



On-site Energy Manager Pilot
Program Opportunity Notice (PON) 3334

Applications accepted through March 31, 2017 by 5:00 PM Eastern Time*

This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 3334 seeks applications from Industrial facilities interested in participating in the On-site Energy Manager Pilot (the “Pilot”) to demonstrate how a dedicated On-site Energy Manager can improve a company’s profitability by delivering energy, process, and operational improvements. As part of the Pilot, NYSEDA will provide cost share of up to 75% of contracted On-site Energy Manager fees for up to 15 Industrial sites.

The Pilot targets 10 Large Sites, defined as manufacturing facilities or manufacturing campuses with greater than \$1,000,000 total (all fuels) annual energy spend who shall use the On-site Energy Manager on a full-time basis, and 5 Medium Sites, defined as manufacturing facilities or manufacturing campuses with \$500,000 to \$1,000,000 total (all fuels) annual energy spend who shall use the On-site Energy Manager on a part-time (50%) basis. Pilot participants must not have an existing dedicated energy manager on-site, must show a desire to continue the role beyond the 15-month Pilot engagement, and must be willing to share results and lessons learned to further the Pilot’s objective of increasing the penetration of energy managers at industrial facilities. Proposals will be evaluated every other week using the Evaluation Criteria detailed in Section III. Awards will be made to the first successful applications from 10 Large Sites and 5 Medium Sites.

Industrial sites will select On-site Energy Managers from the pool of NYSEDA Flexible Technical Assistance (FlexTech) Consultants. Directions to access the pool of FlexTech Consultants, and for qualified firms to become FlexTech Consultants, are linked in the Eligibility Requirements section of this solicitation.

Application Submission: Applications will be accepted through March 31, 2017, until 10 Large Sites and 5 Medium Sites are awarded, or until all funds are fully committed, whichever happens first. Applicants may apply by mail or electronically online when available.

Submittal by Mail: Send two clearly labeled, completed and signed application forms, one of which must contain an original signature, to:

Jillina Baxter, PON 3334
NYS Energy Research and Development Authority
17 Columbia Circle Albany, NY 12203-6399

Submittal Electronically: Instructions for submitting electronically are located as Attachment F to this solicitation. When submitting electronically, application documents must be in PDF, MS Excel, or MS Word format with all required documentation. Application PDFs must be searchable and created by direct conversion from MS Word, or other conversion utility, rather than scanning. All electronic files must be named using the applicant’s entity name in the title of the document. Applications may be submitted electronically by following the link for electronic submissions found on this solicitation’s webpage, which is located in the “Current Opportunities” section of NYSEDA’s website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

All Program questions should be directed to: Stacey Sabo, 716-842-1522 ext. 3037, stacey.sabo@nyserda.ny.gov or Wendy MacPherson, 518-862-1090 ext. 3553, wendy.macpherson@nyserda.ny.gov. All Contractual questions should be directed to: Nancy Marucci, 518-862-1090 ext. 3335, nancy.marucci@nyserda.ny.gov.

*Late, incomplete, or unsigned applications will be returned. Faxed or e-mailed applications will not be accepted. Applications will not be accepted at any other NYSEDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEDA’s website at www.nyserda.ny.gov.

I. Introduction

The Pilot seeks to demonstrate the value of an On-site Energy Manager role in industrial facilities such that the role becomes standardized and self-sustaining. Industrial sites will benefit from the successful energy and productivity projects that will be driven by On-site Energy Managers. Projects include operation and maintenance projects, behavioral changes, energy efficiency upgrades, process improvement projects, throughput and scrap reduction improvements, cost management, and other improvements such as water savings.

The purpose of the Pilot is to prove the business case for an On-site Energy Manager role and to disseminate developed case studies and tools to the market for broader adoption. Pilot participants are required to share success stories and best practices to facilitate this market transformation activity. Post Pilot, participants are encouraged to continue sharing success stories through NYSERDA Industrial Best Practice events.

II. Program Requirements

- Pilot participants must:
 - Not have an existing dedicated energy manager on-site.
 - Show how the On-site Energy Manager will be incorporated into the existing business structure, including
 - Providing an individual at the site who will be responsible for overseeing the effort and ensuring successful integration of the On-site Energy Manager.
 - Providing on-site work space (with computer and phone).
 - Showing desire to continue the role post Pilot engagement.
 - Sharing results and lessons learned to further the Pilot's objective of increasing the penetration of energy managers at industrial facilities.
 - Providing necessary data and other support to the On-site Energy Manager to enable successful performance of duties.
- Each site must apply with a Consultant from the NYSERDA FlexTech Consultant list comprised of firms under contract with NYSERDA, and identify the specific Consultant staff member who will be performing the On-site Energy Manager role. There must be one dedicated individual who performs the on-site services and is the direct customer contact. It is acceptable to have junior Consultant staff perform lower level administrative tasks, although such delegation should not hinder the Pilot's intention of demonstrating the business case for a dedicated energy manager. Resumes of all Consulting staff involved must be included in the proposal.
- Each On-site Energy Manager engagement must perform the tasks listed in Attachment D: Scope of Work Requirements. Additional tasks related to energy management and productivity improvement may be added.

Eligibility Requirements:

Eligible Pilot participants include NYS industrial facilities with annual energy costs greater than \$500,000 that pay into the electric System Benefits Charge (SBC).

- Pilot participants must select their On-site Energy Manager from NYSERDA's FlexTech Consultant list comprised of firms under NYSERDA contract. Please visit the website at: www.nyserderda.ny.gov/Flextech for the current listing of FlexTech Consultants.
- Firms interested in applying to becoming a NYSERDA FlexTech Consultant may do so through PON 1746: <http://www.nyserderda.ny.gov/All-Programs/Programs/FlexTech-Program/Become-a-FlexTech-Consultant>. Consultants must have a FlexTech contract in place to be included in an application to the On-site Energy Manager Pilot solicitation.
- Commitment from site's upper management (corporate officer or executive staff) required
- Customers may not participate in both NYSERDA's On-site Energy Manager Pilot and Strategic Energy Management Pilot at the same time.
- No more than two awards per FlexTech Consultant will be made per Pilot.

Program Deliverables

- Quarterly savings reports that document results from both capital upgrades and operational changes
- Project management check-ins with NYSERDA via conference call at least once per month and twice per year on-site (kick-off and exit), or at NYSERDA's discretion
- Final report that documents overall effort and progress against site energy goal
- Peer to peer sharing throughout the Pilot
- Tool development
 - Case study, including savings metrics, for online publishing
 - Road map of the On-site Energy Manager on-boarding process, for online publishing. The road map is expected to be a look-back of the participant's experience, with recommendations and adjustments made to reflect lessons learned during the process.
- NYSERDA reserves the right to cancel or prorate NYSERDA cost share based upon program deliverables not being met.

Funding and Payment

- In order to obtain the benefit of one full year dedicated to energy management, the term of the On-site Energy Manager contract will be 15 months in total- 12 months for direct on-site energy management and 3 months for final deliverable completion (final report, case study, and road map; see Program Deliverables, Section III. Program Requirements) and transition.
- NYSERDA will contribute up to 75% towards the allowable On-site Energy Manager fees, directly to the FlexTech Consultant per the approved scope of work. Maximum awards for the 15 month terms are \$234,375 for Large Sites and \$117,185 for Medium Sites. Successful applicants will pay the remaining balance of the On-site Energy Manager fees directly to the FlexTech Consultant under the terms and conditions to be negotiated by the site and FlexTech Consultant.
- All On-site Energy Manager engagements must include cost-sharing in the form of cash support from the customer. In-kind contributions of any type are not allowed as cash support
- Funds may be used for On-site Energy Manager services only and may not be used for implementation or equipment purchase.
- Travel costs are limited to 3% of the total On-site Energy Manager engagement cost.
- Invoices for On-site Energy Manager services should be broken out by non-labor costs, individuals, titles, hourly rates, dates and hours worked on each task. Invoices should also indicate the amount that is being invoiced concurrently to the site. If applicable, NYSERDA may also require a copy of the customer's canceled check paying their On-site Energy Manager engagement cost-share. Invoices may be submitted no more frequently than monthly to invoices@nyserda.ny.gov. NYSERDA reserves the right to withhold payment in cases where program deliverables are not being met.
- Adjustments to the contract period and funding levels may be made at NYSERDA's discretion.

III. Application Requirements

On-site Energy Manager Application Package, Required Documentation:

1. Proposal Checklist (Attachment A)
2. Disclosure of Prior Findings of Non-responsibility Form (Attachment B)
3. Completed and signed Applicant Information and Certification (Attachment C)
4. Scope of Work (per Scope of Work Requirements, Attachment D) with schedule, detailed budget (per Attachment E, Budget Template or equivalent) including a breakout by task and by title, hourly rate, hours, and non-labor costs, and site energy reduction goal
5. Description of energy projects, corporate sustainability initiatives, and general energy and other cultures (e.g. safety, quality) at the site in the Scope of Work
6. On-Site Energy Manager resume. Please highlight:
 - a. Relevant qualifications such as licensed Professional Engineer (P.E.), Certified Energy Manager (CEM), Certified Energy Auditor (CEA), etc.
 - b. Past experience as energy advisor to the Industrial sector
 - c. Demonstrated business acumen and leadership skills to be able to sell energy projects to upper management

7. Industrial site company organizational chart and reporting structure for On-site Energy Manager role.

Application Evaluation: Applications that meet all the Application Requirements will be reviewed at least every other week by a Scoring Committee using the Evaluation Criteria identified below. After the proposals are reviewed, NYSERDA will inform each proposer of their selection status. Applicants receiving favorable evaluations may also be asked to address specific questions or recommendations of the Scoring Committee, or make modifications to the Scope of Work, before awarding funding.

Evaluation Criteria (42 points is the minimum threshold of 60 possible):

- **Target savings as result of On-site Energy Manager engagement – 10 total points**
 - Reasonableness; savings target is attainable by site in one (1) year – 5 points
 - Percentage and total in relation to annual energy site usage by fuel type – up to 5 points
- **Industrial site energy acuity and project implementation history – 15 total points**
 - Existing corporate sustainability or energy goal – 5 points
 - Ability to implement sizeable (>1,000 MWh electric or >10,000 MMBtu fossil fuel), complicated (multi measure) energy and productivity projects – up to 5 points
 - Independent or peer recognition for energy projects – 5 points
- **Corporate culture and motivation – 20 total points**
 - Background that explains special need/desire for an On-site Energy Manager – up to 3 points
 - Plan for incorporating the On-site Energy Manager into the broader team: will the On-site Energy Manager be well positioned to effect change with respect to energy? – up to 10 points
 - Existing organizational cultures (e.g. safety culture, quality, energy, etc.) and awareness training programs – 3 points
 - Existing energy tracking and monitoring system – 2 points
 - Existing cross-functional energy team - 2 points
- **On-Site Energy Manager expertise & leadership – 10 total points**
 - Relevant qualifications such as licensed Professional Engineer (P.E.), Certified Energy Manager (CEM), Certified Energy Auditor (CEA), etc.- up to 2 points
 - Past experience as energy advisor to the Industrial sector – up to 5 points
 - Demonstrated business acumen and leadership skills to be able to sell energy projects to upper management – up to 3 points
- **On-Site Energy Manager Budget – 5 total points**
 - Reasonableness of cost and time allocation; appropriateness of labor rates and use of support staff – up to 5 points

Programmatic Considerations: In order for the Pilot to be as compelling as possible to the New York State industrial market, NYSERDA reserves the right to ensure distribution of Pilot participants across multiple industrial sectors and geographically across New York State.

NYSERDA is targeting 10 Large Sites and 5 Medium Sites through the Pilot. NYSERDA reserves the right to make adjustments to the number of Large Sites and Medium Sites actually contracted based upon applications received so long as no more than 15 sites are contracted for the Pilot and the allocated NYSERDA funding is not exceeded.

Denied Applications: Sites whose applications are denied may request a de-briefing and may reapply. Sites whose applications are denied twice may not reapply during the Pilot, but may apply to a potential future program.

Successful Applications: After review by the Scoring Committee, recommendations and comments on the Application documents will be resolved. Then NYSERDA will make a final selection decision, and issue a Notice to Proceed to the FlexTech Consultant, copying the applicant Industrial site. Cost-share amounts are not set-aside until a Purchase Order is issued.

IV. GENERAL CONDITIONS

GENERAL CONDITIONS

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

The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <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 which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html> The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

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

Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a perspective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support 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 Attachment C to contract successful applications. A sample Purchase Order is available on request. NYSERDA expects to notify customers in approximately six (6) weeks from the receipt of a complete project package whether the submission has been selected to receive an award.

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.

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.

V. Attachments:

Attachment A: Proposal Checklist

Attachment B: Disclosure of Prior Findings of Non-responsibility Form

Attachment C: Applicant Information and Certification

Attachment D: Scope of Work Requirements

Attachment E: Budget Template

Attachment F: NYSERDA Instructions for Submitting Electronic Proposals

Attachment G: Terms and Conditions