

**Career Pathways Training Partnerships for  
Energy Efficiency & Renewable Energy  
Program Opportunity Notice (PON) 2774  
\$3,850,000 Available**

**Proposals Due: September 23, 2013 by 5:00 PM Eastern Time\***

**Program Summary**

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals for the deployment of hands-on, entry level, technical training programs in energy efficiency, renewable energy, and advanced technology (collectively referred to as clean energy) that will enhance the skills of unemployed or underemployed adults and provide paid, experiential learning opportunities such as an internship or placement in a New York State Registered Apprenticeship program. This effort will advance the goals of the System Benefits Charge (SBC) programs by targeting energy efficiency, renewable energy and advanced technology in all sectors. The goal is to provide statewide training initiatives that respond to industry demand and to create a workforce equipped with the necessary skills to succeed in the clean energy economy.

This solicitation will provide funding opportunities for community colleges, Boards of Cooperative Educational Services (BOCES), not-for-profit training providers, New York State Registered Apprenticeship programs, or private training providers. Funding will support existing energy efficiency, renewable energy, and advanced technology training programs with demonstrated success in offering entry-level, hands-on technical training as well as job, internship, or New York State Registered Apprenticeship placement of program participants. It is anticipated that the primary audience for this training is emerging or transitioning workers. Other funding for technical training initiatives for existing workers to advance their skills is available in other PONs. Under this PON, entry-level training must result in a nationally-recognized, clean energy certification wherever appropriate and proposers must demonstrate industry demand for proposed training initiatives. Total funding currently available for this solicitation is \$3,850,000. Additional funds may be provided if available. It is estimated that NYSEDA will fund approximately 10 to 15 proposals with maximum awards not to exceed \$300,000. A minimum cost share of 25% is required.

Proposal Submission: Proposers must submit nine (9) double-sided copies of the proposal with a completed and signed Proposal Checklist attached to the front of each copy, one of which must contain an original signature. One (1) electronic copy of the proposal, on compact disk, is also required. Completed proposals must be received no later than September 23, 2013 at 5:00PM. Faxed or e-mailed proposals will not be accepted. Proposals must be clearly labeled and submitted to the following address:

**Roseanne Viscusi, PON 2774  
NYS Energy Research and Development Authority  
17 Columbia Circle  
Albany, NY 12203-6399**

If you have contractual questions concerning this solicitation, contact Elsyda Ahmed (518) 862-1090, ext. 3232 or [ela@nyserda.ny.gov](mailto:ela@nyserda.ny.gov). All program questions or general questions concerning workforce training should be directed to Rebecca Sterling Hughes (Designated Contact) at (518) 862-1090 ext. 3618 or [rjs@nyserda.ny.gov](mailto:rjs@nyserda.ny.gov). No communication intended to influence this procurement is permitted except by contacting Rebecca Sterling Hughes. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement may: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

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

## **I. Introduction**

### **A. Background**

Career pathway training is typically a series of courses and hands-on, practical training to prepare individuals for more advanced traditional technical training or a job. Most often, it is designed for students lacking fundamental technical skills and experience. For example, career pathways initiatives routinely consist of a series of technical classes or modules, ideally combined with real-world work experience to prepare an individual for an entry level job, such as photovoltaics (PV) installer assistant, weatherization laborer, or lighting retrofit technician. Career pathways trainings vary in length, from several months to a year. Participants of career pathways programs should be well positioned to apply their skills directly to entry-level employment, or move on to more advanced technical training or entry-level real world experience via an internship, New York State Registered Apprenticeship, or on-the-job training.

NYSEERDA launched its Career Pathways for Disadvantaged Workers program in December 2009. The program was designed to expand NYSEERDA's energy efficiency workforce development audience, beyond professionals in the energy field, to include new entrants to the workforce seeking basic skills and entry-level training. Through this three-year program, NYSEERDA made significant investments in the training infrastructure including curriculum development, training equipment, and train-the-trainer initiatives. This grassroots effort was designed to rapidly ramp up New York State's training capacity and to prepare underserved adults for advanced training and entry-level employment. More than 30 training partnerships were established and over 2,000 participants were trained in courses ranging from literacy and construction mathematics through basic air sealing and building science. NYSEERDA plans to build upon earlier investments to advance certification-based training for unemployed or underemployed adults and to foster connectivity between hands-on skills training and employers in the field.

### **B. Goals and Objectives**

The goal of this solicitation is to fund experienced training providers that will deliver hands-on entry-level, technical, certification-based training in clean energy and provide paid, real-world practical experience such as an internship or placement in a New York State Registered Apprenticeship program for program participants. (Please refer to Section II, Program Requirements, for details on eligible technologies.) The intended outcome is a network of community colleges, BOCES, and not-for-profit or private training providers that deliver hands-on training and experiential learning opportunities. Training

and experience must be in the clean energy sector and in an area where the demand for skilled workers can be demonstrated. Proposals must demonstrate a plan for sustaining the program in the future. Priority will be given to proposals that address the needs of socioeconomically disadvantaged individuals. Proposers are encouraged to collaborate with other educational partners, as appropriate. It is anticipated that the primary audience for this training is emerging or transitioning workers. Other funding for technical training initiatives for existing workers to advance their skills is available in other PONs (see Attachment F.)

It is critical that training providers demonstrate that participants are being taught the skills required to perform work in the intended occupation so that participants are ready to begin hands-on work immediately upon completion of the training program or are adequately prepared to move on to more advanced technical training. Applicants must demonstrate the market value of proposed training through linkages with industry needs for a trained workforce. **Successful proposals must demonstrate that their training development reflects the input of industry representatives and identifies skills needed for jobs that exist and require workforce development.** In addition, the training program must include paid, hands-on, experiential learning opportunities, such as an internship or placement in a New York State Registered Apprenticeship program, for a minimum of 15% of the students trained, and to the greatest extent practical, maximize the number of trainees that can be placed in those internships or apprenticeships. The internships/apprenticeships must be paid, must be implemented over a minimum of four weeks, and must be a minimum of 140 hours in duration. These experiences can be part-time and can be concurrent with classroom training or offered after the conclusion of classroom training.

In addition, training organizations must demonstrate, through letters of support from industry partners, that they are working with the clean energy industry to help connect graduates of their program to available jobs in their communities. This demonstrates market value and a real commitment to developing the local workforce.

### C. Terms and Definitions

**Clean Energy:** For the purpose of this solicitation, “Clean Energy” is defined as energy efficiency, renewable energy, and advanced technologies (please see Targeted Technologies under Section II, Program Requirements).

**Certification Training:** “Certification” refers to a voluntary system of standards, usually set by key stakeholders and subject matter experts that practitioners can choose to meet in order to demonstrate accomplishment or ability in their profession.

**Internship:** For the purpose of this solicitation, internships are defined as paid, supervised, work experience or job shadowing lasting a minimum duration of 140 hours. The purpose of the internship is that the participant can gain hands-on experience, determine their interest in a clean energy career, and create a network of contacts. Some interns find permanent, paid employment with the organizations with which they interned. This can be mutually beneficial to the employer as experienced interns often need less training when they begin regular employment. Unlike NYSEERDA’s on-the-job training incentive program (PON 2033), however, employment at the completion of an internship is not guaranteed. For the purpose of this solicitation, internships must be related to clean energy and are subject to the funding caps defined herein (see Funding under Section II, Program Requirements).

**New York State Registered Apprenticeship Program:** Apprenticeship programs are conducted by employers, jointly by employers and unions, or by groups of employers. The New York State Department

of Labor registers apprenticeship programs, working with forward-looking businesses across the state to develop the skilled workforce of the future. For the purpose of this solicitation, apprenticeships must be related to clean energy and are subject to the funding caps defined herein (see Funding under Section II, Program Requirements).

On-the-Job Training: For the purpose of this solicitation, on-the-job training (OJT) is defined as full time, permanent, employment where the individual acquires knowledge, skills, and competencies related to defined job tasks through mentorship from a senior staff member. OJT is provided by an eligible business to an employee while the employee is engaged in productive work in a job. OJT is not eligible for funding under this solicitation: other funding for OJT incentives is available through NYSERDA PON 2033.

For an illustration of the clean energy career pathway and NYSERDA’s PONs to support various stages on the pathway, please see Attachment F - Clean Energy Workforce Development Infrastructure.

**II. Program Requirements**

**A. Funding**

The budget for this solicitation is \$3,850,000. Additional funds may be provided if available. NYSERDA anticipates awarding approximately 10-15 contracts under this solicitation, with a maximum award of \$300,000 per contract. Minimum cost share of 25% is required. Funding is designed to provide for hands-on training for a minimum of 3,000 students and internships/apprenticeships for a minimum of 450 students that successfully complete the initial hands-on training. The hands-on training must be a minimum of 35 hours with a minimum of 15% of the total number of students trained being placed in an internship or apprenticeship. Preference will be given to proposers that have a reasonable plan to place more than the required 15% of those trained in an internship/apprenticeship, and the funding is designed to accommodate these higher numbers.

<b>PON 2774 Funding Guidelines (per student)</b>	
Maximum NYSERDA share for hands-on, classroom training (includes administration costs)	\$750
Maximum NYSERDA payment to training provider and/or employer to administer internship or apprenticeship (per student successfully placed in internship or apprenticeship)	\$250
Maximum NYSERDA share of internship/apprenticeship hourly wage	\$12.00
Maximum NYSERDA share of internship/apprenticeship costs based on maximum NYSERDA share of wage.	\$2,880

All payments made under the contract will be performance-based, using the following milestones:

- Completion of entry level, certification-based, hands-on technical training– maximum award of up to \$750 per participant trained.
- Internship or New York State Registered Apprenticeship with placement with a business that provides services consistent with Energy Efficiency Portfolio Standard (EES) and SBC goals, as follows:
  - \$250 for placement of a program participant to cover administrative costs associated with business relations development, any liability insurance paid by the training provider or business, and any follow-up services required in placing the intern. The training provider

may share any portion of this fee with the business where the intern is being placed, as appropriate.

- Hourly wages for the internship or NYS Registered Apprenticeship period are reimbursable by NYSERDA at a rate of up to \$12 per hour, not to exceed \$2,880 per person, upon completion of the 140 hours required for internships or apprenticeships.

Note

- Paid placements must comply with New York State Labor Law (please see Department web site at [http://www.labor.ny.gov/workerprotection/wp\\_combo\\_index.shtm](http://www.labor.ny.gov/workerprotection/wp_combo_index.shtm)).
- The placement must be with a clean energy business located within a reasonable proximity to participant's residence, taking into account transportation distance, commuting time and commuting cost.
- Verification of placement must be provided to NYSERDA to receive the administrative placement payment. The required verification documentation is the completed "Confirmation of Placement for Career Pathways Partnerships" form and a copy of a paystubs or payroll records from the pre-approved business that demonstrates a minimum of 140 hours of paid employment.

Allowable costs can include the following:

- Administration and delivery of hands-on classroom and laboratory training, such that the out-of-pocket cost to the participant is reduced or eliminated (covered in the maximum of \$750 for training) and;
- Administration of the internship/apprenticeship program, including insurance costs incurred by the training provider for the placement of interns or apprentices with industry partners (maximum \$250 NYSERDA share for administration of internship program).

Other costs, such as transportation, tutoring, job site equipment (e.g., work boots or tool belts), childcare assistance, or other wraparound services are not allowable costs but can be used to meet the cost share requirements of this PON. Applicants are encouraged to review opportunities for funding for wraparound services available through the New York State Department of Labor (NYS DOL).

**B. Proposer Eligibility**

Community colleges, BOCES, not-for-profit training providers, New York State Registered Apprenticeship programs, or private training providers are eligible to receive funds under this solicitation. This program is supported with SBC funding; therefore, proposers must demonstrate that they serve SBC areas of New York State and training must be delivered in SBC territory or to students who can demonstrate that they reside in SBC territory. SBC service territory consists of areas with electric service provided by one of the following: Central Hudson Gas and Electric Corp., Consolidated Edison Company of NY, Inc., NYS Electric and Gas Corporation, National Grid, Orange and Rockland Utilities, Inc., and Rochester Gas and Electric. Proposers must meet the following qualifications:

- Experience in clean energy training resulting in nationally recognized certifications, wherever appropriate.
- Sufficient equipment and lab space to facilitate hands-on energy education.
- Stringent pre-screening practices for basic math and literacy skills.
- Ability to target skills currently needed to meet demonstrated clean energy industry demand in the proposed training area.
- Proven connections to employers seeking to hire program graduates.

- Experience coordinating real-world work experience for trainees with New York businesses.
- Established relationship with the NYSDOL One Stop Career Centers.

### **C. Targeted Technologies**

Technologies targeted for training may include, but are not limited, the following:

- Energy efficiency home improvements
- Insulation and air sealing
- Heating, ventilation, and air conditioning (HVAC)
- Advanced lighting design and controls
- Advanced building sensors and controls
- Solar photovoltaics (Solar PV)
- Solar heating
- Small and large wind
- Anaerobic digestion
- Smart grid and electric vehicle infrastructure
- Data monitoring equipment and strategies
- Electric vehicles
- Energy storage technologies

### **D. Program Content**

Programs should have a plan to become self-sustaining, and proposals will be evaluated on their ability to continue once NYSERDA funding is exhausted. NYSERDA seeks to support established training programs that can demonstrate experience in entry-level technical training and facilitating paid, hands-on, experiential learning opportunities such as an internship or placement in a New York State Registered Apprenticeship program. Successful proposals will demonstrate a minimum 15% internship or apprenticeship placement rate for program graduates. Training must include, but is not limited to, that which results in a nationally recognized credential where appropriate. Examples of entry-level third party technical certifications include: National Work Readiness Credential, Occupational Safety and Health Administration (OSHA) 10-Hour, North American Board of Certified Energy Practitioners (NABCEP) Entry-level PV and Solar Thermal Passing Score Achievement Document, Building Performance Institute (BPI) Basic Air Sealing and Insulation (BASI), Residential Energy Services Network (RESNET) Home Energy Retrofit Technician I or II, and National Council on Qualifications for the Lighting Practitioner (NCQLP) Lighting Certified Professional. Other entry-level third party technical certifications will be considered.

Proposals should also include documentation of prior experience in the placement of program graduates in job, internship, or apprenticeship positions related to clean energy in the form of three (3) letters of support from businesses who have hired graduates from your clean energy-related training in the past and who can attest that proposed training relates directly to their future hiring needs.

Projects will be evaluated on their ability to screen potential enrollees to ensure success in training; connect trained individuals to internships, apprenticeships and jobs in the field; demonstrate connections to industry employers; capitalize on previous infrastructure investments; and leverage other funding including, but not limited to, funding to support returning veteran populations. Funded training must result in a nationally-recognized certification, where appropriate, and proposers must demonstrate industry demand for proposed training initiatives. Priority will be given to proposals that

target individuals with barriers to employment including, but not limited to, the following: veterans, the long term unemployed and underemployed, formerly adjudicated, and underserved youth audiences. Additionally, proposals must demonstrate a plan for sustaining the program beyond the funding period.

Note that proposals must explicitly state training and experiential learning placement goals. Geographic diversity will be a selection factor to the extent possible. For example, it is a goal of this PON to select projects in various regions within SBC territory (see Proposer Qualifications under Section III, Program Requirements), including upstate, central NY, western NY, and downstate. However, more than one (1) project may be selected from a region. Training is to be delivered over an 18- to 24-month period, with an expected starting date by the end of 2013.

#### **E. Partnerships**

Collaboration is encouraged between training providers and other organizations, such as but not limited to the following: community colleges or four-year schools; businesses (for internships, site visits, and collaboration on the development/integration of curricula); NYSDOL NYS Career Centers (for additional training and job placement services); trade unions (for apprenticeships); and professional organizations.

#### **F. Marketing**

Proposers will be expected to market training targeted to their area and audience. Priority will be given to proposals that include a plan for engaging the interest of veterans, the unemployed, underemployed, formerly adjudicated, and underserved youth audiences. Proposers must provide a market strategy for the initial grant period and for ongoing marketing after the funds run out.

#### **G. Reporting**

Reporting is essential to communication between the selected training provider and the NYSERDA Project Manager. Reporting is necessary to measure progress and as a basis upon which the Project Manager assesses whether or not to approve the Contractor's invoice. The Contractor shall provide quarterly reports to NYSERDA's Project Manager electronically and shall deliver a Final Report that summarizes the entire project. NYSERDA will provide the report format. Reports will include, but not be limited to, the following:

- Title of project
- Contract number
- Reporting period
- Project progress, including tasks completed in month, tasks left to complete, etc.
  - Information on tasks shall be provided in individual sections labeled as Task 1 (a, b, c), Task 2 (a, b, c) etc.
- Feedback from instructors delivering training
- Identification of issues or concerns
  - Planned solutions
  - Areas where NYSERDA assistance is needed
- Metrics:
  - Summary of recruitment efforts
  - Complete list of trainings held during the reporting period and submitted in NYSERDA's Course Metric Template including dates, instructor contact information and locations where the training sessions were held.
  - NYSERDA Class Roster Template including the name, address, contact information, electric utility service territory, and education level and employment or school enrollment status for all attendees for each training session.

- Complete pre- and post-training surveys, including instructor review (NYSERDA provides)
- Complete internship or apprenticeship placement report including the name of the employer, contact information, hourly wage, and training plan including a detailed description of the participant's roles and responsibilities as well as anticipated learning outcomes.
- Registration fees paid by participants and summary of third-party funds used for training
- All costs incurred to conduct training sessions
- List of equipment and materials purchased or donated

### **III. Proposal Requirements**

Proposers must address the criteria identified in Section II above and include a detailed plan, timeline, and complete budget identifying anticipated costs. (See Attachments A through E.)

#### **A. Proposer Qualifications**

Proposers to the solicitation must be an accredited training institution or must be able to demonstrate progress toward accreditation. Community colleges, BOCES, not-for-profit training providers, New York State Registered Apprenticeship programs, or private training providers are eligible to receive funds under this solicitation. This program is supported with SBC funding; therefore, proposers must demonstrate that they serve SBC areas of New York State and training must be delivered in SBC territory or to students who can demonstrate that they reside in SBC territory.

#### **B. Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k**

Procurement lobbying requirements contained in State Finance Law sections 139-j and 139-k became effective on January 1, 2006. (The text of the laws is available at: <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>). In compliance with §139-j and §139-k of the State Finance Law, for proposals submitted in response to this solicitation that could result in agreements with an annual estimated value in excess of \$15,000, additional forms must be completed and filed with 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 will disqualify a proposal.

#### **C. Proposal Format and Required Copies**

Proposers must submit nine (9) copies of the completed proposal to the address on the front of this Program Opportunity Notice. One (1) electronic copy of the proposal, on compact disk, is also required. A completed and signed Proposal Checklist must be attached as the front cover of the proposal, and **one copy must contain an original signature**. Late proposals will be returned, and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.

All proposals submitted become the property of NYSERDA. Proposers will not be reimbursed by NYSERDA for any costs associated with preparation of their proposals.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics and should be prepared in a Microsoft office environment including Word, Excel,

PowerPoint, or in PDF. 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 number, and the page number. The proposal must be in the following format:

**Section 1:** Proposal Checklist – The Proposal Checklist to be completed is attached to this PON. The checklist must be attached to the front of each copy. **At least one copy of the Proposal Checklist must have an original signature.**

**Section 2:** Cover Letter – Proposers should submit a cover letter on company letterhead that references this PON and provides a summary of qualifications and a brief description of the proposed approach to the work requested under this PON. The proposer should briefly identify key information about their organization:

- Organization name, address, telephone number, fax number, an e-mail address, and a contact person;
- Year the organization was established;
- Name and address of parent company (if applicable).

Proposers should describe why they are qualified to perform and complete the services requested under this PON. This section should be limited to no more than two (2) pages.

**Section 3:** Range of Services - Proposers should describe, in detail, the training initiative and internship/apprenticeship activities proposed and the range of services that will be provided by the proposer or the proposing team for each area. Proposers should also provide details on any current activities that this proposal may build upon and identify where this training fits within the overall curriculum offered by the institution, including training progression opportunities. The proposer should address the areas below, where applicable, and provide more specific information about how these areas will be addressed in Section 4 (Statement of Work). Section 2 should address the “what” and “why” related to the proposed training and internships/apprenticeships:

**INSTRUCTORS:** What are the qualifications of your instructors? How is the quality of instruction maintained?

**STUDENTS:** How will students be targeted, recruited and screened? What will students need to succeed in this program? How will student needs be addressed?

**CURRICULUM:** Which clean energy topics will be addressed? Please describe the curriculum and explain how it will be used and/or modified. How are business and industry partners involved in the development and update of curricular materials? Please provide a course outline and syllabus for any courses proposed.

**TRAINING DELIVERY:** How will training be delivered (i.e. classroom, lab, on-line, blended model)? How will students register for classes? How will classes be scheduled? Where and when will training be delivered? What does the hands-on component of the training entail?

**FACILITIES AND EQUIPMENT:** What equipment will be required? Is it available now? If not, how will the necessary equipment be procured? How will the equipment be used by training participants and/or

instructors? Will training participant and/or instructors training on equipment operation be required? How and where will necessary training classes be conducted?

**PARTNERSHIPS:** What partnerships exist now or will be developed (other training providers, business/industry, professional associations, NYSDOL NYS Career Centers, etc.)? How will these partnerships be developed, documented, and sustained? If the partnership predates this solicitation, what is the existing relationship between proposers? Proposals must include letters of support from at least three (3) businesses who have hired graduates from your clean energy-related training in the past and who can attest that proposed training relates directly to their future hiring needs.

**MARKETING AND OUTREACH:** How will participants learn about the program? What marketing methods will be used? Who will be responsible for these efforts?

**SOURCES OF REQUIRED COST SHARE AND OTHER SOURCES OF FUNDING:** What are the proposers sources of funding for the 25% cost share required and other funding? Is there a complete description of each funding source? Does the proposal leverage third party funds? If so, please describe. Note: costs, such as transportation, tutoring, job site equipment (e.g., work boots or tool belts), childcare assistance, or other wraparound services are not allowable costs for NYSERDA payments, but can be used to meet the cost share requirements of this PON.

**EVALUATION:** How will participants' performance be evaluated? How will the effectiveness of a program/course/class be assessed? How will instructors be evaluated? How will any newly developed or modified curricular materials be evaluated and improved?

**FUTURE ACTIVITIES:** How will the program be sustained after the scope of services is complete and NYSERDA funds are no longer available?

**Section 4: Statement of Work -** The Statement of Work (SOW) details how the proposer will fulfill the tasks outlined in Section 2. The SOW is the primary contractual document that identifies the deliverables and provides a basis for payment. It is an action document that specifically delineates each step or procedure required to accomplish the tasks outlined. The SOW must be prepared as an ordered set of tasks, including subtasks as necessary. The proposers should describe their approach/methodology and define their rationale for the proposed approach. They should describe the actions they will take to complete each task and the anticipated outcome of each task. Each action should, therefore, be identified, indicating who will perform it, how it will be performed, when it will be performed, and its anticipated measurable deliverables.

No proposer is expected to provide a fully detailed and comprehensive implementation plan at this point, but each proposal will be evaluated on how much forethought and consideration proposers have given to every aspect of this program. Use the following format to describe each task or subtask:

Task 1: Task Title  
The Contractor shall....  
The Task 1 deliverable is....

The SOW must address all of the areas identified and described by the proposer in Section 2 of the proposal.

Contractors selected under this funding opportunity will be required to report progress on a quarterly basis. Therefore, the SOW should include a task for metrics reporting. Metrics to be reported will include, but not be limited to, the following:

- Complete student and course data for trainings held during the reporting period. Student and course data shall be submitted in a format provided by NYSERDA.
  - Course data shall include course titles, course location, start and end dates, total number of students enrolled and number of students completing class, instructor names and contact information, etc.
  - Student data shall include student name, address, utility service provider, email, date of birth, gender, employer, last grade completed, disability or veteran status, etc.).
- Registration fees paid by participants and summary of third-party funds used for training.
- All costs incurred to conduct training sessions.
- Pre- and post-training surveys for teachers and students in a format provided by NYSERDA.

**Section 5: Management Structure** - The proposal shall identify all project participants, including the program director, who will be responsible for ensuring that the tasks within the SOW are carried out properly and in a timely manner. The proposer should provide a clear description of the roles and responsibilities of each key person in completing the work plan. An organization chart should be included with the proposal. Proposals that include partnership arrangements must specify one party as the Primary Contractor. The Primary Contractor will have overall responsibility for the administration of the Agreement and completion of the SOW. The proposer should also describe how coordination with NYSERDA and any other partners will be accomplished.

**Section 6: Qualifications** - The proposers shall demonstrate how they are qualified to carry out the tasks in the SOW. The proposal should clearly demonstrate how the proposer meets the requirements of Section 2 above, and has the experience, skills, and abilities necessary to effectively develop and implement this program, as described above. Proposals should include examples of relevant training, as well as projects and programs that have been completed by the proposers that would demonstrate their qualifications to develop and implement this program. Each proposer should include the name and telephone number of at least three references. Resumes of all key team members should be provided in an appendix. Include a description of, and list by contract number if applicable, any prior experience working with NYSERDA.

**Section 7: Schedule and Staff Plan** - The proposers shall include a timeline for completing each task and major subtask identified in their SOW. This timeline should be clearly presented, in a chart or table, for each task, showing anticipated starting and completion times for each task in terms of weeks or months after execution of the Agreement.

The proposal should also include a staffing plan that identifies the key personnel, including any subcontractors or other resources responsible for completing each task and major subtask. Additionally, the proposal should include a table showing the number of hours each key person or subcontractor will spend on each task and the total hours per task.

**Section 8: Cost Proposal and Budget** - The Contract Pricing Proposal Form (CPPF) is included as an attachment to this PON. The proposal must include a completed CPPF for

- The total proposal including budget detail for each of the tasks identified

Note that the budget for this solicitation is \$3,850,000. Additional funds may be provided if available. NYSERDA anticipates awarding approximately 10-15 contracts under this solicitation, with a maximum award of \$300,000 per contract.

Funding is designed to provide for hands-on training resulting in a nationally recognized clean energy certification, where appropriate, for a minimum of 3,000 students and internships/apprenticeships for a minimum of 450 students that successfully complete the initial hands-on technical training. The hands-on technical training must be a minimum of 140 hours with a minimum of 15% of the total number of students trained being placed in an internship or apprenticeship. Preference will be given to proposers that have a reasonable plan to place more than the required 15% of those trained in an internship/apprenticeship. All payments made under the contract will be performance-based unless otherwise noted.

Attach detailed budget breakdowns (using the CPPF Supporting Schedule) for subcontractors, equipment, material, and travel. The CPPF will be used to evaluate the cost elements of proposals. Upon contract negotiation, a milestone based contract will be used.

Cost Sharing – For this PON, a 25% cost share is required. 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. Other costs, such as transportation, tutoring, job site equipment (e.g., work boots or tool belts), childcare assistance, or other wraparound services are not allowable costs for NYSERDA payments, but can be used to meet the cost share requirements of this PON. Show the cost sharing plan in the following format (expand table as needed):

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

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

1. Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently-approved rates).
2. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
3. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). The 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.

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.

### **Appendices**

Materials to be submitted in appendices include the following:

- Resumes of key personnel who will complete tasks described in the SOW.
- If applicable, letters of commitment for all subcontractors or partnering organizations. Each must be signed by a person authorized to bind the organization.
- Letter of support from at least three (3) businesses who have hired graduates from your clean energy-related training in the past and who can attest that proposed training relates directly to their future hiring needs.
- Letters of support from other entities, such as professional organizations, NYSDOL, or colleges.
- If applicable, a list of NYSERDA contracts your organization and/or team members have received.
- Other material deemed necessary by the proposer.

### **IV. Proposal Evaluation**

NYSERDA reserves the right to eliminate from further consideration any proposal deemed to be substantially or materially non-responsive to the requirements of this PON or the requests for information contained herein. **It is strongly recommended that proposers review the evaluation criteria because this is the basis upon which proposals will be reviewed and scored.**

Proposals that meet proposal requirements will be reviewed and evaluated by a Technical Evaluation Panel (TEP) consisting of NYSERDA staff and selected outside reviewers. All references to the “proposer” below apply to the proposer and any additional team members. Final rankings and contract awards will be based on the following Evaluation Criteria, listed in order of importance.

After proposals are reviewed by the TEP, NYSERDA will notify each proposer whether or not the proposal was favorably evaluated (within approximately 10 weeks). NYSERDA reserves the right to require an interview before final contract award decision.

### **Relevant Experience and Qualifications**

- Does the proposer have documented experience implementing entry level technical training in clean energy?
- How well does the proposer demonstrate stringent screening of potential training participants?
- Does the proposed training result in a nationally-recognized certification, if appropriate?
- If there is no national certification for training offered, how is the training evaluated for quality and industry demand?
- Does the proposed training prepare participants for an internship, apprenticeship or for entry level employment?
- Does the proposed program include a minimum 15% placement in internships or apprenticeships?  
Does the proposal exceed 15% placement?
- Does the proposer have adequate equipment to support classroom or laboratory training that meets industry standards?

- Are key personnel's education and experience relevant to the training needs? Is the overall capability of the training staff adequate and appropriate?
- Has the training team demonstrated appropriate experience designing, developing or modifying, and evaluating relevant curricular materials in response to industry stakeholder needs?
- What is the proposer's previous experience with NYSERDA, if any?

### **Statement of Work (SOW)**

- Is the SOW thorough, specific, logical, and consistent with the PON's objectives?
- Does the SOW address NYSERDA's program goals and objectives?
- Is the SOW appropriate in its approach to market and deliver quality training?
- Is there enough detail provided for each task in the SOW?
- Does the SOW include all metrics reporting requirements?

### **Comprehensiveness of Approach and Management Plan**

- Are training sites located in New York State and in SBC territory or does the proposer otherwise demonstrate that training participants reside in SBC territory?
- Does the proposer have a letter(s) of commitment or support from partnering organizations?
- Does the proposer have at least three letters of commitment or support from businesses who have hired individuals from the energy-related training in the past and who can attest that proposed training relates directly to their future hiring needs?
- Are sufficient resources (staff, facilities, equipment, and materials) being devoted to the SOW and each proposed task?
- Does the proposal's management plan include coordination and interaction with all of the relevant parties (partners, local resources, and other programs) and is the coordination well developed?
- How comprehensive is the proposal in addressing the following:
  - Type of training to be delivered
  - The technologies included
  - The range of services included
  - The geographic range of delivery of training
  - The number of students trained and placed in an internship or apprenticeship
  - Plan for implementation of internship or apprenticeship program
- Is the course content, in keeping with NYSERDA's requirement, appropriate in preparing participants for work in the intended occupation and for more advanced technical training or entry-level employment?
- Does the proposal include appropriate strategies to assess the effectiveness of proposed training?
- What are the plans for sustaining the program once NYSERDA funding is exhausted?
- Does the proposal target individuals with barriers to employment including, but not limited to, the following: veterans, the long term unemployed and underemployed, formerly adjudicated, and underserved youth audiences?

### **Cost**

- Is the CPPF (budget) reasonable and responsive to funding requirements under the solicitation?
- Is the proposal within the \$300,000 budget limit?
- Is 25% cost share included? How will it be provided? Does the proposer leverage any third-party funds? Is there a complete description for each funding source?
- Are the proposer's costs appropriate when compared to the costs of other comparable proposals and the projected results?
- Does the proposed budget leverage third party funding sources?

## 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 <http://nyserda.ny.gov/~media/Files/About/Contact/NYSERDARegulations.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  
30 South Pearl Street  
Albany, NY 12245

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

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

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements that 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](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. Regional diversity will be a selection factor to the extent possible. Contracts may be awarded 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 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 ten (10) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement

**Limitation** - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement

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

## VII. ATTACHMENTS

Attachment A - Proposal Checklist (mandatory)

Attachment B - Disclosure of Prior Findings of Non-responsibility (mandatory)

Attachment C - Contract Pricing Proposal Form (CPPF - mandatory) & Instructions

Attachment D - Intent to Propose (optional, but encouraged)

Attachment E - Sample Agreement

Attachment F – Clean Energy Workforce Development Infrastructure