

## **Attachment C**

### **RFP 3401 – Statement of Work**

This document shall serve as a universal Statement of Work which outlines potential tasks to be performed. The Statement of Work shall be supplemented by individual Task Work Orders that are specific to each initiative assigned.

Shared Service Provider hereinafter referred to as “Contractor”

The Contractor will be responsible for completing the various tasks below dependent on the level and type of services requested by NYSERDA and the initiative to which they are providing support. Initiative details and specific standard operating procedures will be provided upon initiative assignment.

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#### **TASK MANAGEMENT**

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#### **Task 0: Task Management**

##### **0.0 Responsibility**

The Contractor shall provide all task management activities necessary for the completion of this Statement of Work, which shall include the following activities:

- a. Coordinate the work of the Contractor's employees that are undertaking tasks described in this Statement of Work;
- b. Ensure control over the agreement and/or task work order budgets and adherence to the task schedules;
- c. Efficiently and effectively manage the project administration process and communications between the various stakeholders (ex. participants, service providers, and contractors); and
- d. Provide all reporting to NYSERDA as specified in the individual task work orders and this Statement of Work.

The Contractor(s) shall provide recommendations to NYSERDA on potential refinements that will:

- Streamline initiative processes and procedures;
- Streamline project management system(s) and project tracking needs;
- Improve efficiency and participant satisfaction;
- Reduce operational costs; and
- Increase the productivity of Contractor’s staff while still effectively achieving initiative goals.

Confidential and proprietary information shared with the Contractor while providing services is to be kept confidential by the Contractor. Such information is not to be shared with other parties or used by the Contractor for any purpose outside of the specific assignment as outlined in Exhibit B, Article 8 of the Standard Agreement.

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#### **TASKS**

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#### **Task 1: Participant Support**

Each individual on the Contractor’s team must fully understand and be able to explain a defined list of NYSERDA market development initiatives for which they are providing support so they can effectively correspond with participants via email and telephone, and maintain participant satisfaction and project flow.

The Contractor may be the first line of contact for many New York residents and businesses interested in engaging in a NYSERDA initiative. The Contractor shall understand a participant’s objectives, expectations, and needs, and eliminate complexity and ambiguity to ease the participant’s participation experience.

##### **Task 1.1 Participant Support and Inquiries:**

- Timely correspondence with participants via email and telephone to maintain customer satisfaction and project flow.
- Coordinate and answer questions on the initiatives posed by active program participants and individuals seeking to apply to an initiative.
- Contact inquiring participants via telephone and/or email within one business day of initial contact.
- Data enter and maintain a list of participants contacted including date of contact, contact information (contact, phone, email), and participant's initiative of interest through NYSERDA's customer relationship management system ((CRM) Salesforce) and/or project management system(s) as necessary.
- Elicit on an ongoing basis, feedback from participants on the development of new or refined processes or initiative opportunities.

## **Task 2: Application Intake & Processing**

The Contractor shall review applications for compliance with initiative rules and procedures, including eligibility of customers, service providers, projects, and measures; completeness of the application; and the compliance with the overall project and funding requested with written program rules. Upon acceptance and/or approval of the application, the Contractor shall follow the necessary steps to pre-encumber and/or encumber the application. Throughout each task, the Contractor shall perform necessary data entry and track applications and progress through appropriate project management system(s).

### **Task 2.1 Application Triage**

- Provide application assistance which includes, but is not limited to: determining initiative area, as well as eligibility, project feasibility and cost-effectiveness of funding request relative to the initiative of interest.
- Review applications for completeness and coordinate with participants to assure completeness
- Coordinate with the investor owned utilities as necessary.
  - This may include review of referrals from utilities as applicable.
- Recommend application approvals to appropriate NYSERDA staff.

### **Task 2.2 Application Processing**

- Ensure compliance with initiative provided application processing requirements.
- Data entry into Salesforce, project management system(s), and/or financial system.
- Pre-encumbering and encumbering data entry.
- Monitor internal collaboration during the encumbering process. Provide follow-up as necessary.

### **Task 2.3 Income Verification**

- Collect and review income verification information to determine eligibility per initiative-specific processing instructions.
- Correspond with the applicant and relevant parties (contractor, lender, community based organization)
- Document eligibility in relevant project management system(s).

### **Task 2.4 Application Progression**

- Continue engagement throughout application process from intake to encumbrance. This may include, but is not limited to, project manager assignment, technical reviewer assignment, contractor assignment, etc.
- Address any stagnation (NYSERDA or participant) in application flow.

- Receive updated project progress documentation and update initiative forms and/or project management and financial system(s) as necessary.

#### **Task 2.5 Notifications**

- Provide necessary notifications to applicants/participants via CRM, phone, email, or standard mail. This includes but not limited to, general program correspondence, purchase order execution, requesting outstanding documents, cancellations, etc.

#### **Task 2.6 Modifications**

- Process application modifications including but not limited to cost-modifications, no-cost modifications, and cost reductions.

### **Task 3: Data Energy and Management**

In addition to application and payment data entry activities, the Contractor shall regularly maintain and assure data quality, as well as report general correspondence, application, and incentive metrics to NYSERDA as requested and as per Task 5.

#### **Task 3.1 Data and Quality Control:**

- Develop and submit to NYSERDA for review and acceptance a written document outlining accurate data entry protocols and review processes
- Perform routine and ad-hoc data quality assurance reviews and data cleanup. Data will be treated confidentially and managed according to NYSERDA data quality and data management standards.
- Assist with and/or perform scheduled and ad hoc reporting
- Ensure compliance with NYSERDA data quality governance requirements.
- Record and monitor initiative budgets and participation metrics and milestones as defined by NYSERDA.
- Assist in tracking initiative status and accomplishments including preparation of concise descriptions and status updates of all funded projects
- Ensure segregation of duties related to data entry and data review and quality control (QC)
- Become fluent in NYSERDA project management and financial systems and familiar with each system's reporting functionality.
- Fully understand importance of each data entry field and implications of incorrect data to prioritize QC and reviews.

### **Task 4: Payment Processing**

The Contractor shall prepare, review, track, and report payments and requests for payment.

#### **Task 4.1: Payment Review**

- Data enter payment details into project management system(s)
- Review accuracy of participant submitted payment requests
- Compare payment request to originally approved dollar amount and track balances.
- Request additional information from incomplete payment request submissions
  - Track and report on incomplete payment request submissions

#### **Task 4.2: Develop Payment Documentation**

- Develop payment recommendation based on approved milestones.

- Create, prepare, and submit payment requests to NYSERDA's finance department

#### **Task 4.3: Payment Verification**

- Ensure compliance with initiative specific payment processing requirements.
- Verify accuracy of payee information.
- Verify payments have been issued in financial system
- Reconcile financial system with project management system(s)

#### **Task 4.4: Funding Close-Out**

- Perform monthly reconciliation to ensure unused funding balances are appropriately disencumbered.
- Report to NYSERDA on funding status.

### **Task 5: Initiative Support**

By the 10<sup>th</sup> of the following month, the Contractor(s) shall provide NYSERA with a standardized progress report. The Contractor(s) shall attend general and initiative-based meetings and conference calls, as well as complete other ad-hoc initiative support activities as deemed necessary by NYSERDA on an as-needed basis.

#### **Task 5.1: Progress Reporting**

The Contractor shall submit **monthly** progress reports to NYSERDA no later than the 10th of each month. The Progress Reports shall include the following information, in the order indicated, with appropriate explanation and discussion:

- Name of Contractor;
- Agreement number;
- Reporting period;
- Task progress including but not a summary of:
  - summary/matrix of the initiatives assigned
  - number of participant communications
  - number of applications received, accepted, rejected, and processed for each initiative served
  - number of payment requests received, accepted, rejected, processed, and paid for each initiative served
  - totals and budget balances for each assigned initiative
  - cycle times associated with processing assigned initiatives
  - data management activities
- Ability to meet schedule, reasons for slippage in schedule, corrective actions taken to get back on schedule;
- Budget - analysis of actual task work order costs incurred in relation to the budget.
- Summarize improvements implemented over the reporting period and identify any additional opportunities for improvement.
- Any other pertinent information, as determined by NYSERDA.

#### **Task 5.2: Overarching Support**

- It is expected that the selected shared services provider(s) will attend meetings and conference calls, as invited, as well as complete other ad-hoc support of activities deemed necessary to manage the shared services scope.
- Alert NYSERDA to any unresolved participant concerns or common pain points associated with the completion of the above tasks.

- Ensure project files and required documentation are stored and saved in appropriate project management and financial systems and network folders.
- Provide ad-hoc program support consistent with the initiative specific task work order and as directed by NYSERDA.
- Coordination with and reporting to other program support services as necessary such as, Quality Assurance Contractor, Loan Originator, Technical Services Contractor, Call center, Workscope Review, etc.