



NYSERDA – Solicitation User Guide

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NYSERDA Solicitation User Guide

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| Title | NYSERDA Solicitation User Guide |
| Purpose | Streamlined guide for Proposal Submissions / Concept Paper Submissions |
| Access | Login to NYSERDA Portal with your existing User ID and Password, or Create an Account |
| Questions | Contact Jillina Baxter at Jillina.Baxter@nyserda.ny.gov or 518-862-1090 ext. 3418 for proposal submission questions or the Program contact listed in the Solicitation. |

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1. Getting Started

Please read the following requirements before submitting an electronic proposal.

1. Before you begin, you must be using a most recent browser version for Chrome, Firefox, or Internet Explorer (IE 11 or higher). For more information on supported browsers visit [Salesforce](#) website.
2. All Users will need a NYSERDA Portal account.
3. Login with your NYSERDA Portal Username & Password credentials, or create an account if you do not have already have one (see page 4 for additional details on creating an account). Once registered, check your email for the auto-generated NYSERDA Portal Welcome email, and your assigned username to log back into the system.
4. You will be prompted to upload required files as part of the submission process.
 - Files are accessible for modification/edits until the due date at 5pm
 - **The electronic proposal system closes promptly at 5pm Eastern Time on the due date of the solicitation.** Files in process or attempted for submission after 5pm will be locked out of the system and not accepted.
5. The electronic file names should include the proposing entity's name in the title of the document.
 - **Note:** There is an 80-character limit.
6. You may submit Word, Excel, or PDF files (file formats can 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 lesser in file size.
7. PDF files must be searchable and therefore should be converted directly from an electronic document to PDF. Files should not be scanned.
8. After all necessary files have been uploaded, review them on the Proposal Documents/Concept Paper Documents step to ensure that your proposal is complete and accurate.
9. Click the "Submit" Button to confirm submission
10. You will then be brought to an Authorized Signature and Certification page summarizing the information you entered. An auto-generated confirmation of submission e-mail will be sent to the e-mail address you entered. Please save this e-mail.
11. When choosing to submit files electronically, the award/non-award notification letter will be sent to the e-mail address of the **Primary Contact listed on the Proposal Checklist.**

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Important Reminders:

1. Please allow at least 60 minutes to enter/submit proposals.
2. E-mail or facsimile (fax) submittals will not be accepted.

Review the solicitation description and associated documents of current funding opportunities available. To begin the proposal/concept paper submission process, click the appropriate solicitation and follow instructions under the application submission section.

- Login with your NYSERDA Portal Username & Password credentials, or create an account if you do not have already have one. (see next page for additional information on creating an account)

Login to NYSERDA Portal

Username

Password

LOGIN

Not registered? [Create an account](#)

[Forgot Password?](#)

If you DO NOT have an existing NYSERDA Portal Account, click on the link provided to create a new account.

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2.Account Registration

- Click on “Create an Account” to go to the “NYSERDA - Portal Registration” page.
 - Input your “Company and “Contact Information” in the sections provided, and complete all the mandatory fields (marked with an * asterisk symbol).
 - Create and Confirm your password.
 - Click the “CREATE” button to register your account.
 - You will receive portal registration confirmation via email (at the email address you entered in the contact section).

NYSERDA - Portal Registration

Register with NYSERDA's application portal.

Company Information

Company Name * Address 1 *

Address 2 City *

State * Zip *
--None--

Contact Information

First Name * Last Name *

Title * Email *

Phone *

Password Information

Password * Confirm Password *

CREATE

3. Action Boxes, Help Text & Required Fields

- **Action Boxes:** The Proposer Application provides users with checkpoints to monitor the progress of their proposal or concept paper submission in the form of action boxes as shown below:

Blue Action box contains text specifying user action required

Green Action box contains text notifying user success in specified application step

Red Action box contains text for any application errors that need to be corrected by user

- **Help Text:** Clicking on the question mark '?' symbol available next to selected fields expands guidance text as shown in the example below
- **Required fields:** Information is mandatorily required in any fields marked with a red asterisk (See example below for Company Name *)

The screenshot displays a form with the following elements:

- An "Alternate Party" checkbox.
- A "Company Name" field with a red asterisk and a question mark icon in a red circle.
- A "First Name" field with a red asterisk, containing the text "Jane".
- A "Last Name" field with a red asterisk, containing the text "Smith".
- A help text box on the right side that reads: "The Company Name and Tax Identification Number (TIN) must match the information provided to the Internal Revenue Service (IRS). Please confirm that the information provided here is identical to the company's W-9 as submitted to the IRS."

4. Proposer Contact Information Step

- On the Proposer/Concept Paper Contact information step:
 - You must have at least one “Primary Contact”
 - You can optionally add contacts, and mark them as “Alternate Party”
 - **Create a New Contact:** Click “ADD A CONTACT” for each new contact if applicable
 - **Edit an Existing Contact: To edit current contact information,** click “Edit” beside the contact name
 - Input information in all mandatory fields and click “SAVE CHANGES” to update Contact Information.
- Click “CONTINUE” if there are no changes or once all proposal contacts have been added or edited as applicable.

Application Number: [REDACTED]

PON 1234 Electric Power Distribution *Test*

Proposer Contact Information (Step 1 of 7)

Confirm the information provided below on the proposer is accurate and click 'ADD A CONTACT' to provide information on contacts other than the proposer who will be involved in the proposed project. If any of these individuals are the same person, click "Clone" to the left of their name and select the additional role that applies to them.

| Action | Name | Email | Phone | Company Name |
|--|------------|----------------------|----------------|--------------------|
| Edit Clone | Jane Smith | [REDACTED]@gmail.com | (987) 654-3210 | [REDACTED] Company |

PREVIOUS [CONTINUE](#)

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EDIT CONTACT

Alternate Party

Company Name * ⓘ

First Name *

Last Name *

Title

Email *

Phone *

Primary Contact

Address 1 *

Address 2

City *

State *

Zip *

DUNS Number ⓘ

Tax identification type *

Employer Identification Number (EIN)

SSN

Do not submit a Social Security Number to NYSERDA on this form.
If, in accordance with the rules on IRS Form-W9, your taxpayer identification number is a Social Security Number, complete all other information on this form and leave Employer Identification Number blank. In addition, mail a printed and signed copy of IRS Form W-9 to NYSERDA, attention to NYSERDA Finance, 17 Columbia Circle, Albany, NY 12203. Include your auto-generated Project ID Number on this and any forms submitted by mail to NYSERDA. You will receive your Project ID number upon submission of your application. IRS Form W-9 can be found and printed [here](#)

5. Proposer Site Information (If Site specific information is required by Solicitation)

- Add your Site Information (this step is not required for all Solicitations).
 - **Note:** All Proposal/Concept Paper Submissions do not require a site, therefore this step may be optional on selected submissions.
 - **Create a New Site:** Click “ADD A SITE” for each new site to open a separate “Edit Site” window.
 - **Edit an Existing Site:** Click on “Edit” beside address to update site related information
 - Complete address information and click ‘CONTINUE’

Application Number: [REDACTED]

PON 1234 Electric Power Distribution *Test*

Site Information (Step 2 of 7)

Click "ADD A SITE" to provide information on sites that will be involved in the proposed project.

| Action | Address 1 | Address 2 | City | State | Zip | County | Electric Utility Company |
|--|------------|------------|------------|----------|-------|--------|--------------------------|
| Edit Delete | [REDACTED] | [REDACTED] | [REDACTED] | New York | 12345 | Queens | [REDACTED] |

[+ ADD A SITE](#)

[PREVIOUS](#) [CONTINUE](#)

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- Input information in all mandatory site address fields, and click on “SAVE”

The screenshot shows a web form titled "ADD NEW SITE ADDRESS". A red rectangular box highlights the following fields, which are marked as mandatory with an asterisk (*):

- Site Name *
- Address 1 *
- City *
- State *
- Zip *

The following fields are optional and are not highlighted:

- Address 2
- County
- Regional Economic Development Council (New York City)
- Electric Utility Company (Central Hudson Gas & Electric)
- Electric Utility Account Number
- Gas Utility Company (--None--)
- Gas Utility Account Number
- Do you pay System benefits Charge (SBC)? (--None--)

At the bottom right of the form, there are two buttons: "CANCEL" and "SAVE". The "SAVE" button is highlighted with a red border.

6. Proposal Information / Concept Paper Information Step

- In the Proposal/Concept Paper Information Step input information in the following mandatory fields as shown below Fill in the Project Title, Proposed Proposal / Concept Paper / Category, Proposer Company information, and Proposal / Concept Paper Description
- Click “SAVE” and then click “CONTINUE”

The screenshot displays the 'Concept Paper Information (Step 3 of 7)' form within a web application. The form is titled 'PON 1234 Electric Power Distribution *Test*' and includes a progress indicator with seven steps, where the third step is currently active. The form contains the following fields:

- Project Title ***: Electric Power Distribution
- Proposed Concept Paper Category ***: PON1234 Category1
- Proposer Company Information ***: Test Company is an electrical power systems distributor located in New York State.
- Concept Paper Description ***: The Concept Paper aims to analyze and provide solutions for Electric Power Distribution.

At the bottom of the form, there are three buttons: 'PREVIOUS', 'SAVE', and 'CONTINUE'. The 'SAVE' and 'CONTINUE' buttons are highlighted with red boxes, indicating they are the next steps in the process.

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Next, provide Yes/No responses to Checklist and Disclosure of Prior Findings of Non-Responsibility questions.

- If you answer “Yes” to selected questions additional information may be required.

Checklist Questions

Do you accept all Terms & Conditions in the Sample Agreement? Yes No

Do you wish to have any information submitted in your proposal package treated as proprietary or confidential trade secret information? Yes No

Has the Company or any of its principals been indicted/convicted of a felony in past 5 years? Yes No

Are you a Minority or Women-Owned Business Enterprise? Yes No

MY NYMSWBWBE number is 123456

Does your proposal contain Minority or Women-Owned Business enterprises as subcontractor? Yes No

Are you a certified Service-Disabled Veteran-Owned Business Enterprise? Yes No

Does your proposal contain certified Service-Disabled Veteran-Owned Business Enterprises as Subcontractors? Yes No

Is other public funding pending/awarded on this and/or very similar topic (prior and/or competing proposals)? Yes No

Previous NYSERDA Contracts awarded? Yes No

Prior and/or competing proposals submitted? Yes No

Disclosure of Prior Findings of Non-Responsibility

Has any Governmental Entity made a finding of non-responsibility regarding the Individual or Entity seeking to enter the Procurement Contract in the last five years? Yes No

Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named Individual or Entity due to the intentional provision of false or incomplete information? Yes No

PREVIOUS **SAVE** CONTINUE

7. Proposal Budget / Concept Paper Budget Step

- In the Proposal/Concept Paper Budget step input the following two fields:
 - Proposed NYSERDA Cost
 - Proposed Cost Share, if applicable
- Click “SAVE” and then click “CONTINUE”

Home Submit a New Application Projects Project Invoices Proposal Review Manage Users

Application Number: [REDACTED]

PON 1234 Electric Power Distribution *Test*

Concept Paper Budget (Step 4 of 7)

Provide detail on the budget of the proposed project.

Success! Budget Information Saved.

Proposed NYSERDA Cost *

Proposed Cost Share *

Proposed Total Cost

PREVIOUS **SAVE** **CONTINUE**

8. Proposal Documents / Concept Paper Documents Step

The Proposal/Concept Paper Documents step is where you will upload your Proposal Documents/ Concept Paper.

- In the required Documents section, click on “Choose File” button to upload attachments. Please note the following:
 - Based on the type of submission required attachments may vary. For example, you may be required to upload a Concept Paper or Proposal Document or both.
 - Files must be smaller than 100MB or they will not upload. [Click here](#) for tips on how to reduce file size.
 - If you need to upload a newer updated version of a specific document, to replace a previous version, this can be done here until the proposal due date and time.

The screenshot shows a web application interface with a navigation bar at the top containing 'Home', 'Submit a New Application' (highlighted), 'Projects', 'Project Invoices', and 'Manage Users'. Below the navigation bar, the 'Application Number' is displayed as '00000000000000000000'. The main heading is 'PON 1234 Electric Power Distribution *Test*', followed by a progress indicator with seven circles, the fifth of which is filled. A red box highlights the text 'Concept Paper Documents (Step 5 of 7)'. Below this is a light blue informational box stating: 'The following documents must be uploaded as outlined within this solicitation. Refer to the solicitation for descriptions of the documents that must be attached.' A table titled 'Required Documents' is shown below, with columns for 'Document Name', 'Recent Uploaded Document', 'Upload History', 'Status', and 'Add / Update Document'. The table contains one row for 'Concept Paper', with 'Submitted' in the status column and a 'Choose File' button in the 'Add / Update Document' column. At the bottom of the interface, there are 'BACK' and 'CONTINUE' buttons, with the 'CONTINUE' button highlighted by a red box.

| Document Name | Recent Uploaded Document | Upload History | Status | Add / Update Document |
|---------------|--------------------------|--------------------|-----------|------------------------------|
| Concept Paper | | Attachment History | Submitted | Choose File No file chosen |

9. Authorized Signature and Certification Step

- Review all the information provided in the “Authorized Signature and Certification” Step.
 - Click on the checkbox provided agreeing to the specified terms and conditions
 - Click “CONTINUE” to move to the final step.

Home Submit a New Application Projects Project Invoices Manage Users

Application Number: [REDACTED]

PON 1234 Electric Power Distribution *Test*

Authorized Signature and Certification (Step 6 of 7)

Review the details of your concept paper submission shown below.

Primary Company Contacts

Company Name: [REDACTED] Company Address 1: [REDACTED]
Tax Identification type: SSN Address 2: [REDACTED]
DUNS Number: 9876543210 City: [REDACTED]
State: New York
Zip: [REDACTED]

| Name | Email | Title | Phone | Role | Primary |
|------------|-----------------------|--------|----------------|----------|---------|
| Jane Smith | smithabut+6@gmail.com | Tester | (987) 654-3210 | Proposer | Yes |

Alternate Party Contacts

Company Name: [REDACTED] Company Address 1: Insert Address
Tax Identification type: SSN Address 2: [REDACTED]
DUNS Number: [REDACTED] City: Insert City
State: New York
Zip: 12345

| Name | Email | Title | Phone | Role | Primary |
|----------|------------|--------|----------------|----------|---------|
| John Doe | [REDACTED] | Tester | (123) 456-7890 | Proposer | No |

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| Site Information | | | | |
|------------------|---|------------------|-------------|-------------|
| Site Name | Address | Electric Utility | Gas Utility | Paying SBC? |
| The Site Name | Test Street Test City, New York, 12345 | | | |

| Concept Paper Information | |
|------------------------------|--|
| Proposed Proposal Category | PON1234 Category1 |
| Proposer Company Information | Test Company is an electrical power systems distributor in New York State |
| Proposal Description | The Concept Paper aims to analyze and provide solutions for Electric Power Distribution. |

| Concept Paper Budget Information | |
|----------------------------------|--|
| Proposed NYSERDA Funding | |
| Proposed Cost Share | |
| Proposed Total Cost | |

I certify that the above information, and all information submitted in connection with State Finance Law §139-j and §139-k, is complete, true, and accurate, that I have read and reviewed the Standard Terms and Conditions set forth in the attached Sample Agreement and that I accept all terms unless otherwise noted herein, and that the proposal requirements noted have been completed and are enclosed.

I affirm that I understand and will comply with NYSERDA's procedures under §139-j(3) and §139-j(6)(b) of the State Finance Law.

I understand that this proposal may be disqualified if the solicitation requirements are not met.

I, the undersigned, am authorized to commit my organization to this proposal.

PREVIOUS CONTINUE

10. Proposal Submission / Concept Paper Submission Step

- On the Proposal/Concept Paper Submission step, click on the SUBMIT button.
 - Changes/updates to the Proposals/Concept Papers can be made on all steps until the time and date specified on this step.
 - The Proposal/Concept Paper will be unavailable for viewing or edits after the time and date has passed.

Application Number: [REDACTED]

PON 1234 Electric Power Distribution *Test*

Concept Paper Submission (Step 7 of 7)

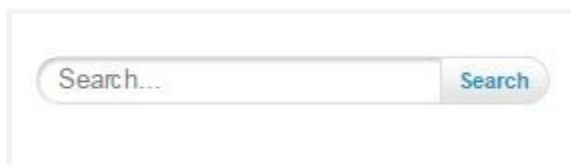
Success! Concept paper has been submitted.

You are about to submit your concept paper to the Innovation Capacity and Business Development PON 1234 Electric Power Distribution *Test*. Concept papers will only be received up to **04/24/2017 at 12:18 AM**. No Concept papers will be allowed to be submitted after this date and time.

PREVIOUS SUBMIT

11. Global Search

- The Global search feature allows users to search for a specific Proposal, Proposal Contact, and any related information. Users can input information in the search bar provided above the tabs.

A screenshot of a search bar. It consists of a light gray rounded rectangle containing a white rounded rectangle. Inside the white rectangle, the text 'Search...' is written in a light gray font. To the right of the white rectangle is a blue rounded rectangle with the word 'Search' in white text.

- Users can input asterisk symbol * at the end of a search term to display all records closely matching to that term.

Example: Inputting search term **Energy*** will provide results for all Campaigns, Companies, and High Impact Actions containing the term “Energy”)

- Users can also input the question mark symbol ? in the middle or end

of a missing or incomplete search term

Example: Inputting **Jo?n** will get results for all records containing John and Joan.)

12. Contact Information

Contact Jillina Baxter at Jillina.Baxter@nyserda.ny.gov or 518-862-1090 ext. 3418 for proposal submission questions or the Program contact listed in the Solicitation.

13. Tips to Optimize Large File Size

Microsoft Word, PowerPoint, & Excel

- MS Word, PowerPoint and Excel automatically optimize images inserted into a document. Adding images to a document, in most cases, reduces submission file sizes opposed to submitting them in their original format.
- To further optimize files with image content, saving a Word, PowerPoint, or Excel document as a PDF file may reduce file size.
- In MS Word, PowerPoint and Excel simply click on **File** change the **file format** to PDF and click **Save**.

Acrobat Pro

- Open the PDF Optimizer dialog box (File > Save As Other > Optimized PDF).
- To use the default settings, choose Standard from the Settings menu, and then skip to step 6. If you change any settings in the PDF Optimizer dialog box, the Settings menu automatically switches to Custom.
- From the Make Compatible With menu, choose Retain Existing to keep the current PDF version, or choose an Acrobat version. (The options available in panels vary depending on this choice.)
- Select the checkbox next to a panel (for example, Images, Fonts, Transparency), and then select options in that panel. To prevent all the options in a panel from executing during optimization, deselect the checkbox for that panel.
- Optional - To save your customized settings, click Save and name the settings
- To delete a saved setting, choose it in the Settings menu and click Delete.
- When you are finished selecting options, click OK.
- In the Save Optimized As dialog box, click Save to overwrite the original PDF with the optimized PDF, or select a new name or location.
- **Note:** To optimize several documents at the same time, use the Output options for the Actions Wizard.
- Learn More at the [Adobe](#) website

Zip Files

- Compressing a single large file or multiple files using zip compression may decrease file size
- On Windows and MacOS machines, you can right click on the file and locate the compress option

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14. Requirements for Paper Submission

NYSERDA will also accept proposals by mail or hand-delivery. If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing either a PDF or MS Word digital copy of the proposal. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. A completed and signed Proposal Checklist must be attached as the first page of your proposal. Proposals are due by 5:00pm Eastern Standard time on the date noted on the first page of the solicitation. Late, faxed, or e-mailed proposals will not be accepted. Proposals lacking the appropriate completed and signed Proposal Checklist and incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at <https://www.nyserda.ny.gov/>.

Mailed or hand-delivered proposals must be clearly labeled and submitted to:
Proposals, PON/RFP XXX
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

- In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions of the solicitation for additional information), additional forms must be completed and filed with paper proposals:(1) a signed copy of the [Proposal Checklist](#) including required certifications under the State Finance Law and (2) a completed [Disclosure of Prior Findings of Non-Responsibility](#) form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.
- 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 PON/RFP number, and the page number. The proposal must be in the format described in the solicitation.