inc.	CLEAN TRANSPORTATION, eTru Standards Development	109,757
EC Infosystems, Inc.	EVALUATION, EC Infosystems for EDI	185,850
	NYSERDA ADMINISTRATION, EDI TransFulfillment Services	200,000
	NYSERDA ADMINISTRATION, Electronic Data Interchange	190,650
Ecolectro Inc	OTHER PROGRAM AREA, PON3249 ACE-Exploratory resear	455,092
Eden Renewables, LLC	ESTOR:Retail Storage Incentive, Retail Storage	7,074,000
Edgemere Owners, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	20,362
Edison Energy Group Inc	K-12 SCHOOLS, FlexTech Consultant Selection	544,110
Eiger 3970 Consultants Inc.	<200KW PV, NY-Sun	337,329
	<200KW PV, PON 2112 NY SUN	10,819
	NY-SUN, NY-Sun	224,886
Einhorn Yaffee Prescott Architecture & E	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10129	36,313
Electric Power Research Institute	DER Integration(Intrcnct), PON 3404 DER Integration	200,000
ELH Construction Company, LLC	NEW YORK ENERGY STAR HOMES, New Construction	56,000
Elizabeth Marks	NEW YORK ENERGY STAR HOMES, New Construction	9,000
Emacx Systems, Inc.	EXISTING FACILITIES, Efficiency Planning & Engineer	30,000
EMCOR Services Betlem	Flexible Tech Assistance, FT12222-IsleChem-2801 Long-FTC	10,176

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>EME Consulting Engineering Group, LLC</b>	EXISTING FACILITIES, Tech Review and Program Staff	93,000
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	450,000
	NEW CONSTRUCTION PROGRAM, EME - EMP	9,760
	NEW CONSTRUCTION PROGRAM, Tech Review and Program Staff	13,100
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	34,700
	Talent Pipeline:CE and OJT, OJT HIRE	38,700
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
<b>Emerald Alternative Energy Solutions, In</b>	CLEAN TRANSPORTATION, Tech. Assistance contractor fo	11,000
<b>Emerling Sustainable Dairy Digester LLC</b>	ANAEROBIC DIGESTER, RPS CST ADG-Emerling Farms LLC	2,000,000
<b>Empire Solar Solutions LLC</b>	<200KW PV, PON 2112 NY SUN	40,246
<b>Empire State Realty Trust</b>	EXISTING FACILITIES, EFP1855 - Empire State Buildin	115,770
<b>Employee Leasing of Greater NY</b>	NY-SUN, Temporary Services	59,543
	NYSERDA ADMINISTRATION, Temp Employee Services	168,049
	NYSERDA ADMINISTRATION, TS.006 - Facilities Support	49,335
<b>Empower CES, LLC</b>	<200KW PV, NY Sun	62,359
	<200KW PV, PON 2112 NY SUN	22,683
	ENERGY STORAGE, PON 2112 NY SUN	25,000
<b>ENER-G ROTORS, Inc</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Waste heat..	2,585,783
<b>ENER-G Rudox, LLC</b>	Combined Heat and Power, CHPA - 685 1st Avenue	432,381
	COMBINED HEAT AND POWER, CHPA - Michaelangelo Hotel	154,747
<b>Energetics, Incorporated</b>	CLEAN TRANSPORTATION, Oneida County ITS Study	150,000
	CLEANER GREENER COMMUNITIES, Animating the EV market in N..	1,700,000
<b>Energy &amp; Environmental Research</b>	OTHER PROGRAM AREA, Blockchain study	45,000
<b>Energy &amp; Resource Solutions, Inc.</b>	ADVANCED BUILDINGS, Technical Review and Program S	2,519
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	45,760
	EVALUATION, TWO 2 - EEPS2 Closeout	2,088,363
	EXISTING FACILITIES, EFP Task Work Orders	30,000
	EXISTING FACILITIES, Technical Review and Program S	136,781
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	23,248
	Industrial Process Effic, Technical Review and Program S	12,506
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	38,615
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	79,954
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	15,970
	NYSERDA ADMINISTRATION, Technical Review and Program S	4,870
RENEWABLE HEAT NY, Technical Review and Program S	19,835	
<b>Energy and Environmental Economics Inc.</b>	CLEAN TRANSPORTATION, BCA of EV grid impacts	100,000
	Electric Vehicles - Innovation, BCA of EV grid impacts	45,277
	Electric Vehicles - Innovation, TWO#19 - EVSE/Util. Investment	47,750
	ENERGY ANALYSIS, Tech Assist, REV Pool.	777,417
	Mkt Char: Tech Assist, Tech Assist, REV Pool.	225,000
	OTHER PROGRAM AREA, Tech Assist, REV Pool.	100,000
RENEWABLE THERMAL, Solar Adoption Forecast	49,000	
<b>Energy Improvement Corporation</b>	MARKET PATHWAYS, Behavioral Demonstrations Prog	480,088
	NEW YORK GREEN BANK, EIC Letter of Credit	500,000
<b>Enertiv Inc.</b>	Real Time Enrgy Management, Enertiv-146 E 56th Street-RTEM	5,033
<b>EnterSolar LLC</b>	<200KW PV, NY Sun	116,708

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>EnterSolar LLC</b>	<200KW PV, NY-Sun	180,735
	<200KW PV, PON 2112 NY SUN	45,981
<b>Entic, Inc.</b>	Real Time Enrgy Management, EquityOffice-1065 6th Ave-RTEM	28,800
<b>ePlus inc</b>	NYSERDA ADMINISTRATION, Bulk Service consulting servic	5,000
<b>EPP Team, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	139,554
<b>EPR Properties</b>	NEW CONSTRUCTION PROGRAM, NCP13170 - Adelaar Hotel and I	220,000
<b>Erdman Anthony &amp; Associates, Inc.</b>	Commercial New Construc, Commercial New Construction	38,619
	Industrial Process Effic, Technical Review and Program S	11,505
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	23,237
	NEW CONSTRUCTION PROGRAM, NCP TA Contract - STD10134	29,350
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	48,662
	Technical Services, RFP3628FlexTechConsultUmbrella	6,000
<b>ERY South Residential Tower LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11332-15 Hudson Yards-OF..	401,656
<b>Ery Tenant LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10227 - 30 Hudson Yards	309,847
	NEW CONSTRUCTION PROGRAM, NCP10565 - Retail Hudson Yards	223,912
	NEW CONSTRUCTION PROGRAM, NCP11551 - Hudson Yards E	450,293
<b>Essense Partners Inc.</b>	>200KW PV, Marketing Support for NYSERDA	12,000
	Community RH&C, Marketing Support for NYSERDA	11,000
	Geothermal Incentive Program, Marketing Support for NYSERDA	7,000
	Home Perf w Energy Star, Marketing Support for NYSERDA	12,000
	NEW YORK GREEN BANK, Material development for NYGB	150,000
	NY-SUN, Marketing Support for NYSERDA	0
	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	23,570
	Renewable Heat NY, Marketing Support for NYSERDA	25,500
	REV Connect, Marketing Support for NYSERDA	125,000
<b>Evoworld</b>	NextGen HVAC, Advanced Buildings	48,089
<b>Extraterrestrial Materials Inc.</b>	<200KW PV, NY-Sun	5,494
	<200KW PV, PON 2112 NY SUN	37,237
<b>Fairport Municipal Commission</b>	CLEANER GREENER COMMUNITIES, CEC300330-Vill of Fairport	50,000
<b>Fallen Tree Solar, LLC</b>	>200KW PV, NY Sun	845,093
<b>FARM, LLC</b>	CLEAN TRANSPORTATION, Corporate Marketing	54,546
<b>FBD Realty</b>	EXISTING FACILITIES, EFP2389 - FBD Realty LLC - mul	62,965
<b>Federated Conservationists of Westcheste</b>	OREC: Technical Support, West. Youth Climate Summit	5,000
<b>Federation of Italian Americans Org.</b>	NEW CONSTRUCTION PROGRAM, NCP9004 - FIAO Community Ce..	84,010
<b>Fibertech Holdings Corp</b>	NYSERDA ADMINISTRATION, Information Technology	62,000
<b>Finch Paper, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	500,000
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	4,000,000
<b>First Associates Loan Servicing, LLC</b>	GJGNY REVOLVING LOAN FUND, Financing Solutions	326,581
	GJGNY REVOLVING LOAN FUND, Single Family Residential	238,119
<b>First Columbia Property Services, LLC</b>	Property Management	25,000
<b>First Quality Maintenance II, LLC</b>	NYSERDA ADMINISTRATION, Admin-NYC (Accounting Use)	129,198
	NYSERDA ADMINISTRATION, NYC Office Cleaning-15th Floor	19,292
<b>First Republic Corp of America</b>	Home Perf w Energy Star, 2019 NY Res Home Reg Training	5,185
<b>First Ward Action Council, Inc.</b>	Low Rise New Construction, New Construction	40,000
<b>FlexEnergy Energy Systems Inc</b>	Combined Heat and Power, CHPA - Saratoga Hospital	1,159,375
<b>Florenton River LLC</b>	<200KW PV, PON 2112 NY SUN	14,411



**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>FM Office Express</b>	Furniture 1359 Broadway 15th	84,185
<b>Forbes-Capretto Homes</b>	Low Rise New Construction, 2019 LRNCP	14,250
	New Construction- Housing, 2019 LRNCP	5,700
<b>Fordemoor Solar, LLC</b>	>200KW PV, NY Sun	654,947
<b>Fortuna Fifth Ave LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11596 - 25-27 West 38th Str	75,816
<b>Fountain House</b>	COMBINED HEAT AND POWER, Distributed Generation as Comb	220,000
<b>Fourth Coast, Inc.</b>	<200KW PV, PON 2112 NY SUN	61,612
<b>Frank Communications</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Copywritin..	100,000
	NYSERDA ADMINISTRATION, Copywriting and Technical Edit	1
<b>Franklin Plaza Apartments, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	1,632,000
<b>Fred F. Collis &amp; Sons, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	23,040
<b>Frederick A Proven</b>	<200KW PV, PON 2112 NY SUN	23,184
<b>Fresh Direct</b>	NEW CONSTRUCTION PROGRAM, NCP11095 - Harlem River Yards	559,380
<b>Friends Seminary</b>	NEW CONSTRUCTION PROGRAM, NCP13054-TownhousesRenovat..	118,768
<b>Frog Hollow Solar, LLC</b>	>200KW PV, NY Sun	845,093
<b>Frontier Energy, Inc.</b>	Agriculture Energy Eff Pgm, FlexTech Consultant Selection	2,500
	COMBINED HEAT AND POWER, Technical Advisors to CHP	225,844
	COMBINED HEAT AND POWER, Technical Review_Prgm Support	2,508
	EXISTING FACILITIES, EFP Task Work Order	170,637
	Industrial Process Effic, Technical Review_Prgm Support	6,650
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review_Prgm Supp..	20,330
<b>FTI Consulting Technology LLC</b>	NYSERDA ADMINISTRATION, ITG-0083: Legal-Ringtail	19,173
<b>Fuller Road Management Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	637,495
<b>Fulton County</b>	Clean Energy Communities, CEC610872 - Fulton County	150,000
<b>Fulton Franklin Housing Development Fund</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	112,000
<b>Fulton South Development</b>	NEW CONSTRUCTION PROGRAM, NCP11533 - Fulton South	61,351
<b>Fusco Personnel, Inc.</b>	NYSERDA ADMINISTRATION, Temp Services - Marketing PM	189,810
	NYSERDA ADMINISTRATION, Temporary Services - Reception	9,461
<b>Fusion Energy Services LLC</b>	<200KW PV, PON 2112 NY SUN	14,641
<b>G.W. Ehrhart, Inc.</b>	Renewable Heat NY, Ehrhart - Bass	21,000
	Renewable Heat NY, Ehrhart - Redman	21,000
<b>Gardeau Crest Farm</b>	ANAEROBIC DIGESTER, Gardeau Crest ADG-to-Electric	1,000,000
<b>Garlock Sealing Technologies, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	962,890
<b>Gateway Energy Services Group. LLC</b>	EXISTING FACILITIES, Gateway One CHP Project	1,189,604
<b>GCOM Software LLC</b>	NYSERDA ADMINISTRATION, Salesforce Administrator Suppo	199,500
<b>Geatain Engineering PLLC</b>	Commercial Real Estate Ten, Geatain Engineer - 485 5th Ave	5,000
<b>General Electric International Inc</b>	>200KW PV, NY Sun	6,201,664
	>200KW PV, NY-Sun C&I	1,281,119
	ESTOR:Retail Storage Incentive, NY-Sun C&I	2,500,001
	Solar Plus Energy Storage, NY Sun	3,500,000
<b>General Mills</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	877,611
<b>Generate Capital Inc.</b>	<200KW PV, NY-Sun	135,864
<b>Genesee Region Clean Communities, Inc.</b>	CLEAN TRANSPORTATION, GRCC will seek proposals for A	1,724,160
<b>Genesis Housing Development Corporation</b>	Low Rise New Construction, New Construction	91,800
<b>George E Denmark II</b>	<200KW PV, PON 2112 NY SUN	21,809
<b>George J. Martin &amp; Son</b>	<200KW PV, PON 2112 NY SUN	335,340

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>George Secord</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	23,961
<b>George Washington Bridge Bus Station Dev</b>	NEW CONSTRUCTION PROGRAM, NCP11748 - GWB Bus Station	413,711
<b>Geotherm Inc.</b>	<200KW PV, PON 2112 NY SUN	11,928
<b>Gleason Works</b>	Industrial Process Effic, Industrial Process Efficiency	53,820
<b>Glenwood Management Corp</b>	ADVANCED BUILDINGS, EFP2308 - Glenwood Management	604,920
	EXISTING FACILITIES, DMP Bonus - EFP2308 - Glenwood	203,196
	EXISTING FACILITIES, EFP2308 - Glenwood Management	1,810,080
<b>Global Change Associates Inc.</b>	Cleantech ICC Engage, 2020 Wall Street Green Summit	5,000
<b>Global Dwelling, LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	19,520
<b>Go Solar/Green NY, LLC</b>	<200KW PV, NY Sun	15,000
<b>Goldman Copeland Associates, P.C.</b>	Commercial Real Estate Ten, G&C Associates - 40 Fulton St	5,000
	Commercial Real Estate Ten, GCA - 423 West 55th St Fl 6-12	5,000
	Commercial Real Estate Ten, GCA - 909 3rd Ave Alix Fl 28	5,000
	Commercial Real Estate Ten, GCA-60 E 42nd Fl27	5,998
	Commercial Real Estate Ten, GCA-60 E 42nd Fl42	5,998
	Commercial Real Estate Ten, Goldman Copela-1 Penn Plaza-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland - 909 3rd Ave	21,993
	Commercial Real Estate Ten, Goldman Copeland-1 Park Ave-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland-2 Penn Pla-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland-40 Fulton-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland-90 Park Av-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland-100 W 33rd-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland-150 E 58th-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland-330MadisonAve	21,993
	Commercial Real Estate Ten, Goldman Copeland-510 5th Av-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland-888 7th Av-CT	21,993
	Commercial Real Estate Ten, Goldman Copeland-1290 AoA-CT	21,993
	Commercial Real Estate Ten, Goldman-280 Park Ave-CT	21,993
	Commercial Real Estate Ten, Goldman-2000 Westchester Av-CT	21,999
	Commercial Real Estate Ten, GoldmanCopeland-33-00 N Blv-CT	21,993
	Flexible Tech Assistance, FT12070-Vornado655-663 5th-FTC	13,991
	Flexible Tech Assistance, FT12101 - ERT 250 W 57th - FTC	14,993
	Technical Services, RFP3628FlexTechConsultUmbrella	50,000
<b>Golub Corporation</b>	NEW CONSTRUCTION PROGRAM, NCP13091 - M32 Plattsburgh	65,483
	NEW CONSTRUCTION PROGRAM, NCP13093 - The Golub Corp.	78,657
	NEW CONSTRUCTION PROGRAM, NCP13094 - Market 32 Brunswick	42,401
<b>Goulds Pumps</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	53,727
<b>Grandview Solar, LLC</b>	>200KW PV, NY Sun	654,947
<b>GRE Fund II Holdco LLC</b>	>200KW PV, NY Sun C&I	154,885
	>200KW PV, NY-Sun	554,946
	>200KW PV, NY-Sun CI Assignment	152,465
	>200KW PV, NY-Sun Payment assignee	168,965
<b>Greater Hudson Bank</b>	>200KW PV, NY Sun C/I	805,344
	NY-SUN, Manhattan Beer Suffern1	248,002
<b>Green Hybrid Energy Solutions Inc.</b>	<200KW PV, NY-Sun	8,424
	<200KW PV, PON 2112 NY SUN	175,398

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Green Hybrid Energy Solutions Inc.</b>	>200KW PV, PON 2112 NY SUN	11,934
<b>Green Street Power Partners LLC</b>	<200KW PV, NY-Sun	20,000
	>200KW PV, NY Sun	393,636
	>200KW PV, NY-Sun	30,150
	>200KW PV, PON 2112 NY SUN	349,488
<b>Green Team USA, LLC</b>	WORKFORCE DEVELOPMENT, OJT HIRE	55,360
<b>GreenBiz Group, Inc.</b>	OTHER PROGRAM AREA, 2018 Verge Sponsorship	7,500
	OTHER PROGRAM AREA, Verge 2019	7,500
<b>Greenhill Contracting Inc.</b>	Low Rise New Construction, New Construction	145,800
<b>Greenpac Mill, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	153,500
<b>Greentech Media Inc.</b>	NY-SUN, NY-Sun	26,000
<b>Grid City Electric Corp</b>	<200KW PV, NY-Sun	9,648
	<200KW PV, PON 2112 NY SUN	16,170
	>200KW PV, NY-Sun	14,472
	>200KW PV, PON 2112 NY SUN	109,263
<b>Group-S LLC</b>	COMBINED HEAT AND POWER, Luna Park CHP Demonstration	1,000,000
	Flexible Tech Assistance, FlexTech Consultant Selection	11,000
<b>GTT Communications, Inc.</b>	Industrial Process Effic, Industrial Process Efficiency	34,437
<b>H.E.L.P Development Corp.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	95,000
<b>H/R Tech Residential LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	316,800
<b>Habitat for Humanity (Capital District)</b>	Low Rise New Construction, 2019 LRNCP	6,800
<b>Halcyon, Inc.</b>	<200KW PV, PON 2112 NY SUN	11,802
	Talent Pipeline:CE and OJT, OJT HIRE	64,976
<b>HALO Branded Solutions, Inc.</b>	POLICY DEVELOPMENT, DPS 2019 NYS Fair giveaways	60,336
<b>HANAC, Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	68,000
<b>Harbec Inc</b>	COMBINED HEAT AND POWER, Harbec Plastics CHP Demonstrat	175,705
	RENEWABLES & DER INTEGRATION, Harbec Plastics CHP Demons..	562,295
<b>Harris Wiltshire &amp; Grannis LLP</b>	ENERGY ANALYSIS, RFP3776 Outside Counsel Servic	42,550
<b>Harvest Power, LLC</b>	<200KW PV, NY Sun	53,554
	<200KW PV, NY-Sun	6,630
	>200KW PV, NY-Sun	9,945
	>200KW PV, PON 2112 NY SUN	16,320
<b>Hawn Heating &amp; Energy Services LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	11,520
<b>HB Architectural Lighting</b>	Industrial Process Effic, Industrial Process Efficiency	77,612
<b>Heat Keepers, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	15,360
<b>Helix Partners, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	236,950
<b>Hewlett-Packard Enterprise Company</b>	NYSERDA ADMINISTRATION, HP Server Maintenance	5,319
<b>HFZ 344 West 72nd Street Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	170,000
<b>High Falls Operating Co, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	965,720
<b>High Hawk Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	43,310
<b>High Peaks Solar</b>	<200KW PV, PON 2112 NY SUN	11,898
	>200KW PV, NY Sun	1,546,124
<b>Holland &amp; Knight LLP</b>	Commercial Real Estate Ten, Green Bank Outside Legal Serv.	33,727
	Green Bank Outside Legal Serv.	150,000
	NEW YORK GREEN BANK, Green Bank Outside Legal Serv.	141,284
	NEW YORK GREEN BANK, RFP 12 - NYGB Legal Services	44,373

## Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Holland & Knight LLP	NYSERDA ADMINISTRATION, Nuclear Facility Bankruptcy	272
	OTHER PROGRAM AREA, Nuclear Facility Bankruptcy	35,000
Holliswood Center for Rehabilitation	Flexible Tech Assistance, FlexTech Program - PON 1746	32,234
Holmes Acre, LLC	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	21,771
Hotel Gansevoort	Flexible Tech Assistance, FT11682 - Hotel Gansevoort	22,888
Houlihan Lokey Financial Advisors, Inc.	Green Bank	25,000
Howell Solar, LLC	>200KW PV, NY Sun	845,093
Hudson Gateway II, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	336,641
Hudson River Trading	Industrial Process Effic, Industrial Process Efficiency	161,201
Hudson Solar	>200KW PV, NY Sun	122,617
Hudson Valley Clean Energy Inc.	<200KW PV, PON 2112 NY SUN	81,094
Hudson Valley Wind Energy, LLC	<200KW PV, NY Sun	14,580
	<200KW PV, PON 2112 NY SUN	5,733
	Small Wind, Wind Turbine Incentive	52,178
Huron Real Estate Associates, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	260,486
	INDUSTRIAL PROCESS EFFICIENCY, Resiliency & Emergency Prep..	242,475
IBC Engineering PC	Commercial New Construc, IBC - EMP	31,235
ICF Resources, LLC	CLEAN TRANSPORTATION, BCA of EV grid impacts	78,251
	NY-SUN, Affordable Solar Saratoga Spri	103,484
	OTHER PROGRAM AREA, Flex Energy Tech Analysis 2	40,717
IESI NY Corporation	NYSERDA ADMINISTRATION, Trash Removal from NYC Office	15,146
IHS Global Inc.	ENERGY ANALYSIS, PointLogic Gas Service Subscri	25,000
IKEA	Flexible Tech Assistance, FT12030 - IKEA Brooklyn - PON	9,510
Inc.Village of Williston Park	CLEANER GREENER COMMUNITIES, Village of Williston Park	50,000
Industrial Economics, Incorporated	SMART GRID SYSTEMS, Flex Energy Tech Analysis 2	58,000
INF Associates LLC	Commercial Real Estate Ten, INF - 299 Park Ave FL 18,19	5,000
	Commercial Real Estate Ten, INF - 333 East 70th Street	5,000
	Commercial Real Estate Ten, INF - 1350 Ave Of The Americas	5,000
	Commercial Real Estate Ten, INF Associates LLC - Multisite	29,744
	Commercial Real Estate Ten, INF Associates-250 W 55th St	5,000
	Commercial Real Estate Ten, INF Associates-Multisite	50,591
	Commercial Real Estate Ten, INF-19 E57th Street Fl 3, 8-17	15,469
Infinity Solar Systems, LLC	<200KW PV, PON 2112 NY SUN	10,644
inLogic, Inc.	NYSERDA ADMINISTRATION, RFID handheld scanners with 2	6,149
inMotion, Inc.	NYSERDA ADMINISTRATION, inMotion Project Management	74,500
Institute for Building Technology and Sa	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, 3695 TW..	7,665
	EMPOWER NY, 3695 TWO Umbrella Agreement	2,905
	Home Perf w Energy Star, 3695 TWO Umbrella Agreement	360,580
	HOME PERFORMANCE WITH ENERGY STAR, 3695 TWO Umbrella ..	3,850
Integrity Solar Solutions, LLC	<200KW PV, PON 2112 NY SUN	5,394
Intellidatum LLC	NYSERDA ADMINISTRATION, Information Technology	895,050
IntelliGen Power Systems, LLC	COMBINED HEAT AND POWER, CHPA - New York Towers	1,520,685
Interaction Associates	ENERGY ANALYSIS, Energy & EnvironmentalAnalysis	28,500
	EVALUATION, Performance Management	9,500
Intermountain Management Inc.	Industrial Process Effic, Industrial Process Efficiency	82,320
International Electronic Machines Corp.,	CLEAN TRANSPORTATION, Optical Wheel Flaw Detection	499,032

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Intertek Testing Services NA Inc.</b>	CLEAN TRANSPORTATION, Wind Test Center	4,300,000
<b>Intrinsic Materials, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, EEM of Pri..	281,900
<b>Invenergy Wind, LLC</b>	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	953,940
<b>Investors Circle</b>	Cleantech ICC Engage, 2020 Investor Circle Sponsor	40,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Investors' ..	225,000
<b>iPROMOTEu.com Inc.</b>	Clean Energy Communities, Branded Marketing	12,000
<b>Janus Solar Fund LP</b>	NY-SUN, PV System at Janus Solar Fund	1,277,332
<b>Jaros, Baum &amp; Bolles</b>	Technical Services, AGG1002-Jaros, Baum & Bolles	50,000
<b>JCRA Financial LLC</b>	NEW YORK GREEN BANK, JRCA Hedging Strategy	25,000
<b>JCTOD Outreach, Inc.</b>	Low Rise New Construction, New Construction	29,000
<b>Jefferson Towers, Inc.</b>	COMBINED HEAT AND POWER, Distributed Generation as Comb	393,027
<b>Jeffery B. Greenblatt</b>	ENERGY ANALYSIS, EEA Project Review	24,000
<b>Jeffrey L Kinzler</b>	CLEAN TRANSPORTATION, Urban Intermodal Freight Sys	250,000
<b>Jewish Community Center on the Hudson</b>	NEW CONSTRUCTION PROGRAM, NCP10443 - JCC on the Hudson	36,627
<b>Jewish Home of Rochester</b>	NEW CONSTRUCTION PROGRAM, NCP12489-JewishSeniorLife-OF..	63,417
<b>JFK Hotel Owner LLC</b>	Home Perf w Energy Star, 2019 NY Res. Reg. Training-NYC	5,000
<b>Johnson Associates, Inc</b>	NEW YORK GREEN BANK, JAI NYSERDA Consulting Cnt,	50,000
<b>Johnson Controls, Inc. (Syracuse)</b>	Flexible Tech Assistance, FT12085 - Gananda CSD - FTC	35,258
<b>Jones Lang LaSalle Americas, Inc.</b>	Commercial Real Estate Ten, JLL Americas, Inc - Multisite	55,000
	Real Time Enrgy Management, JLL - 50 E Broad St - RTEM	73,739
<b>Jordan Energy and Food Enterprises LLC</b>	<200KW PV, PON 2112 NY SUN	42,858
<b>JPMorgan Chase Bank National Association</b>	EXISTING FACILITIES, EFP2380 - JPMorgan Chase - Mul	2,836,684
<b>Juniper Time Owner, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12321 - NYLO Hotel	106,396
<b>Karpman Consulting, LLC</b>	Code to Zero, Karpman Csltg RFP3036 Services	9,000
<b>Kasselman Solar LLC</b>	<200KW PV, NY Sun	5,264
	<200KW PV, NY-Sun	82,831
	<200KW PV, PON 2112 NY SUN	342,696
<b>Katherine MacDonald</b>	OTHER PROGRAM AREA, Tech to Market Assessment	11,150
<b>Katya Solar, LLC</b>	>200KW PV, NY Sun	845,093
<b>Kearns &amp; West, Inc.</b>	REC:CES REC System Dev Costs, Large-Scale Renewables	24,403
<b>Kelliher Samets Volk</b>	Air Source Heat Pumps, Marketing Support for NYSERDA	375,000
	NYSERDA ADMINISTRATION, Digital Transformation	88,800
	NYSERDA ADMINISTRATION, Marketing Support for NYSERDA	8,000
	NYSERDA ADMINISTRATION, Salesforce Optimization	46,480
<b>Key Bank</b>	<200KW PV, NY-Sun	449,820
<b>Kilowatt Engineering, Inc.</b>	EXISTING FACILITIES, 2621 Umbrella Contract	5,328
	Industrial Process Effic, 2621 Umbrella Contract	9,741
	Industrial Process Effic, IPE16230	12,164
<b>Kingston City School District</b>	NEW CONSTRUCTION PROGRAM, NCP12313 - Salzmann Building	168,616
<b>KLD Engineering, P.C.</b>	CLEAN TRANSPORTATION, Transportation Resiliency	149,495
<b>L&amp;S Energy Services, Inc.</b>	COMBINED HEAT AND POWER, Umbrella Contract	54,820
	EXISTING FACILITIES, Umbrella Contract	28,650
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	23,137
	Industrial Process Effic, Umbrella Contract	73,845
	INDUSTRIAL PROCESS EFFICIENCY, Umbrella Contract	44,175
	NEW CONSTRUCTION PROGRAM, Umbrella Contract	30,268

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>L&amp;S Energy Services, Inc.</b>	Technical Services, RFP3628FlexTechConsultUmbrella	7,500
<b>LaBella Associates, P.C.</b>	Agriculture Energy Eff Pgm, RFP3628FlexTechConsultUmbrella	6,000
	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	245,580
	EXISTING FACILITIES, Technical Review and Program S	53,728
	Flexible Tech Assistance, FT12205 - Xerox Building - FTC	6,708
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	12,000
	Geothermal Incentive Program, Large-Scale GSHP	126,996
	REV Campus Challenge, Novus PO Assignment	21,469
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
<b>Landau Solar III, LLC</b>	>200KW PV, NY Sun	475,365
<b>LaRocque Business Management Services, L</b>	Electric Vehicles - Innovation, EV outreach @ home showcase	11,000
<b>Lawview Farm</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	12,586
<b>Legacy Yards Tenant LLC</b>	EXISTING FACILITIES, DMP Bonus - 10 Hudson Yards	124,526
	NEW CONSTRUCTION PROGRAM, NCP10564-10 Hudson Yards-OF..	1,486,285
<b>Lemor Development Group, LLC</b>	Multifam Performance Pgm, Multifamily	150,500
<b>Level 3 Communications, LLC</b>	NYSERDA ADMINISTRATION, Facilities Management	146,903
	NYSERDA ADMINISTRATION, Information Technology	132,831
<b>Leviton Manufacturing Co, Inc.</b>	CLEAN TRANSPORTATION, PEV Enabling Technology Demons	49,318
<b>Lewis County</b>	Clean Energy Communities, CEC701052 - Lewis County	100,000
<b>LG Broadway Management Inc</b>	NEW CONSTRUCTION PROGRAM, NCP13138 - Virgin Broadway Hot	295,315
<b>Lime Energy</b>	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	246,000
<b>Lincoln Life &amp; Annuity Company of NY</b>	NYSERDA ADMINISTRATION, Long Term Disability Premium	170,738
<b>Linde, LLC</b>	Industrial Process Effic, Industrial Process Efficiency	338,499
<b>Lockheed Martin Corporation</b>	NYSERDA ADMINISTRATION, Hotline & Fulfillment 2016	189,999
<b>Lockheed Martin NE &amp; SS</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	213,961
<b>Long Island Power Authority</b>	NY-SUN, LIPA MOU RGGI Compliance Progr	124,800,000
<b>Long Island Progressive Coalition</b>	CLEANER GREENER COMMUNITIES, GJGNY Outreach CBO	220,204
	GJGNY REVOLVING LOAN FUND, GJGNY Outreach CBO	1,169,781
<b>Lor-Rob Sustainable Dairy Digester LLC</b>	ANAEROBIC DIGESTER, RPS CST ADG-Lor-Rob Dairy Farm	2,000,000
<b>Low-Level Radioactive Waste Forum, Inc.</b>	NYSERDA ADMINISTRATION, Data & Markets	5,000
<b>LPC Managers LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,500
<b>LPCiminelli, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	228,500
<b>Lumsden &amp; McCormick, LLP</b>	NYSERDA ADMINISTRATION, Contract Management	10,000
	OREC: Technical Support, Large-Scale Renewables	7,000
<b>Lynn Hunter</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	10,075
<b>M.J. Beck Consulting LLC</b>	REC:CES REC System Dev Costs, TWO-2-IE_2019	35,000
<b>M/E Engineering, P.C.</b>	Industrial Process Effic, Technical Review and Program S	26,765
<b>Magruder Solar, LLC</b>	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	19,331,960
<b>Maifly Development LLC</b>	Low Rise New Construction, 2019 LRNCP	23,900
<b>Malcarne Contracting, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	8,640
<b>Malcolm Pirnie, Inc.</b>	COMBINED HEAT AND POWER, EFP Task Work Orders	62,000
<b>Malta Development Company Inc</b>	NEW YORK ENERGY STAR HOMES, New Construction	75,000
<b>Mamerck Solutions LLC</b>	NEW YORK GREEN BANK, Green Bank	60,000
<b>Maple Housing Development Fund Corp</b>	Multifam Performance Pgm, Multifamily	80,500
<b>Mapleview Dairy LLC</b>	ANAEROBIC DIGESTER, RPS CST ADG - Mapleview Dairy	2,000,000
<b>Margaret R Cayten</b>	NEW YORK GREEN BANK, Green Bank	50,000

## Contracts Completed

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Contractor	Contract Description	Total Contract Amount
Marist College	NEW CONSTRUCTION PROGRAM, NCP12746-MaristCollegeNorthC..	100,213
Marlo Towers Owners, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	186,200
Marriott Hotel Services	Combined Heat and Power, Onsite Resilient Power Conf	156,658
McMahon and Mann Consulting Engineers	WEST VALLEY DEVELOPMENT PROGRAM, Engineering/Surveying ..	432,500
Medusa NY 1, LLC	>200KW PV, NY-Sun C&I	718,200
Meister Consultants Group, Inc.	Commercial Real Estate Ten, RFP3631 - CTP Support - Cadmus	49,250
	Customer Decision Making, SHC Market Assessment Research	50,000
	Flexible Tech Assistance, Soft Cost Chellange_Consultant	49,000
Melrose Apartments, L.P.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	138,600
Memorial Hospital for Cancer & Allied Di	NEW CONSTRUCTION PROGRAM, NCP11393 - 74th Street Ambulat	962,245
Memorial Sloan Kettering Cancer Center	Workforce Industry Partnership, PON 3442 Workforce Training	400,000
MEPT 309 Fifth Avenue LLC	NEW CONSTRUCTION PROGRAM, NCP10319 - 309 Fifth Owners,	57,042
Mesa Bioenergy Supply, LLC	CLEANER GREENER COMMUNITIES, CGC32404 Reassignment to ..	841,188
Messer LLC	Industrial Process Effic, Industrial Process Efficiency	300,230
Metal Container Corp.	Industrial Process Effic, Industrial Process Efficiency	84,105
Metropolitan Washington Council	OTHER PROGRAM AREA, DOE UER - MWCOCG	48,000
Micatu, Inc.	Talent Pipeline:CE and OJT, OJT HIRE	5,120
Michael Farrell	NEW YORK GREEN BANK, Due Diligence Assistance	50,000
Michaels Group Homes, LLC	Low Rise New Construction, 2019 LRNCP	38,950
	Low Rise New Construction, LR NCP New Construction	12,350
mindSHIFT Technologies, Inc.	NYSERDA ADMINISTRATION, Application Support and Manage	16,000
	NYSERDA ADMINISTRATION, Hosting Cloud Solutions	313,793
	NYSERDA ADMINISTRATION, Mindshift - Offsite Hosting	14,020
Mirbeau of Rhinebeck, LLC	NEW CONSTRUCTION PROGRAM, NCP14036 - Rhinebeck Village P	36,266
Monolith Solar Associates, LLC	<200KW PV, NY Sun	861,680
	<200KW PV, PON 2112 NY SUN	216,918
Monroe Cable Company	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	314,532
Montefiore Medical Center	COMBINED HEAT AND POWER, CHP Performance Program	2,400,000
Morris Avenue Apartments, LP	GREEN AFFORDABLE HOUSING, Multifamily	152,033
	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	272,026
Morris II Apartments, LP	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	69,300
Mount Sinai Medical Center	Flexible Tech Assistance, FT12053 - Mount Sinai - PON	17,400
MOVE Systems International, LLC	CLEAN TRANSPORTATION, food truck charging pedestals	129,376
Move Systems, Inc.	CLEAN TRANSPORTATION, food truck charging pedestal	200,000
MPI, Inc	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transforma..	100,000
MPL Incorporated	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	14,337
MS Management Associates, Inc.	>200KW PV, NY-Sun	253,368
Municipal Housing Authority of the	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	102,300
	NEW YORK ENERGY STAR HOMES, New Construction	127,000
MVP Consulting Plus, Inc.	NYSERDA ADMINISTRATION, License Renewal for SAS Statis	10,418
NASEO	ENERGY ANALYSIS, Solar Soft Cost Lit Review	80,000
	EVALUATION, USEER Support	50,000
Natale Builders	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	99,000
National Renewable Energy Laboratory	Cleantech ICC Engage, 2020 NREL Sponsorship	6,000
National Solar Technologies	<200KW PV, PON 2112 NY SUN	19,872
Navigant Consulting Inc.	NEW YORK GREEN BANK, Outside Technical and Eng. Srv	378,086

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>NCM USA Bronx LLC</b>	Flexible Tech Assistance, FT12206 - NCM-USA - PON	16,806
<b>NESCAUM</b>	Electric Vehicles - Innovation, Year 2 EV marketing campaign	475,000
<b>Netsparker Limited</b>	NYSERDA ADMINISTRATION, NetSparker Software - 1 year	6,000
<b>Network Craze Technologies</b>	NYSERDA ADMINISTRATION, Network Data Center Project	24,920
	Redundant Network Gear - NYC	19,740
<b>Network Experts of New York, Inc.</b>	NYSERDA ADMINISTRATION, .Net Developer for Staff Aug -	174,525
	NYSERDA ADMINISTRATION, Contract Project Manager	196,650
	NYSERDA ADMINISTRATION, Helpdesk Technician	495,950
	NYSERDA ADMINISTRATION, Information Technology	20,276
	NYSERDA ADMINISTRATION, Miscellaneous Network Services	60,000
	NYSERDA ADMINISTRATION, Off-Site Backup Replication	12,000
	NYSERDA ADMINISTRATION, PeopleSoft Administrator/DBA	1,016,275
	NYSERDA ADMINISTRATION, Peoplesoft Development	374,440
<b>New 56th and Park NY Owner LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10655 - 432 Park Avenue	2,397,054
<b>New Destiny Housing Corporation</b>	Multifam New Construction, New Construction	54,000
<b>New Venture Advisors LLC</b>	Agbotic - Market DD	35,000
<b>New York Academy of Sciences</b>	Cleantech ICC Engage, 2019 NY Green Innovation Showc	35,000
	EVALUATION, Innovation and Business Develo	150,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Innovation ..	285,935
	OTHER PROGRAM AREA, Innovation and Business Develo	248,000
<b>New York Battery and Energy Storage</b>	Combined Heat and Power, Attendance/exhibits for CHP	12,790
	Rmve Barriers Dist Enrgy Storg, Task Work Order No. 3	423,570
<b>New York City Department of Design and</b>	NEW CONSTRUCTION PROGRAM, NCP10626 - MCC Theater	30,486
<b>New York City Energy Efficiency Corp</b>	CLEANER GREENER COMMUNITIES, CGC32252 - NYCEEC	500,000
<b>New York Methodist Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP11889 - New York Methodist	360,359
<b>New York Passive House Inc.</b>	New Construction- Housing, 2019 NAPHN Annual Forum	7,500
	Retrofit NY, 2019 NAPHN Annual Forum	7,500
<b>New York Power Authority</b>	Flexible Tech Assistance, FlexTech MOU NYSERDA-NYPA	397,455
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech MOU NYSERDA-NY..	191,393
<b>New York Power Authority,</b>	CLEAN TRANSPORTATION, NYPA PON 2301 EVSE project.	989,920
	Electric Vehicles - Innovation, 2019 NY Auto Show	15,000
	SMART GRID SYSTEMS, Above Ground CAES Phase 1	250,000
<b>New York Presbyterian Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP11494 - Ambulatory Care C..	689,536
<b>New York State Ag &amp; Markets</b>	NYSERDA ADMINISTRATION, 2017 NYS Fair Exhibit	9,475
<b>New York State Forum for IRM</b>	NYSERDA ADMINISTRATION, NYS Forum Agency Membership	5,500
<b>New York State Police</b>	NEW CONSTRUCTION PROGRAM, NCP12387-NYS Police-OFLT	33,035
<b>New York State Solar Farm Inc.</b>	<200KW PV, PON 2112 NY SUN	176,588
<b>New York University</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Clean Tech..	400,000
<b>Networks, LLC</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Technology..	15,000
<b>Newport Corporation</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	38,024
<b>Newport Ventures, Inc.</b>	ADVANCED ENERGY CODES, Energy Code Training	2,098,664
	Code to Zero, Energy Code Training	268,058
<b>Nexant, Incorporated</b>	EXISTING FACILITIES, .	16,573
	EXISTING FACILITIES, Technical Review and Program S	10,007
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	22,174
<b>NextCorps Inc</b>	NEW CONSTRUCTION PROGRAM, NCP12988 - SibleyBuilding 6 FI	9,782



**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Nextera Energy Capital Holdings Inc</b>	NY-SUN, New York Sun Competitive PV Pr	2,166,371
<b>Nickels Energy Solutions LLC</b>	<200KW PV, PON 2112 NY SUN	5,198
<b>Nixon Peabody LLP</b>	Green Bank Outside Legal Serv.	32,500
<b>NMR Group, Inc.</b>	Home Energy Ratings, RFQ 3183 NMR Group, Inc.	49,952
<b>Noresco LLC</b>	Flexible Tech Assistance, FT12245-Cogswell-215 W 125-FTC	21,765
<b>North American Breweries</b>	Industrial Process Effic, Industrial Process Efficiency	26,325
<b>North American Passive House Network, In</b>	New Construction- Housing, Passive House 2020	16,667
	Retrofit NY, Passive House 2020	8,334
<b>Northeast Energy Efficiency Partnerships</b>	Air Source Heat Pumps, 2019 NEEP Sponsorship	50,000
	Clean Energy Communities, 2019 NEEP Sponsorship	10,000
	Code to Zero, 2019 NEEP Sponsorship	10,000
	Consumer Ed and Market Support, 2019 NEEP Sponsorship	25,000
	NYSERDA ADMINISTRATION, 2019 NEEP Sponsorship	3,600
	On-Site Energy Manager, 2019 NEEP Sponsorship	10,000
	Product Standards, 2019 NEEP Sponsorship	21,400
	Prof & Expert Engagement, 2019 NEEP Sponsorship	25,000
<b>Northstar 41 LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	100,000
<b>Northwell Health, Inc.</b>	Commercial New Construc, NCP15045-5925 Little Neck-OFLT	41,059
<b>Novel Approaches Solar Applications, LLC</b>	<200KW PV, PON 2112 NY SUN	13,335
<b>NP Environmental LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	12,042
<b>Nutrition Bar Confectioners</b>	Industrial Process Effic, Industrial Process Efficiency	6,661
<b>NY BIG FLATS I, LLC</b>	>200KW PV, NY Sun C&I	1,281,677
<b>NY Newfield IV, LLC</b>	>200KW PV, NY Sun C&I	1,211,332
<b>NYC Partnership Housing Dev. Fund Co.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	74,000
<b>NYCHA III Parent Housing Development</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	469,150
<b>Nye Automotive Group, Inc</b>	Ford Fusion fleet	24,788
<b>NYS Department of Transportation</b>	NEW CONSTRUCTION PROGRAM, NCP98285 - NYSDOT Champlai..	18,599
<b>NYS Office for Technology</b>	NYSERDA ADMINISTRATION, Office 365 - 2015/2016	67,766
<b>NYS Office of Children &amp; Family Services</b>	EXISTING FACILITIES, EFP2445 - NYS OCFS	95,342
<b>NYS Office of General Services</b>	POLICY DEVELOPMENT, 2018 NYS DPS Printing Services	50,000
	SARATOGA TECHNOLOGY & ENERGY PARK, OGS permitting servic..	45,000
	SARATOGA TECHNOLOGY & ENERGY PARK, OGS Services	20,449
	SARATOGA TECHNOLOGY & ENERGY PARK, OGS Services- GE E..	10,032
	SARATOGA TECHNOLOGY & ENERGY PARK, Permitting Services, ..	11,500
	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	9,640
<b>NYS Office of Mental Health</b>	EXISTING FACILITIES, EFP2296 - NYS Office of Mental	326,433
	SMART GRID SYSTEMS, RFP 3044 R2	1,000,000
<b>NYS Office of Parks, Recreation and</b>	<200KW PV, NY Sun	13,818
	<200KW PV, NY-Sun	13,455
	<200KW PV, PON 2112 NY SUN	10,044
<b>NYU Langone Hospitals</b>	EXISTING FACILITIES, EFP CHP - NYU LMC CHP	2,000,000
	EXISTING FACILITIES, EFP1899 - NYU Langone Medical	905,260
	NEW CONSTRUCTION PROGRAM, NCP9243 - The Kimmel Pavilion	1,620,000
	NEW CONSTRUCTION PROGRAM, NCP10551 - NYU School of Med..	764,341
<b>O'Brien &amp; Gere Engineers, Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	53,096
<b>Oakwood Sustainable Dairy Digester LLC</b>	ANAEROBIC DIGESTER, RPS CST ADG-Oakwood	2,000,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
Offshore Electric Corp.	NYC Suite 1540 Electrical Work	17,496
OGS State Office Building Campus	SARATOGA TECHNOLOGY & ENERGY PARK, OGS Services	5,714
	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	6,650
OLA Consulting Engineers, P.C.	Commercial New Construc, Energy Modeling Partner - OLA	22,975
	NEW CONSTRUCTION PROGRAM, NCP TA Services - OLA 20136	27,410
OLEDWorks LLC	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Efficient OL..	395,027
Olin Corporation	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	10,882,590
Omni-Navitas - MAP-ES NY LLC	>200KW PV, NY Sun	889,531
Once Again Nut Butter	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	72,769
One Hudson Yards Owner LLC	NEW CONSTRUCTION PROGRAM, NCP12087-55 Hudson Yards-OF..	359,026
One Vanderbilt Owner LLC	NEW CONSTRUCTION PROGRAM, NCP11626 - 317 Madison	259,560
OneEnergy Development LLC	>200KW PV, NY Sun	1,170,499
OnForce Solar	>200KW PV, NY Sun	334,908
	NY-SUN, RPS CST Regional Program	179,663
Onondaga Community College	REV Campus Challenge, RM6 - Onondaga CC	113,862
Opinion Dynamics Corporation	EVALUATION, Commercial Statewide Baseline	5,741,667
	LMI Single Family /2525, TWO 11 BPI Survey	14,228
	Single Family Mt Rt Trans/2515, TWO 11 BPI Survey	14,228
Optimal Energy Inc.	ENERGY ANALYSIS, Support for EE&RE Potential	49,000
	EVALUATION, TWO #1 Downstate NG Peer Rev.	49,928
Oracle America, Inc.	NYSERDA ADMINISTRATION, Oracle Service and Maintenance	53,598
	NYSERDA ADMINISTRATION, Peoplesoft -Oracle 2019 - 2020	53,598
	NYSERDA ADMINISTRATION, Renewal: Oracle PeopleSoft mai	52,037
	NYSERDA ADMINISTRATION, UPK Developer Licenses - 2	19,755
Orange and Rockland Utilities, Inc.	SMART GRID SYSTEMS, Smart Distribution Automation	1,863,652
Oswego County Opportunities, Inc	Low Rise New Construction, New Construction	53,600
Owego Apalachin CSD	NEW CONSTRUCTION PROGRAM, NCP11320 - Owego School	244,449
OwnBackup Inc.	NYSERDA ADMINISTRATION, OwnBackup - Salesforce Backup	15,608
	NYSERDA ADMINISTRATION, Ownbackup Archiver, Salesforce	12,931
OwnSolar, LLC	>200KW PV, Commercial/Industrial PV	280,414
PA Consulting Group	ENERGY ANALYSIS, Con Ed NG Moratorium Study	960,208
Pace University	NEW CONSTRUCTION PROGRAM, NCP12269 - Pace Residence Hall	328,968
Palladia, Inc.	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	151,200
Palm Beach Home for Adults, Inc.	Flexible Tech Assistance, FlexTech Program - PON 1746	6,673
Palmetto Hospitality of Manhattan III, L	NEW CONSTRUCTION PROGRAM, NCP12708 - 260 W 40th Street	118,816
Palmetto Hospitality of Manhattan LLC	NEW CONSTRUCTION PROGRAM, NCP11336 - Hampton Inn W 41st	133,043
Paradise Energy Solutions, LLC	<200KW PV, PON 2112 NY SUN	104,758
Park Lane North Owner's, Inc. c/o Marcus	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	185,400
Parkadon Development LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	57,600
Passive House Institute US	New Construction- Housing, PHIUS 2020	50,000
Pathfinder Engineers & Architects, LLP	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	21,558
Pathstone Corporation	New Construction- Housing, 2019 LRNCP	70,400
Pattersun 1.3 LLC	NY-SUN, PV System @ Watchtower Bible T	1,294,616
Paul A Bradbury	POLICY DEVELOPMENT, DPS 2020 giveaways	10,952
	POLICY DEVELOPMENT, DPS NYS Fair giveaways	6,429
Pavion Holdings, LLC	NEW YORK ENERGY STAR HOMES, New Construction	351,500

## Contracts Completed

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Contractor	Contract Description	Total Contract Amount
PC Learning Centers, Inc.	OREC: Technical Support, E- and F-TWG meetings OSW	5,000
PCMH Gates Housing Development Fund Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	81,600
Pedro Barretto Leite de Barros	NEW YORK GREEN BANK, Pedro Barros - Strategy	50,000
Penda Aiken Inc.	NYSERDA ADMINISTRATION, Temporary Receptionist	103,960
Performance Systems Development	NYCH: Comfort Home, TWO 2 - Heat Pump Ready/EnPlus	48,472
	NYSERDA ADMINISTRATION, TREAT SITE License 17.18	6,400
PitchBook Data, Inc.	OTHER PROGRAM AREA, Online Subscription	24,000
Pitney Bowes, Inc.	NYSERDA ADMINISTRATION, Facilities Management	5,682
Plugin Stations Online, LLC	Talent Pipeline:CE and OJT, OJT HIRE	6,400
PlugPV, LLC	<200KW PV, NY-Sun	13,608
	<200KW PV, PON 2112 NY SUN	96,546
Poseidon Systems, LLC	CLEAN TRANSPORTATION, Renewable, Clean Energy and En	1,500,000
	Talent Pipeline:CE and OJT, OJT HIRE	5,760
Post Office Square, LLC	NEW CONSTRUCTION PROGRAM, NCP9203 - Post Office Square	52,653
Potentia Management Group LLC	Talent Pipeline:CE and OJT, OJT HIRE	37,382
Power Guru, LLC	<200KW PV, PON 2112 NY SUN	5,265
PPD Partners III LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	121,500
Pratt & Whitney Advanced Coating Technol	NEW CONSTRUCTION PROGRAM, NCP12483 - Spray Manufacturing	95,662
Premier Solar Solutions LLC	>200KW PV, NY Sun	70,677
	>200KW PV, PON 2112 NY SUN	118,794
President Container Group II, LLC	Industrial Process Effic, Industrial Process Efficiency	68,040
Price Chopper Operating Company of NY	NEW CONSTRUCTION PROGRAM, NCP13093 - Market 32 Guilderla	78,657
Pro Custom Solar LLC	<200KW PV, PON 2112 NY SUN	5,513
Proenergy Consulting LLC	NEW YORK GREEN BANK, Consulting NY Prize/Greenbank	171,760
Project Renewal, Inc.	NEW CONSTRUCTION PROGRAM, NCP12137 - Bedford Green Hou..	82,909
Promesa Housing Development Fund Corp	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	260,700
Provantage, LLC	NYSERDA ADMINISTRATION, 52 Monitors ( Order 2)	9,343
Providence Housing Development Corp	Low Rise New Construction, New Construction	63,200
Pterra, LLC	DER Integration(Intrcnct), FlexTech Consultant Selection	475,000
Purves Street Owner LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	241,200
Pvilion Technologies, LLC	Talent Pipeline:CE and OJT, OJT HIRE	10,240
Quality Installations of NY Inc.	>200KW PV, NY Sun	27,885
Quest Energy Group	Commercial Real Estate Ten, Quest Energy Group-20 W 34th	7,500
Quixotic Systems, Inc.	<200KW PV, NY Sun	139,644
	>200KW PV, PON 2112 NY SUN	12,118
QwikSolar, LLC	<200KW PV, PON 2112 NY SUN	5,208
Rafferty Enterprises, Inc.	COMBINED HEAT AND POWER, Temp Employment Services	10,764
	ENERGY ANALYSIS, Temp Employee Services	12,200
	NEW YORK GREEN BANK, Temp Employee Services	6,620
	NY-SUN, Temp Employee Services	22,647
	NYSERDA ADMINISTRATION, Temp Employee Services	127,912
	NYSERDA ADMINISTRATION, Temp Employment Services	5,382
	RENEWABLE THERMAL, Temp Employee Services	32,487
	RENEWABLE THERMAL, Temp Employment Services	5,382
Ramland Holdings, LLC	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	244,848
Randstad North America, Inc.	Consumer Ed and Market Support, Payroll Services	3,935

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Randstad North America, Inc.</b>	ENERGY ANALYSIS, Payroll Services	16,694
	Environmental Research, Payroll Services	13,941
	NEW YORK GREEN BANK, Payroll Services	63,375
	NYSERDA ADMINISTRATION, Payroll Services	114,433
	NYSERDA ADMINISTRATION, Temporary Services	93,746
	NYSERDA ADMINISTRATION, TS.009 - Temp Office Admin	106,880
	REC:CES REC System Dev Costs, Payroll Services	4,125
<b>Randy Depew</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	42,109
<b>Ranger Sagamore Crescent Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Assignment Agreement	49,500
<b>Rasky Baerlein Strategic Communications</b>	NYSERDA ADMINISTRATION, Communications Services for Re	172,692
<b>Ravena Coeymans Selkirk Central School D</b>	OTHER PROGRAM AREA, RCSCSD-Lafarge settlement fund	443,698
<b>REACH Strategies</b>	Electric Vehicles - Innovation, EV recognition program design	50,000
<b>Reber Rock Farm</b>	AGRICULTURE ENERGY EFFICIENCY, AEEP - R815 Reber Rock F..	7,792
<b>Red Racer Auto Finishers, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet ..	71,800
<b>RED Rochester</b>	Flexible Tech Assistance, FT12253-RED-1200Ridgeway-PON	7,371
<b>Redocs Inc</b>	Commercial Real Estate Ten, REDOCS - 54 W 39th St - CT	58,175
	Commercial Real Estate Ten, REDOCS - 384 E 149 St - CT	18,106
	Commercial Real Estate Ten, REDOCS - 421 7th Ave - CT	44,865
	Commercial Real Estate Ten, REDOCS-18 Bridge St-CT	14,855
	Commercial Real Estate Ten, REDOCS-39-01 Main Street-CT	33,107
	Commercial Real Estate Ten, REDOCS-45-17 Marathon Pkwy-CT	10,967
	Commercial Real Estate Ten, Redocs-110 E 55th St-CT	57,955
	Commercial Real Estate Ten, REDOCS-131 W 135 St-CT	39,880
	Commercial Real Estate Ten, REDOCS-209 West 125 St-CT	9,970
	Commercial Real Estate Ten, REDOCS-Multisite-CT	32,303
<b>Reed Midem SAS</b>	Informat. Products & Brokering, 2019 PropTech Challenge	50,000
<b>Regional Economic Models, Inc</b>	ENERGY ANALYSIS, Modeling and Analytics	6,000
<b>Regional Greenhouse Gas Initiative, Inc.</b>	ENERGY ANALYSIS, 2020 RGGI Funding Agreement	612,619
<b>Renovus Energy, Inc.</b>	<200KW PV, NY Sun	153,698
	<200KW PV, NY-Sun	21,112
	<200KW PV, PON 2112 NY SUN	434,915
	>200KW PV, Commercial/industrial PV	140,919
	>200KW PV, NY Sun	2,488,803
<b>Rensselaer Polytechnic Institute</b>	CLEAN TRANSPORTATION, Off Hour Delivery Trusted Vend	300,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Advanced ..	200,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Consolidat..	100,000
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet ..	170,435
	Workforce Industry Partnership, PON 3442 Workforce Training	25,596
<b>Rensselaer Polytechnic Institute-LRC</b>	ADVANCED BUILDINGS, LRC Partners Program	120,000
	CLEAN TRANSPORTATION, LED Roadway Lighting Demo	300,000
	MARKET PATHWAYS, LRC Partners Program	120,000
	MARKET PATHWAYS, Outdoor Lighting Clearinghouse	50,000
	OTHER PROGRAM AREA, Lighting Research Center	25,000
	Prof & Expert Engagement, LRC partners Program	60,000
<b>Research Foundation of CUNY</b>	ADVANCED BUILDINGS, Smart Grid DG Hub	49,850
<b>Research Foundation of SUNY</b>	COMBINED HEAT AND POWER, SUNY ESF Gateway CHP Demo	963,955

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Research Foundation of SUNY</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	435,585
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Transforma..	99,888
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Ultraviolet ..	99,988
	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, UV EB TAR..	75,000
	OTHER PROGRAM AREA, 2020 Advanced Energy Conferenc	70,000
	RENEWABLE HEAT NY, College woodstove design team	74,899
	RENEWABLES & DER INTEGRATION, A PV MDF	3,500,000
<b>RHC Operating LLC</b>	Off-Shore Wind Master Plan, 2018 OSW Supplier Forum	107,034
<b>Rhinebeck Village Place, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP14036 - Rhinebeck Village P	36,266
<b>RHM Inc.</b>	Renewable Heat NY, Aeon - Robert	21,000
	Renewable Heat NY, Aeon Heating - Bonno	21,000
	Renewable Heat NY, Aeon Heating-Thomas	19,555
<b>Ringlead, Inc.</b>	RingLead Software 2020-2023	49,000
<b>Riseboro Community Partnership, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	62,000
<b>Riverdale Country School</b>	NEW CONSTRUCTION PROGRAM, NCP13229 - Natatorium	38,146
<b>Rivergate Development, LLC</b>	NEW YORK ENERGY STAR HOMES, RES-NewConst(no longer in us..	180,500
<b>Riverwalk 7 LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11145 - Roosevelt Island 7	180,073
<b>Robert Derector Associates</b>	Commercial Real Estate Ten, Robert Derector-7 Times Squ-CT	5,000
<b>Rochester General Hospital</b>	NEW CONSTRUCTION PROGRAM, NCP14069 - Ridge Goodman M..	130,120
<b>Rochester Joint Schools Construction Boa</b>	NEW CONSTRUCTION PROGRAM, NCP11337 - Monroe High School	138,978
<b>Rockefeller University</b>	NEW CONSTRUCTION PROGRAM, NCP12664 - River Campus	329,533
<b>Rocky Mountain Institute</b>	Smart Buildings, Market Insights	82,000
<b>Rosenblum Property Services, LLC</b>	SARATOGA TECHNOLOGY & ENERGY PARK, Boiler Replacement ..	13,852
<b>Ross Site Development,Corp</b>	NEW CONSTRUCTION PROGRAM, NCP12993 - Bailey Street Build	5,470
<b>Ross Solar Group, LLC</b>	NY-SUN, RPS CST Regional Program	154,272
<b>RSV, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10585 - Rudin West Village	428,932
<b>Ruffalo Appliance</b>	Talent Pipeline:CE and OJT, OJT HIRE	6,080
<b>Rural Generation &amp; Wind (Rodney Weaver)</b>	<200KW PV, NY-Sun	5,640
<b>Ruskin Moscou Faltischek, P.C.'s</b>	OTHER PROGRAM AREA, OSW legal incorporation filing	7,904
<b>Ryan Homes (Virginia)</b>	Low Rise New Construction, 2019 LRNCP	136,800
	Low Rise New Construction, New Construction	34,200
<b>Safari Energy LLC</b>	>200KW PV, NY Sun	706,884
	>200KW PV, PV System @ Diamond Nyack	390,956
	>200KW PV, PV System @ SE.DMNC.333 Ph 2.1	130,451
	>200KW PV, PV System @ SE.DMND.333 PH 2.S	224,138
	NY-SUN, PV System @ Diamond Nyack	782,884
	NY-SUN, PV System @ SE.DMNC.333 Ph 2.1	55,908
	NY-SUN, RPS CST Regional Program	1,027,853
<b>Saint Gobain Adfors America, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	617,813
<b>Salmar Properties LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10804 - Federal Building 2	109,303
<b>Sandy Clarkson LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	153,000
<b>Saratoga Media Group, Inc.</b>	SARATOGA TECHNOLOGY & ENERGY PARK, STEP	25
<b>Scarano Realty LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10527 - Brighton 1st Lane C	20,969
<b>SCCQ Rock Hotel</b>	Flexible Tech Assistance, FT12088-Club Qtrs-Rock Ctr-PON	7,775
<b>Sea Bright Solar, LLC</b>	>200KW PV, PON 2112 NY SUN	10,692
<b>Second Nature Inc</b>	Cleantech ICC Engage, Overcoming University Barriers	49,200

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Seneca Strategic Consulting, LLC</b>	CLEANER GREENER COMMUNITIES, CGC43425 -Ithaca 2030 Distri..	90,380
<b>Sepac Incorporated</b>	<200KW PV, NY-Sun	183,553
<b>Settlement Housing Fund, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	234,900
<b>SHI, Inc.</b>	NYSERDA ADMINISTRATION, ADA - Compliance Sub. 2020 -21	15,544
	NYSERDA ADMINISTRATION, Embarcadero ER/ Studio	17,502
	NYSERDA ADMINISTRATION, Storage - Virtual Environment	49,976
<b>Silver Street Solar LLC</b>	<200KW PV, NY-Sun	129,115
<b>Site 1 DSA Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	49,500
<b>Site 5 DSA Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	253,200
<b>Site 6 DSA Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	120,000
<b>Skae Power</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	502,511
<b>Sky High Solar, LLC</b>	REC:CES REC Contracts, CESRFP1_Tier 1 RECS	22,362,290
<b>Skyline Solar Inc.</b>	<200KW PV, PON 2112 NY SUN	11,753
	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	172,587
<b>Skyven Technologies, Inc</b>	OTHER PROGRAM AREA, Technology to Market	1,000,000
<b>Smarter Grid Solutions, Inc.</b>	Talent Pipeline:CE and OJT, OJT HIRE	30,720
<b>SMG Partners</b>	Low-Income Forum on Energy, LIFE 2020 Statewide Confernece	5,975
<b>Smiley Brothers, Inc.</b>	Cleantech ICC Engage, 2019 Investors Portfolio Event	50,000
<b>Smith Engineering PLLC</b>	Commercial Real Estate Ten, Smith Enignee-1330 AoA-CommTen	39,960
<b>Snug Planet, LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	35,200
<b>Snyder Manufacturing, Inc</b>	Geothermal Incentive Program, Large-Scale GSHP Rebate	140,796
<b>SOHO AOA Owner, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP11159 - One SOHO Square	55,826
<b>Sol Ace Solar, LLC</b>	>200KW PV, NY-Sun	200,244
<b>Sol Alliance Solar Development</b>	>200KW PV, PON 2112 NY SUN	200,244
<b>Solar 88, LLC</b>	<200KW PV, NY-Sun	299,012
<b>Solar Energy Systems, LLC</b>	>200KW PV, PON 2112 NY SUN	322,002
<b>Solar Liberty Energy Systems, Inc</b>	<200KW PV, NY Sun	13,365
	<200KW PV, NY-Sun	15,488
	<200KW PV, PON 2112 NY SUN	583,012
	>200KW PV, NY Sun	1,650,490
	>200KW PV, PON 2112 NY SUN	41,610
<b>Solar Mission II LLC</b>	>200KW PV, NY-Sun C&I Saratoga Springs	1,464,096
<b>Solar One, Inc.</b>	>200KW PV, PON 2112 NY SUN	12,636
<b>Solar Star New York 1, LLC</b>	NY-SUN, RPS CST Regional Program	860,277
<b>Solar Village Company LLC</b>	Low Rise New Construction, 2019 LRNCP	28,000
	Talent Pipeline:CE and OJT, OJT HIRE	12,022
<b>SolarKal LLC</b>	OTHER PROGRAM AREA, Technology to Market	250,000
<b>Solas Energy Consulting U.S. Inc.</b>	CI Engy Siting & Soft Cost Red, Wind Energy Siting TA	50,000
<b>SolidUV, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Two wavel..	258,000
<b>Solitude Solar LLC</b>	>200KW PV, NY Sun	3,096,720
<b>SourceOne Power Technologies, Inc.</b>	Real Time Enrgy Management, SourceOne-733 3rd Ave-RTEM	76,950
<b>South Slope Development Corporation</b>	Industrial Process Effic, Industrial Process Efficiency	67,200
<b>South Street Seaport Limited Partnership</b>	NEW CONSTRUCTION PROGRAM, NCP13189 - Pier 17	40,459
<b>Southport, LLC</b>	>200KW PV, Commercial/Industrial	210,532
<b>St. Nicks Alliance</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	61,200
<b>Stanley Commons Owner LLC</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	216,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Stantec Consulting Services, Inc.</b>	Industrial Process Effic, Technical Review and Program S	10,894
<b>State University of NY @ New Platz</b>	NEW CONSTRUCTION PROGRAM, NCP10071 - New Science Buildin	124,892
<b>Steel Sun LLC</b>	NY-SUN, PV System @ Steel Sun #1	1,329,768
	NY-SUN, PV System @ Steel Sun #2	1,329,768
<b>Stephen Gaynor School</b>	NEW CONSTRUCTION PROGRAM, NCP9231 - Claremont Building	27,276
<b>Steve Subik</b>	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	31,668
<b>Steven Winter Associates, Inc.</b>	FLEXIBLE TECHNICAL ASSISTANCE, Technical Review and Progra..	228,574
	Low Rise New Construction, SF 107588 - 511 East 86th St.	6,667
	Low Rise New Construction, SWA TWO #1 - RESNET	30,000
	Multifam New Construction, SWA TWO #1 - RESNET	30,000
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	37,268
	NEW CONSTRUCTION PROGRAM, Technical Review and Program S	24,820
	New Construction- Housing, SF 107588 - 511 East 86th St.	3,333
<b>STR Systems NY, LLC</b>	<200KW PV, NY Sun	15,066
<b>Sullivan County</b>	NEW CONSTRUCTION PROGRAM, NCP14042 - Sullivan County Jai	57,881
<b>Sun Rock Development, LLC</b>	NEW YORK ENERGY STAR HOMES, New Construction	80,000
<b>Sun Shelter LLC</b>	NEW YORK ENERGY STAR HOMES, LRNCP Blake Hendrix	80,000
<b>Sun Source Technologies</b>	<200KW PV, NY-Sun	46,800
	<200KW PV, PON 2112 NY SUN	48,494
<b>SuNation Solar Systems, Inc.</b>	<200KW PV, NY Sun	14,611
	<200KW PV, PON 2112 NY SUN	218,131
	ENERGY STORAGE, PON 2112 NY SUN	12,500
<b>Sunnova Energy Corp</b>	<200KW PV, PON 2112 NY SUN	5,602
<b>SunPower Capital, LLC</b>	<200KW PV, NY-Sun	10,328
	<200KW PV, PON 2112 NY SUN	83,663
<b>SUNRISE ELECTRICAL SERVICES</b>	<200KW PV, NY Sun	27,158
	<200KW PV, NY-Sun	66,627
<b>Sunrise Solar Solutions, LLC</b>	<200KW PV, PON 2112 NY SUN	25,205
	>200KW PV, NY Sun	781,920
	>200KW PV, PON 2112 NY SUN	21,852
<b>SunRun, Inc</b>	<200KW PV, NY Sun	5,862
	<200KW PV, PON 2112 NY SUN	67,729
<b>Sunvestment Group LLC</b>	>200KW PV, NY Sun	503,010
<b>SUNY Broome Community College</b>	NEW CONSTRUCTION PROGRAM, NCP12647 - SUNY Broome Culi..	69,919
<b>SUNY Buffalo</b>	ADVANCED BUILDINGS, Climate Impacts on Buildings	100,000
	Environmental Research, Climate Impacts on Buildings	174,900
	EXISTING FACILITIES, Existing Facilities Program -	405,450
	Industrial Process Effic, Industrial Process Efficiency	119,048
<b>SUNY Cobleskill</b>	NEW CONSTRUCTION PROGRAM, NCP9119 - Center for Agricultu	154,058
<b>SUNY Fredonia</b>	NEW CONSTRUCTION PROGRAM, NCP12636 - Houghton Hall	73,382
<b>SUNY New Paltz Foundation</b>	NEW CONSTRUCTION PROGRAM, NCP11824 - Engineering Innovat	40,622
<b>SUNY Oswego</b>	NEW CONSTRUCTION PROGRAM, NCP12909 - SOE Ph III - OFLT	73,250
<b>SUNY Upstate Medical University</b>	NEW CONSTRUCTION PROGRAM, NCP11083 - New Academic Buildi	99,348
<b>Sustainable Comfort, Inc</b>	New Construction- Housing, SF183532_BaldwinRealEstate	10,000
	New Construction- Housing, SF183758-46 South St.	9,200
	New Construction- Housing, SF183892 - 2047 Chili Ave.	10,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Sustainable Dairy Technologies Digester</b>	ANAEROBIC DIGESTER, RPS CST ADG-Allen Farms LLC	2,000,000
<b>Sustainable Energy Advantage, LLC</b>	NYSERDA ADMINISTRATION, Renewable Portfolio Standard T	368,724
	Off-Shore Wind Pre-Dev Act, Large Scales Renewables Techni	150,000
	REC:CES REC System Dev Costs, Renewable Portfolio Standard T	131,276
	REC:CES REC System Dev Costs, TWO16 IE 2019	42,653
<b>Sustainable Energy Developments Inc.</b>	<200KW PV, PON 2112 NY SUN	92,272
	>200KW PV, NY-Sun	83,628
	NY-SUN, NY-Sun	66,242
<b>Sustainable Hudson Valley, Inc.</b>	Electric Vehicles - Innovation, Dealer engagement - eastern NY	35,000
	Electric Vehicles - Innovation, EV media and stkhldr outreach	15,000
<b>Susten Corp</b>	>200KW PV, PON 2112 NY SUN	10,224
<b>Switched Source LLC</b>	Cleantech Ignition, PON 3871 Ignition Grants	62,213
<b>Syracuse University</b>	ADVANCED BUILDINGS, Micro Environ Control System	399,997
	ENVIRONMENTAL RESEARCH, Environmental Research	50,000
<b>Systems Management Planning, Inc.</b>	NYSERDA ADMINISTRATION, AeroHive Subscription 1 year	5,414
	NYSERDA ADMINISTRATION, Webex Services - 2018 - 2019	20,511
	NYSERDA ADMINISTRATION, Webex Services - Renewal	25,661
	NYSERDA ADMINISTRATION, Webex Services - Renewal 17-18	25,101
	NYSERDA ADMINISTRATION, Webex Support - Renewal	28,469
<b>T.A.R. Catering</b>	Flexible Tech Assistance, FlexTech	13,630
<b>Tagup Inc.</b>	High Performing Grid, PON 3397 CAT C	185,621
<b>Taitem Engineering, P.C.</b>	Commercial New Construc, Commercial New Construction	17,148
	Commercial New Construc, RFP3771 Umbrella Contract	21,100
	Flexible Tech Assistance, RFP3628FlexTechConsultUmbrella	2,814
	Geothermal Incentive Program, FT12227-256SunsetLake-FTC	9,336
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	15,339
	Technical Services, RFP3628FlexTechConsultUmbrella	2,500
<b>Tannery Road Solar, LLC</b>	NY-SUN, PV System at City of Rome	1,540,652
<b>Tax Credit Asset Management, LLC</b>	New Construction- Housing, 2019 LRNCP	76,600
<b>Taylor Group LTD</b>	NYSERDA ADMINISTRATION, NYS Fair 2019 Display	7,820
<b>Taystee Create LLCc</b>	NEW CONSTRUCTION PROGRAM, NCP11527 - Taystee Bakery Buil	244,452
<b>Tech Home Electric, LLC</b>	ev plug in charger	5,465
<b>Tech Valley Talent, LLC</b>	NYSERDA ADMINISTRATION, .Net SQL Metrics Database Supp	200,000
	NYSERDA ADMINISTRATION, Business Intelligence Dev.	200,000
	NYSERDA ADMINISTRATION, Business Analyst / Project Man	200,000
	NYSERDA ADMINISTRATION, Data Architect	200,000
	NYSERDA ADMINISTRATION, Data Quality - Data Quality An	200,000
	NYSERDA ADMINISTRATION, Data Warehouse Analyst	200,000
	NYSERDA ADMINISTRATION, Database Programmer - General	200,000
	NYSERDA ADMINISTRATION, Firewall & Information securit	191,100
	NYSERDA ADMINISTRATION, Identity and Access	200,000
	NYSERDA ADMINISTRATION, Information Technology	32,090
	NYSERDA ADMINISTRATION, Informatica, Data Quality Staf	200,000
	NYSERDA ADMINISTRATION, Metrics Database Buildings Por	200,000
	NYSERDA ADMINISTRATION, Project Manager for ITG-0058 D	200,000
	NYSERDA ADMINISTRATION, Project Manager to Support NEI	200,000



**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Tech Valley Talent, LLC</b>	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	478,890
	NYSERDA ADMINISTRATION, SecureAuth 2 new + maint.	26,851
	NYSERDA ADMINISTRATION, Server Operations - Supplement	185,250
	NYSERDA ADMINISTRATION, Tableau BI Developer	199,823
	REC:CES REC System Dev Costs, RFP3143 Umbrella Agreement	266,175
	ZEC:CES ZEC System Dev Costs, RFP3143 Umbrella Agreement	88,725
<b>Tecogen</b>	COMBINED HEAT AND POWER, CHPA - Atrium Center	216,000
	COMBINED HEAT AND POWER, CHPA - Greenwich Club Residenc	235,000
	COMBINED HEAT AND POWER, CHPA - Surf 21	561,000
	Combined Heat and Power, CHPA - Transcontinental Ultra	366,563
	COMBINED HEAT AND POWER, CHPA - Village View 4	223,438
	COMBINED HEAT AND POWER, CHPA - Village View 5	223,438
	COMBINED HEAT AND POWER, CHPA - Village View 6	223,438
	COMBINED HEAT AND POWER, CHPA - Village View 7	223,438
	COMBINED HEAT AND POWER, On-Site Power	223,438
<b>TEKSYSTEMS Global Services, LLC</b>	NYSERDA ADMINISTRATION, Agile Team Training Camp	17,743
<b>Tendril Networks, Inc.</b>	ASSISTED HOME PERFORMANCE WITH ENERGY STAR, Residenti..	1,271
	EMPOWER NY, Residential Program MgtRFP3545	1,271
	Home Perf w Energy Star, Residential Program MgtRFP3545	186,958
	HOME PERFORMANCE WITH ENERGY STAR, Residential Program ..	1,271
<b>TEP Charter School Assistance</b>	NEW CONSTRUCTION PROGRAM, NCP12404 - The Equity Project	63,527
<b>Tern Construction &amp; Development, LLC</b>	Low Rise New Construction, New Construction	63,800
<b>TerraForm Solar XVIII, LLC</b>	>200KW PV, Frank Lindsey School	91,505
<b>Terremark Federal Group, LLC</b>	NYSERDA ADMINISTRATION, Enterprise ECloud - Renewal	79,842
	NYSERDA ADMINISTRATION, Enterprise eCloud Renewal	65,928
	NYSERDA ADMINISTRATION, GSA Cloud Services - Renewal	65,928
	NYSERDA ADMINISTRATION, Information Technology	50,395
<b>Tesla Energy Operations Inc</b>	<200KW PV, PON 2112 NY SUN	5,733
	>200KW PV, Commercial/Industrial	96,925
	>200KW PV, NY Sun	5,195,509
	>200KW PV, NY-Sun	223,768
	ENERGY STORAGE, PON 2112 NY SUN	12,500
	NY-SUN, Commercial/Industrial	105,124
	NY-SUN, NY-Sun	173,285
<b>Tetra Tech Engineers, Architects and Lan</b>	MARKET PATHWAYS, CRETP - Metlife - 200 Park - M	60,000
<b>TGC Elizabeth Drive (Chester) LLC</b>	>200KW PV, NY-Sun	405,179
	NY-SUN, NY-Sun	401,260
<b>The Bridge Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	79,200
<b>The Cadmus Group, LLC</b>	EVALUATION, RFP3916 Res Bldg Stock Assessm	2,129,353
	Home Energy Ratings, Deemed Savings for HER Pilot	34,500
	Rmve Barriers Dist Enrgy Storg, TWO # 3	173,000
<b>The Center for Urban Community Services,</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	122,400
<b>The Chapin School</b>	NEW CONSTRUCTION PROGRAM, NCP12829 - The Chapin School	11,840
<b>The Community Builders, Inc.</b>	NEW YORK ENERGY STAR HOMES, New Construction	176,000
<b>The Great Plains Institute for</b>	OTHER PROGRAM AREA, DOE grant - UER - Minnesota	48,000
<b>The H. John Heinz III Center for Science</b>	ENVIRONMENTAL RESEARCH, Environmental Research	20,000

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
The Levy Partnership, Inc.	EMERGING TECHNOLOGY / ACCELERATED COMMERCIALIZATIO..	249,360
The Radiant Store	Renewable Heat NY, Radiant - Walters	23,000
	Renewable Heat NY, Radiant Store - Eberhardt	12,000
The Research Foundation for the State	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Visible Ligh..	99,936
The RF of SUNY Binghamton University	High Performing Grid, PON 3397 Round 2 - Category A	379,665
The Weidt Group, Inc.	Real Time Enrgy Management, Environ-257 Park Ave S-RTEM	43,111
Thermold Corporation	Industrial Process Effic, Industrial Process Efficiency	62,891
ThunderCat Technology LLC	DocuSign Subscription 20 - 21	87,270
	NYSERDA ADMINISTRATION, Atlassian (Jira) - Phase 1	199,875
	NYSERDA ADMINISTRATION, Rightstar Scanstar System	5,390
Tilcon NY , Inc.	Industrial Process Effic, Industrial Process Efficiency	223,093
	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	694,634
Time Warner Cable	NYSERDA ADMINISTRATION, NYC WAN and Internet Circuits	317,086
Timothy C. Barfield	AGRICULTURE ENERGY EFFICIENCY, Agriculture Energy Efficiency	250,000
Tishman Speyer	NEW CONSTRUCTION PROGRAM, NCP14019 - Gotham Center Site	248,313
TM Montante Solar Developments, LLC	<200KW PV, PON 2112 NY SUN	92,259
Tompkins Community Action	Multifam New Construction, MFNCP - Amici House	23,000
Total Comfort Heating and Air Conditioni	Talent Pipeline:CE and OJT, OJT HIRE	15,040
Tower Enterprises of NY & NJ LLC	Talent Pipeline:CE and OJT, OJT HIRE	8,000
Town of Ashford	Clean Energy Communities, CEC101538 - Town of Ashford	50,000
Town of Busti	Clean Energy Communities, CEC101460 - Town of Busti	100,000
Town of Cazenovia	Clean Energy Communities, PON 3298 CEC	50,000
Town of Clifton Park	Clean Energy Communities, CEC400011 - Town of Clifton Pa	50,000
Town of DeWitt	Clean Energy Communities, Town of DeWitt	100,000
Town of East Hampton	CLEANER GREENER COMMUNITIES, Town of East Hampton	100,000
Town of Ellicottville	Clean Energy Communities, Town of Ellicottville	50,000
Town of Hamden	Clean Energy Communities, CEC001382 - Town of Hamden	50,000
Town of Humphrey	Clean Energy Communities, CEC101529 - Town of Humphrey	50,000
Town of Hyde Park	CLEANER GREENER COMMUNITIES, CGC41658 - Retrofitting Hyde..	161,000
Town of Irondequoit	Clean Energy Communities, Town of Irondequoit	250,000
Town of Kiantone	Clean Energy Communities, Town of Kiantone	50,000
Town of Niskayuna	Clean Energy Communities, Town of Niskayuna	99,500
Town of North Hempstead	CLEANER GREENER COMMUNITIES, CGC41786 - EVSE along LIE	625,000
Town of Persia	Clean Energy Communities, PON 3298 CEC	50,000
Town of Queensbury	Clean Energy Communities, CEC400080 - Town of Queensbury	50,000
Town of Richland	Clean Energy Communities, Town of Richland	50,000
Town of Winfield	Clean Energy Communities, CEC600907 - Town of Winfield	50,000
TP LIC, LLC	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	148,500
Trane	Real Time Enrgy Management, Multi Campus-100 Bridge-RTEM	157,770
	Real Time Enrgy Management, Trane-550 Food Center Dr-RTEM	30,547
TRC Energy Services	EXISTING FACILITIES, Technical Review and Program S	39,629
	GREEN AFFORDABLE HOUSING, MF Energy Perf Portfolio Imple	306,767
	Industrial Process Effic, Technical Review and Program S	3,783
	Multifam New Construction, MF Energy Perf Portfolio Imple	1,338,443
	Multifam Performance Pgm, MF Energy Perf Portfolio Imple	1,311,997
	Multifam Performance Pgm, Rose Hamm Multifamily Summit	5,918

**Contracts Completed**  
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<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
TRC Energy Services	MULTIFAMILY PERFORMANCE PROGRAM, MF Energy Perf Portfoli..	11,467,780
Treasure Asset Storage LLC	NEW CONSTRUCTION PROGRAM, NCP12473 - 122 W 146th St	464,526
Tri State Solar Services	<200KW PV, NY-Sun	6,818
	<200KW PV, PON 2112 NY SUN	6,216
Triangle Electrical Systems, Inc.	<200KW PV, PON 2112 NY SUN	5,460
Trinity Heating & Air, Inc.	<200KW PV, PON 2112 NY SUN	23,279
Trinity Pawling School	NEW CONSTRUCTION PROGRAM, NCP7727 - Scully Hall (Trinity	17,767
Trinity West Harlem Phase One Limited Pa	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	88,200
Trinity West Harlem Phase Two Limited Pa	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	115,000
Trojan Powder Coating Company, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	72,645
Troy Web Consulting, LLC	NYSERDA ADMINISTRATION, Troy Web Hosting - Cloud 1 yr	7,380
True Building Performance LLC	Talent Pipeline:CE and OJT, OJT HIRE	16,640
True Energy Solutions	Talent Pipeline:CE and OJT, OJT HIRE	5,760
	Talent Pipeline:CE and OJT, OJT hire	8,160
Tully Rinckey PLLC	CLEAN TRANSPORTATION, outside counsel services	5,000
TurnKey Internet, Inc.	Industrial Process Effic, Industrial Process Efficiency	474,578
TW NY Properties LLC	NEW CONSTRUCTION PROGRAM, NCP14049-TWI Hudson Yard-O..	368,850
Two Plus Four Construction Co., Inc.	Low Rise New Construction, New Construction	55,400
U.S. Department of Energy/Wv	FFY 2019 WVDP Cost Share	10,200,000
U.S. Green Building Council, NY Chapter	ADVANCED BUILDINGS, Improving Steam Distribution	175,000
Umicore Technical Materials	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Thru-lays f..	399,997
Unique Comp Inc.	NYSERDA ADMINISTRATION, Data Governance contractor	199,500
	NYSERDA ADMINISTRATION, NEIS Functional Specification	240,000
	NYSERDA ADMINISTRATION, RFP3143 Umbrella Agreement	165,750
	NYSERDA ADMINISTRATION, Server Contractor	167,700
	NYSERDA ADMINISTRATION, Tableau Developer -	199,939
	Pay for Performance, RFP3143 Umbrella Agreement	116,480
United Wind Project I, LLC	Small Wind, Wind Turbine Incentive	121,792
United Wind, Inc.	SMALL WIND, Wind Turbine Incentive	38,030
University at Albany	NEW CONSTRUCTION PROGRAM, NCP11221 - Campus Center Ex..	109,641
University of Rochester	ADVANCED BUILDINGS, SuperWicking Materials for A/C	99,998
	ENVIRONMENTAL RESEARCH, Impact of environmental polici	458,425
	OTHER PROGRAM AREA, Annual Support for Laboratory	22,307,111
	REV Campus Challenge, RM34 - University of Rochester	150,000
Upstate Capital Association of New York	Cleantech ICC Engage, UCANY 2019 Sponsorship	30,000
	OTHER PROGRAM AREA, NY Business Plan Competition	40,000
Upstate Venture Connect	OTHER PROGRAM AREA, Technology to Market	49,000
Urban Electric Power, LLC	CLEAN TRANSPORTATION, Zinc MO2 battery scale up	299,898
	Talent Pipeline:CE and OJT, OJT HIRE	19,840
US Ceiling CORP	Talent Pipeline:CE and OJT, OJT HIRE	15,469
US Energy Concierge Inc	<200KW PV, PON 2112 NY SUN	16,563
USTA National Tennis Center, Inc.	NEW CONSTRUCTION PROGRAM, NCP12469 - Billie Jean King Na	29,180
	NEW CONSTRUCTION PROGRAM, NCP14059 - USTA Armstrong	141,381
Van Blarcom Closures, Inc.	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	310,617
Van Hee Mechanical	Talent Pipeline:CE and OJT, OJT HIRE	14,400
Van Slyke Sustainable Dairy Digester LLC	ANAEROBIC DIGESTER, ADG-to-Electricity Project	2,000,000

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Vanderbilt Assoc. I LLC</b>	Flexible Tech Assistance, FT11662 - Vanderbilt Assoc	8,638
<b>Varun Sivaram</b>	ENERGY ANALYSIS, Policy & Regulatory Affairs	49,025
<b>Vecino Group New York, LLC</b>	Multifam New Construction, New Construction	92,000
<b>Venture Home Solar LLC</b>	<200KW PV, PON 2112 NY SUN	10,251
<b>Verizon NY Inc.</b>	FUEL CELLS, PON 2157 RPS CST FC Program	2,000,000
	FUEL CELLS, RPS Customer Sited Tier Fuel C	3,000,000
<b>Verizon Wireless</b>	NYSERDA ADMINISTRATION, Tablet upgrade - signout pool	6,462
<b>Vermont Energy Investment Corporation</b>	CLEAN TRANSPORTATION, NYS EV School Bus Education	29,997
<b>Versar, Inc</b>	EXISTING FACILITIES, Technical Review and Program S	21,299
<b>Vidaris, Inc.</b>	Commercial New Construc, Vidaris - EMP	87,650
	FLEXIBLE TECHNICAL ASSISTANCE, FlexTech Consultant Selection	77,226
	NEW CONSTRUCTION PROGRAM, High Perf New Bldg(not in use)	147,888
	NEW CONSTRUCTION PROGRAM, New Construction	11,252
	NEW CONSTRUCTION PROGRAM, Technical Assistant Services..	1,089,755
<b>Village of Boonville</b>	CLEANER GREENER COMMUNITIES, Village of Boonville	100,000
<b>Village of Brockport Solar 1, LLC</b>	<200KW PV, NY-Sun	355,212
<b>Village of Champlain</b>	Clean Energy Communities, CEC701104 - Village of Champla	50,000
<b>Village of Churchville</b>	CLEANER GREENER COMMUNITIES, Village of Churchville	100,000
<b>Village of Deposit</b>	CLEANER GREENER COMMUNITIES, CGC28581 - Village of Deposit	50,000
<b>Village of Ilion</b>	CLEANER GREENER COMMUNITIES, CEC600840 - Village of Ilion	100,000
<b>Village of Lima Solar 1, LLC</b>	<200KW PV, NY-Sun	201,204
<b>Village of Spencerport</b>	CLEANER GREENER COMMUNITIES, Village of Spencerport	100,000
<b>Vincents Heating and Fuel Service, LLC</b>	CLEANER GREENER COMMUNITIES, CGC37964 - Pellet Hub	1,337,625
	ENVIRONMENTAL RESEARCH, Demo Outdoor Pellet Storage	49,940
	Renewable Heat NY, Vincents Heating - O'Rourke	20,420
<b>Viola Homes Inc.</b>	<200KW PV, NY Sun	10,460
	<200KW PV, PON 2112 NY SUN	162,623
<b>Viridian Energy &amp; Environmental, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP TA Contract - ST10127	149,963
	NEW CONSTRUCTION PROGRAM, Technical Assistance Services	111,000
<b>Vivint Solar</b>	<200KW PV, PON 2112 NY SUN	33,233
<b>Voltaic Solaire LLC</b>	>200KW PV, PON 2112 NY SUN	10,880
<b>Vornado RTR Inc.</b>	NEW CONSTRUCTION PROGRAM, NCP12030 - 220 Central Park So	527,962
<b>W &amp; E Phillips Locksmith, Inc</b>	17CC Card Readers Reception	13,820
	Card Reader/Security System	6,859
<b>W2005 / Hines West Fifty-Third Realty LL</b>	NEW CONSTRUCTION PROGRAM, NCP11483 -53 West 53rd St-OF..	220,354
<b>Walden NY 1, LLC</b>	>200KW PV, NY-Sun C&I	718,200
<b>Walker Farms LLC</b>	ANAEROBIC DIGESTER, Environmental Research	585,540
	ANAEROBIC DIGESTER, On-Site Power	346,617
<b>Water Environment &amp; Reuse Foundation</b>	ENVIRONMENTAL RESEARCH, Cofunding energy R&D projects.	1,061,388
	INDUSTRIAL PROCESS EFFICIENCY, Cofunding energy R&D projec..	238,000
<b>Water Research Foundation</b>	ENVIRONMENTAL RESEARCH, Collaboration with WRF	733,043
<b>Watt Fuel Cell Corporation</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Single-step..	400,000
<b>Wayne County Action Program</b>	Talent Pipeline:CE and OJT, OJT HIRE	22,032
<b>WC 28 Realty LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12148 - 530 West 28 Street	95,729
<b>Wegmans Food Markets, Inc.</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	395,853
<b>Weill Medical College at Cornell Univers</b>	Flexible Tech Assistance, FT12229-WeillGreenburg-PON	9,363

**Contracts Completed**  
**Period 10/1/2019 through 3/31/2020**

<b>Contractor</b>	<b>Contract Description</b>	<b>Total Contract Amount</b>
<b>Wenat Realty Associates</b>	NEW CONSTRUCTION PROGRAM, NCP13208 - 534 West 25th Stree	67,321
<b>Wendel Energy Services, LLC</b>	Flexible Tech Assistance, FlexTech Consultant Selection	12,500
	Flexible Tech Assistance, FT12217-WashingtonCo Sewer-FTC	10,413
	Flexible Tech Assistance, FT12219 -Town of Hamburg - FTC	30,000
	Industrial Process Effic, RFP3628FlexTechConsultUmbrella	150,000
<b>West 60th Realty LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10656 - West 60th Realty	365,945
<b>West 62nd Street LLC</b>	NEW CONSTRUCTION PROGRAM, NCP10172 - 49 Amsterdam Ave..	266,759
<b>West Side Federation for Senior &amp; Suppor</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	202,800
<b>WGL Energy Systems, Inc.</b>	>200KW PV, NY-Sun	802,248
	>200KW PV, PV System @ Hamilton-Fulton	225,084
	NY-SUN, NY-Sun	343,821
	NY-SUN, PV System @ Hamilton-Fulton	96,465
<b>Whitestone Solar, LLC</b>	>200KW PV, NY Sun	845,093
<b>Whole Foods Market Group, Inc.</b>	Commercial New Construc, NCP16016 - Whole Foods 365 For	65,290
	NEW CONSTRUCTION PROGRAM, NCP14010 - Whole Foods Buffalo	87,834
<b>Wichcraft Operating, LLC</b>	COMBINED HEAT AND POWER, Catering Manhattan CHP Expo	6,497
<b>Willdan Energy Solutions</b>	Commercial Real Estate Ten, Wildan-1345 AoA Fls47,48	7,875
	Commercial Real Estate Ten, Willdan-1 Wartburg Place-CT	47,995
	INDUSTRIAL PROCESS EFFICIENCY, Technical Review and Progra..	166,909
	Rmve Barriers Dist Enrgy Storg, FT12242-PhelpsMemorial-FTC	25,000
	Rmve Barriers Dist Enrgy Storg, RFP3628FlexTechConsultUmbrella	56,400
<b>William Reynolds</b>	<200KW PV, NY Sun	15,552
	<200KW PV, PON 2112 NY SUN	7,227
	>200KW PV, PON 2112 NY SUN	5,694
<b>Wiltshire Renewable Energy Systems, LLC</b>	<200KW PV, NY-Sun	13,230
<b>Wise Home Energy, LLC</b>	Talent Pipeline:CE and OJT, OJT HIRE	5,120
<b>Women In Need, Inc.</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	42,000
<b>Wood Mackenzie Power &amp; Renewables, Inc.</b>	Subscription/Data Access, Grid Edge, Storage and Squared	60,500
<b>Woodstone Custom Homes, Inc.</b>	Low Rise New Construction, New Construction	21,850
<b>World Kitchen, LLC</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	254,938
<b>WP Housing Company Inc</b>	MULTIFAMILY PERFORMANCE PROGRAM, Multifamily	124,800
<b>WSP USA Corp.</b>	Flexible Tech Assistance, FT12038 - Transwestern - FTC	30,000
	NEW CONSTRUCTION PROGRAM, Technical Assistance NCP	31,836
<b>WY Time Hotel, LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12321 - NYLO Hotel	106,396
<b>Wyoming County</b>	Clean Energy Communities, PON 3298 CEC	150,000
<b>Wythe Berry LLC</b>	NEW CONSTRUCTION PROGRAM, NCP12616 - 55 Wythe Ave.	768,284
<b>XC Associates, Inc.</b>	INNOVATION CAPACITY & BUSINESS DEVELOPMENT, Smart Win..	1,049,999
<b>Xerox Corp</b>	INDUSTRIAL PROCESS EFFICIENCY, Industrial Process Efficiency	100,000
	NYSERDA Administration	16,343
	NYSERDA ADMINISTRATION, Facilities Management	289,858
	NYSERDA ADMINISTRATION, Xerox Maintenece	101,020
<b>Xzerta Energy Group LLC</b>	>200KW PV, Commercial/Industrial PV	2,563,354
	>200KW PV, NY Sun	12,311,213
	>200KW PV, NY-Sun	3,845,031
	>200KW PV, NY-Sun C&I	3,845,031
<b>You Save Green Incorporated</b>	<200KW PV, NY Sun	35,442

## Contracts Completed

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Contractor	Contract Description	Total Contract Amount
You Save Green Incorporated	>200KW PV, NY Sun	632,555
Zone 5, Inc.	NYSERDA ADMINISTRATION, RFQL and RFP 1224	560,000
Zones LLC	NYSERDA ADMINISTRATION, Cisco VoIP Service Router	22,127
<b>Grand Total</b>		<b>610,227,213</b>