



**EFFICIENCY MAINE TRUST
REQUEST FOR PROPOSALS FOR
C & I PRESCRIPTIVE, NEW CONSTRUCTION & SMALL BUSINESS
INCENTIVE PROGRAM DELIVERY**

RFP EM-005-2016

Date Issued: February 24, 2016

Closing Date: April 7, 2016 - 3:00 pm local time

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- Attachment A – Proposal Cover Sheet Form
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SECTION 1 – RFP INFORMATION AND INSTRUCTIONS

1.1 Title and Purpose

RFP EM-005-2016 – C & I Prescriptive, New Construction & Small Business Incentive Program Delivery

The Efficiency Maine Trust (the Trust) seeks a program delivery contractor or team of contractors (referred to as Delivery Team or DT) to support a market-based, energy efficiency incentive program utilizing prescriptive solutions for Maine’s Commercial and Industrial (C&I) customers.

1.2 Designated Contact Person for this RFP

Rick Meinking, Business Program Manager
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1.3 Schedule of Activities

Event	Date/Deadline
RFP Issued	February 25, 2016
Question Period Closes	March 4, 2016
Responses to Questions Posted	March 8, 2016
Proposals Due at Efficiency Maine Trust Office	April 7, 2016 by 3pm EST
Anticipated Award Date	April 21, 2016
Anticipated Contractor Start	July 1, 2016

Schedule changes: The Trust reserves the right to modify this schedule at its discretion. Any changes or additional information regarding the RFP schedule and pre-bid activities, including responses to questions, will be posted on the Trust’s website at:
<http://www.efficiencymaine.com/opportunities>

1.4 Questions

Questions regarding this RFP must be submitted by email to the Designated Contact Person listed in section 1.2 prior to the close of the Question Period specified in section 1.3. The subject line of the email should be: RFP EM-005-2016 Questions. Responses to questions will be posted on the Trust’s website.

1.5 Proposal Submittal Deadline

Proposals must be received at the Trust’s office by the due date and time specified in section 1.3. Any proposal received after the deadline will not be considered. Proposals must be complete when submitted; changes or additions will not be accepted after the specified due date and time, except for

any clarifications requested of bidders by the Trust. Each bidder is responsible for ensuring timely receipt of its proposal. Further details regarding proposal requirements are provided in section 5 of this RFP.

1.6 Cost of Proposal Preparation

Costs incurred in the preparation of any proposal in response to this RFP are the sole responsibility of the bidder.

1.7 Anticipated Contract Term

The anticipated term of the contract is July 1, 2016 through June 30, 2019, subject to annual review by the Trust.

The current Contract for Services Agreement expires June 30, 2016. In order to maintain seamless program services in the market, the Trust recognizes that an 8- to 12-week transition period may be necessary between the current DT and the incoming contractor(s). As such, the Trust may seek a transition agreement by mid-April 2016.

1.8 Anticipated Contract Budget

The anticipated annual budget for the C&I Prescriptive, New Construction & Small Business Incentive Program is outlined in the Trust's proposed Triennial Plan III which can be found here: <http://emtplan.com/wp-content/uploads/2015/05/FY17-19-PLAN-APPENDICES-FINAL.pdf>. The actual budget will be updated upon Public Utility Commission approval of Triennial Plan III and after annual budget approvals by the Board of Trustees. Note that a portion of the authorized budgets will support program-related activities conducted by Trust staff or separate contractors. Delivery team budgets for this program over the past several years ranged from \$1.2 million to \$3.7 million. The contract will be for Time and Materials with a Not-to-Exceed maximum. The Trust is interested in the bidder's plans to deliver maximum energy savings at low delivery cost.

1.9 Contract Award

The Trust will notify all bidders of the contract award decision by email. The anticipated award date is specified in section 1.3. The Trust reserves the right to negotiate the final terms and conditions of the contract award with a winning bidder whose proposal is selected by the Trust, and to reject any winning bidder with whom the Trust cannot agree to terms and conditions meeting the Trust's needs, in the Trust's sole judgment.

1.10 Contracting Process

The selection of service providers and grant recipients is governed by the Efficiency Maine Trust Rule Chapter 1: Contracting Process for Service Providers and Grant Recipients, which can be found on the Trust's website:

<http://www.energymaine.com/docs/Chapter-1-Contracting-Process-for-Service-Providers-and-Grant-Recipients.pdf>

1.11 Related Requests for Proposals

The Trust plans to issue a separate RFP for bidders interested in supporting custom projects related to energy efficiency and distributed generation incentive opportunities for Maine’s C&I customers. The Efficiency Maine Trust posts all Requests for Proposals at <http://www.energymaine.com/opportunities/>.

Bidders are invited to respond to multiple requests. However, bidders must submit a separate, stand-alone proposal in response to each request for which the bidder wishes to be considered. Efficiency Maine may award one bidder more than one contract.

SECTION 2 - BACKGROUND INFORMATION

2.1 Efficiency Maine Trust

The Trust is the independent, third-party administrator for energy efficiency programs in Maine. The Trust’s mission is to lower the cost and environmental impacts of energy in Maine by promoting cost-effective energy efficiency and alternative energy systems. The Trust does this primarily by delivering rebates on the purchase of high-efficiency lights and equipment to help customers save electricity, natural gas and heating fuels throughout the Maine economy. The Trust is governed by a stakeholder Board of Trustees with oversight from the Maine Public Utilities Commission.

Given the Trust’s mission, the Trust generally seeks the following qualities in delivery teams and program designs:

- Market-Based – The Trust prefers market-based programs where customers select their own prescriptive measures and installer as opposed to programs where the program administrator models or decides the upgrade and manages the installer.
- Maximize Cost-Effectiveness – While other program goals and objectives may dictate specific measure mixes, the Trust prefers delivery teams that can find creative ways to achieve all program goals while maximizing cost-effectiveness using the Total Resource Cost test.
- Verifiable Savings – Innovative program delivery and measure offerings are valued by the Trust; however, only verifiable savings can be claimed. Bidders that can show a record of achieving verifiable savings and launching new measures with means of determining verifiable savings will have an advantage.
- Drive Demand, Not Supply – The Trust prefers to drive market demand rather than drive supply. For example, the Trust prefers to invest in the execution of a marketing plan and pay incentives for completed efficiency projects, rather than focus on programs that invest in training new installers or primarily increasing stock on shelves.
- Leverage Private Sector – The Trust makes every effort to support the private sector rather than compete with it. Therefore the Trust seeks delivery teams that have a record of collaborating with local organizations, supply chains, and contractors. For example, if there were a need for training, all things being equal the Trust would prefer a delivery team that would market offerings from training organizations in Maine rather than a team that would develop its own courses.
- Core Competency of Customer Service – Program management is a function principally the responsibility of and performed by Trust staff. Delivery teams may be directed to undertake many tasks of varying complexity such as consultation on program design and outreach. That said, the

core competency of delivery teams must be adherence to highest levels of customer service, including fast and efficient processing of participant project documents, timely and professional communications, and ability to work with contractors and program participants to achieve best outcomes.

- Third-Party Standards – The Trust typically uses third-party standards rather than developing its own. The Trust relies on organizations like ENERGY STAR®; Building Performance Institute (BPI); the Air Conditioning, Heating and Refrigeration Institute (AHRI); DesignLights Consortium (DLC); and others. Therefore, delivery teams that are familiar with relevant third-party standards are preferred.
- Continuous Improvement – The Trust listens to stakeholders, monitors developments in energy efficiency technologies and programs, and modifies its programs as needed. Experience in continuous improvement is an advantage for a bidder.
- Pay for Energy Savings – The Trust places a high priority on investing funding on customer incentives for actual energy savings and minimizing costs of program delivery. Therefore, bidders are encouraged to avoid administratively intensive, behaviorally focused, complex programs, and incentives for activities that do not save energy.
- Simple Teams – While bidders are welcome to partner with other companies to form a team, unnecessary complexity in the team’s organization would be considered a disadvantage. Simple teams with logical roles and experience working together are preferred.

2.2 Program Background and Context

The proposed Triennial Plan III (section 5.2, section 5.3 and section 5.4, <http://emptplan.com/wp-content/uploads/2015/05/FY17-19-PLAN-APPENDICES-FINAL.pdf>) provides details on the Trust’s plans for the next three years regarding the program’s objectives, opportunity, budget and metrics, and program design. Following are highlights of recent activities and future directions.

The C&I Prescriptive, New Construction & Small Business Incentive Program provides customers access to financial incentives for the installation of energy efficient equipment. The program prioritizes energy efficient equipment that has practical applications across Maine and across the C&I sector. Application of a prescriptive approach helps to keep program costs low and makes it easier for contractors and customers to access the efficiency measures and associated benefits. The objectives of the program are as follows:

- Reduce total energy costs for C&I electricity consumers in the state by increasing the efficiency with which electricity is consumed
- Increase C&I consumer awareness of cost-effective options for conserving natural gas, fuel oil and propane
- Motivate C&I customers to improve building energy consumption performance through early retirement of inefficient equipment
- Motivate C&I customers when constructing a new building, to consider implementing an integrated design team approach and prescriptive pathways to a “better than code” construction practice
- Promote highest efficiency equipment options when customers are replacing old equipment or adding new equipment
- Create more favorable market conditions for the increased use of energy-efficient products and services

- Provide support to Maine’s smallest businesses (SGS rate class) through the Trust’s Small Business Initiative (SBI)
- Promote sustainable economic development and reduce environmental damage

2.2.1 C&I Prescriptive Incentive Program

The foundation of the C&I Prescriptive Incentive Program is built on what the Trust has most recently called the “Business Incentive Program”. It is a mature program well-established in Maine. Incentive programs for energy-efficient equipment have been available to Maine’s C&I customers since the early 1980s when the programs were first offered by the electric utilities.

The program offers a wide variety of incentives for C&I participants, and has evolved over time by recognizing improvements in technologies and design standards. Trust staff design and manage the program with implementation support from a program delivery contractor selected through a competitive bidding process. The program covers measures that help participants manage electricity, natural gas, oil, and propane costs by investing in energy efficiency. This approach is intended to promote integrated program delivery for the business participant.

Financial incentives will continue to play a significant role in this program by helping to address the incremental costs of energy efficiency improvements. In providing these incentives, the Trust seeks to deliver maximum energy savings at low delivery costs. As background, Table 1 represents the incentives paid, energy savings (first year), and program delivery contractor cost for past six years.

Table 1
Six Year Summary: Electric – Energy Savings, Incentive Paid, and Program Delivery Costs

	Energy Savings (kWh, annual)	Incentives Paid	Delivery Costs
FY-2010	31,049,683	\$4,934,851	\$1,973,940
FY-2011	44,804,247	\$6,425,757	\$3,745,280
FY-2012	40,632,727	\$6,382,822	\$2,951,153
FY-2013	30,027,000	\$3,713,874	\$1,905,363
FY-2014	38,037,703	\$4,304,503	\$1,288,817
FY-2015	75,285,380	\$15,880,029	\$1,565,184

Incentives are offered at fixed amounts for a prescribed list of the most common energy efficient equipment that can be used in nearly every business: lighting, lighting controls, refrigeration, HVAC units, variable speed drives, and equipment related to agricultural industry. Table 2 below illustrates the breakdown of the prescriptive project types completed for the last 6 years for electrical efficiency measures.

Table 2
Six Year Summary by Project Type

Prescriptive Projects – Electric	FY-2010	FY-2011	FY-2012	FY-2013	FY-2014	FY-2015
Agriculture	26	10	16	4	7	7
HVAC (<i>Heating-Ventilation- Air Conditioning</i>)	38	62	74	80	85	81
Lighting	1,351	1,562	1,693	1,787	2,359	4,643
Refrigeration	56	54	49	43	56	30
TPM (<i>Motors</i>)	43	59	3	0	0	0
VFD	17	22	89	23	22	20
Compressed Air	0	0	0	1	26	49
Water Heating	0	0	0	0	0	0
Totals	1,531	1,769	1,924	1,938	2,555	4,830

The cornerstone for the Business Incentive Program over the past several years has been the affiliation with the trade ally network known as Qualified Partners (QPs). QPs are experienced vendors, contractors, suppliers and other professionals who supply, install, or advise customers about energy efficient equipment. Efficiency Maine QPs assist customers with the selection of qualifying equipment and incentive applications. Over the past several years this network has welcomed more than 700 new and recertified QPs to the program. One major improvement to the program was the creation of a [Qualified Partners website](#). The new site meets the needs of the Trust’s growing Qualified Partners network and gives them easy access to program announcements, updated Efficiency Maine documents (like the Technical Reference Manual), training opportunities, program news, a program toolbox, and several other features.

The current roster of QPs includes manufacturers, distributors, wholesalers, retailers, installers and servicers of energy-consuming equipment (e.g. HVAC systems, lighting products, and refrigeration equipment) and architects and engineers involved in the design and specification of buildings and building systems. Potential QPs are required to undergo training on the C&I programs, to meet certain licensing/certifications and quality thresholds, and to have liability insurance. Upon satisfying all QP requirements, they are included in the Trust’s [Qualified Partner online directory](#).

2.2.2 C&I New Construction

Over the past 3 years, the Trust has also offered a program for new construction of commercial buildings (referred to as “Maine Advanced Buildings”) using the requirements found in New Buildings Institute’s [Core Performance Guidelines](#). Currently there are 5 projects under construction as outlined in Table 3, with several other buildings in various stages of development. Section 5.3 of Triennial Plan III provides more details on this program.

Table 3
Maine Advance Buildings – Projects under construction

Project	Summary	SF under MOU	Incentives
Wells High School, Wells	New addition and major renovations to school building	126,155	\$220,771
Community Center, Presque Isle	New community center	32,174	\$56,305
New Gorham Police Station, Gorham	New police station	11,000	\$19,250
York High School Auditorium	New addition to high school building	23,000	\$40,250
Western Maine Medical Office Building, Norway	New medical office building	25,500	\$44,625

2.2.3 Small Business Initiative

Finally, the Trust recently began a Small Business Initiative (SBI). Small businesses face greater barriers to accessing energy efficiency savings than other non-residential customers or most residential customers, and as a result limited numbers of small businesses have installed energy efficient products. For most small businesses, the up-front cost of the efficiency improvement, limited access to working capital, lack of information, and lack of technical expertise present significant market barriers. To address these barriers, the Trust developed SBI to help upgrade businesses lighting through a turn-key prescriptive pathway. Section 5.4 of the Triennial Plan provides more details on this initiative. Last year SBI targeted four regions:

Region 1: Fort Kent, Madawaska, Caribou, and VanBuren

Region 2: Houlton

Region 3: Norway, Oxford, South Paris, Mechanic Falls, and Poland

Region 4: Waterville, Oakland, Fairfield, and Winslow

Table 4 provides a snapshot of the results from Region 1 and 2:

Table4: Region 1 and 2 Project Details

Regions 1 and 2	Region Total	Average Project
Project Cost	\$2,305,946	\$5,413
Incentive	\$1,870,875	\$4,392
Annual kWh Savings	4,706,625	11,048
Annual \$ Savings	\$611,861	\$1,436
Monthly \$ Savings	\$50,988	\$120

2.3 Program Goals, Objectives and Requirements in the Triennial Plan III

The following tables from the Triennial Plan III submitted to the Public Utilities Commission provide the program budgets and performance metrics:

C&I Prescriptive Program						
FY	Electric Budget	Natural Gas Budget	All Fuels Budget (RGGI)	Total Budget	MWh Savings	MW Savings
2017	\$11,345,138	\$1,744,869	\$1,865,231	\$14,955,238	46,183	6.6
2018	\$11,877,678	\$1,872,559	\$2,020,418	\$15,770,655	47,700	6.9
2019	\$14,309,018	\$2,065,123	\$2,385,706	\$18,759,847	57,743	8.2

Commercial New Construction						
FY	Electric Budget	Natural Gas Budget	All Fuels Budget (RGGI)	Total Budget	MWh Savings	MW Savings
2017	\$711,935	\$291,750	\$1,865,231	\$2,868,916	2,943	0.4
2018	\$717,259	\$313,096	\$2,020,418	\$3,050,773	2,943	0.4
2019	\$805,949	\$344,989	\$2,385,706	\$3,536,644	3,254	0.5

Commercial Small Business						
FY	Electric Budget	Natural Gas Budget	All Fuels Budget (RGGI)	Total Budget	MWh Savings	MW Savings
2017	\$2,639,247	\$0	\$0	\$2,639,247	6,618	1.3
2018	\$2,651,217	\$0	\$0	\$2,651,217	6,618	1.3
2019	\$3,305,519	\$0	\$0	\$3,305,519	8,025	1.5

2.4 Requirements

2.4.1 Efficiency Maine Reporting & Tracking System (effRT)

The Trust's program activities are data driven and program success hinges on the capacity to measure and verify the energy and cost savings derived from program participation. The primary tool that Efficiency Maine has developed for data management is known as the Efficiency Maine Reporting & Tracking System (effRT) database. The DT will be required to use effRT for documenting and processing project applications as well as for reporting on program results. The effRT database is SQL-based with an online interface created and currently maintained with ASP.net tools. Since its initial development to support delivery of the Business Incentive Program, the effRT database has been continuously refined to address the evolving needs and features of additional programs offered by the Trust. The Trust continues to work toward a fully unified data management structure that can capture and report on a diverse array of data originating from a variety of sources, without being burdensome to program administration, delivery, and reporting requirements.

The database platform manages the data for all of the Trust's active programs and ensures consistent and accurate estimates of energy savings. The system also enables trade allies (such as Qualified Partners) to expedite the processing of incentives, significantly reducing paperwork.

2.4.2 Additional Sources of Information

Following are links to additional information that bidders may find helpful in preparing a response to this RFP:

TITLE	LOCATION (link)
Efficiency Maine Trust website	www.energymaine.com
Efficiency Maine Trust 2015 Annual Report	http://www.energymaine.com/docs/2015-Efficiency-Maine-Annual-Report.pdf
Efficiency Maine Trust – Triennial Plan (proposed)	http://emtplan.com/wp-content/uploads/2015/05/FY17-19-PLAN-APPENDICES-FINAL.pdf
Program webpage	http://www.energymaine.com/at-work/business-programs/
Qualified Partner Website	http://qualifiedpartner.me/
EMT Baseline Opportunities Study	http://www.energymaine.com/docs/Cadmus-Baseline-Opps.pdf
Natural Gas Potential Study	http://www.energymaine.com/docs/2014-EMT-NG-Potential-Study-Report.pdf
Commercial Building Interval Data Analytics Study	http://www.energymaine.com/docs/2015-Commercial-Building-Interval-Meter-Data-Analytics-Study.pdf
EMT Business Program Evaluation (Process & Impact)	http://www.energymaine.com/docs/EMT-Business-Program-Report-FY2011-FINAL.pdf
Efficiency Maine Trust Commercial Technical Resource Manual	http://www.energymaine.com/docs/EMT-TRM_Commercial_v2016_1.pdf
Chapter 380 – Electric Energy Conservation Programs	http://www.energymaine.com/docs/AgencyRules/Chapter%20380.pdf
Chapter 480 – Natural Gas Energy Conservation Programs	http://www.energymaine.com/docs/AgencyRules/Chapter%20480.pdf

The DT is required to implement the program consistent with the relevant Maine laws, regulations, Triennial Plan, program manuals and technical reference manuals. The DT may be called upon from time to time to advise the Trust on adjustments being considered for these guiding documents.

Section 3 - SCOPE OF WORK

3.1 Overview and Objectives

The Trust seeks a qualified bidder or team of bidders to deliver, through a market-based approach, a prescriptive incentive program for Maine's Commercial & Industrial sector for existing buildings as well as for "whole building" commercial new construction. Additionally this team may be called upon, as needed, in support of the Small Business Initiative. The selected bidder or team of bidders will be known as the Program Delivery Team Contractor (DT).

3.2 Primary Program Tasks

The Trust will contract with the selected bidder(s) to deliver the program. This work includes, but is not limited to, the following primary tasks:

- **Task 1: Project Kickoff, Transition Work Plan**
 - The DT, in consultation with the Trust, will develop a transition plan that establishes a scope of work that will provide for program transition from the current program year (ending June 30, 2016) to the new program year (beginning July 1, 2016) and/or the transition between the new DT and the current DT.
- **Task 2: C & I Prescriptive Incentive Program Implementation Plan and New Construction Incentive Implementation Plan**
 - The DT will be responsible for receiving, reviewing, evaluating, and processing prescriptive incentive and new construction (MAB) applications. The DT will ensure that program delivery emphasizes high levels of service to the customer.
- **Task 3: Small Business Initiative (SBI) Support**
 - The DT will be responsible for the processing of all SBI project incentives using the effRT database. Additionally, the DT may be called upon to conduct project reviews and pre/post project inspections.
- **Task 4: Project Management and Reporting**
 - The DT will be responsible for reviewing and recommending revisions to the program's current qualifying measures and incentives as well as developing and implementing new offers as the market demands.

3.3 Proposal Task Descriptions

The bidder is expected to propose how it will perform the following tasks:

Task 1: Project Kickoff Meeting and Work Plan

The DT, in consultation with the Trust, will organize and facilitate a Kickoff Meeting at the Trust's offices to establish a foundation for the project, review the proposed statement of work and schedule, and discuss any revisions or adjustments that may be necessary, and establish communication protocols.

Following the kickoff meeting, the DT will prepare an action-oriented Work Plan document that updates and refines the Statement of Work presented in the proposal as appropriate based on the Kickoff Meeting and discussions with the Trust. The Work Plan should follow the basic structure and format of the proposed Statement of Work, with revisions, modifications and additional detail incorporated as appropriate.

***Task 1 Deliverables:** Kickoff Meeting materials, draft and final action-oriented Work Plan*

Task 2: C&I Prescriptive Incentive Program Implementation Plan and New Construction Incentive Program Implementation Plan

The contractor(s) will be required to develop a detailed C&I Prescriptive Incentive Program Implementation Plan that specifies the overall approach, schedule, implementation and quality assurance plan, for each task, sub-task and deliverable required to deliver the program. The plan shall highlight, at a minimum, how the contractor(s) proposes to implement the primary tasks in this section and the sub-tasks for the Prescriptive Incentive Program and the New Construction (Maine Advanced Building) Program.

Task 2.1 Program Updates and Delivery Strategy

The DT will be responsible for reviewing and recommending revisions to the program's current qualifying measures and incentives as well as developing and implementing new offers as the market demands. For reference see *"EMT Baseline Opportunities Study"*, *"Natural Gas Potential Study"*, and *"Commercial Building Interval Data Analytics Study"* reports referenced in section 1.16

During FY2017-FY2019 additional program elements to be explored include:

- Pay for Performance – an initiative that takes a comprehensive approach to project design, implementation, and verification of energy savings;
- Market Sector Focus – sectors and measures identified in conjunction with the study's mentioned above will be assessed for market sector targeting. Two examples of target sectors are the Healthcare and Retail sectors;
- Upstream HVAC Incentives – incorporating targeted upstream incentives for specific measures;
- Building Tune-up – incorporating additional prescriptive measures commonly found in retro-commissioning projects;
- Street Lighting – efficient street lighting technologies applicable to customer-owned municipal street lights; and
- Advanced Lighting Controls – program options for incorporating elements that promote lighting controls to achieve site specific lighting control strategies.

Additionally, the DT will be responsible for developing and implementing a process to deal with complaints from customers or contractors.

Describe your team's capabilities and approach to adding new measures or making modifications to existing programs for the above mentioned program elements.

Task 2.2 Marketing and Communications

The primary marketing channel for this program is the Qualified Partner network. The Efficiency Maine Qualified Partner (QP) network comprises nearly 700 contractors, vendors, suppliers, and energy professionals who have been trained to provide support to businesses interested in saving energy. These independent businesses are the primary marketers of the Program by working with their customers and identifying new customers for energy efficient equipment. The Trust has found that all but the smallest

businesses in Maine work with contractors for electrical, heating, and mechanical solutions. Rather than encourage businesses to work with a new energy efficiency contractor, or work directly with the Trust, the Trust instead focuses on encouraging contractors to become engaged with the Program. Generally speaking, the DT in coordination with the Trust is the first line of support to the network.

The Trust's Communications Team is the lead program resource for managing the website, a central call center, paid media and earned media, printed and other audio-visual materials used to reach out to potential customers. Although many of the marketing/communication activities to the customer will be conducted by the Trust, some capability from the DT may be called upon during periods of high-demand.

Describe your resources for supporting the development of energy efficiency projects as well as assisting with marketing plan development, marketing material design and creation, and marketing plan tracking. Share relevant examples.

Task 2.3 Qualified Partner Management and Technical Assistance

The DT will provide technical assistance to participating contractors in a number of ways. The DT will make equipment information, including cut sheets, available on the QP website, as well as program information and answers to frequently asked questions. The DT will also assist the Trust staff to develop and send QPs general information on the industry, the program, and case studies in a monthly, electronic newsletter. QPs may check on the status of a project through the program's project database, effRT. The exclusive QP website is available as a technical resource and program resources and sales tool. As described above, technology-specific information may also be addressed through trainings on new technologies or advanced installation techniques (e.g., the program has offered trainings on advanced heat pump installation and lighting controls in the past). Lastly, QPs are invited to call program staff with questions on eligible measures or technical questions.

Describe your experience, capabilities, approach, and available resources to support the QP network.

Task 2.3 Customer Service and Technical Assistance

The DT must work cooperatively with the Trust's call center contractor and assist with call center training, monitoring, and support to ensure customer satisfaction and cost-effective program delivery.

For each of the below, describe the processes you would use to handle inbound calls from these groups given these parameters:

For Qualified Partners:

The DT must be available to support the QP network during normal working hours (8am-5pm) on weekdays, including non-federal holidays. Beyond providing toll-free access for the Qualified Partner network with members of

the DT, the DT shall provide training opportunities to support the changes or additions in program guidelines as well as related technologies.

For Customers:

At times the DT must work directly with customers in the development of energy efficiency projects but should seek to include the Qualified Partner Network as early in the project development as necessary. Calls from customers regarding project development that are referred to the DT will normally be transferred by the Trust's call center and the DT is expected to take all calls with the assumption that the customer is on the line (hot transfer).

Describe how your team would support inbound calls from these two market segments.

Task 2.4 Incentive Processing

The Trust uses a paperless on-line incentive application process. QPs submit Prescriptive Project Applications directly into effRT. The DT has responsibility to ensure that incentive payments are processed, issued, and tracked in a timely fashion and with a high level of accuracy. For additional information regarding the database workflow, see Attachment D – "Understanding effRT Database Project Workflow". Additionally the DT has the responsibility to ensure that all required IRS reporting requirements and State of Maine unclaimed property reporting is properly adhered to and administered (e.g., issuing 1099s, return check protocols). Finally, the Trust gives preference to firm(s) that would have the incentive payments (checks to customers) drawn from a Maine-based bank.

Explain your process to issue incentives accurately and timely. Include your process for handling any tax reporting (1099s) and unclaimed/lost incentive checks.

Task 2.5 Quality Assurance/Quality Control

All incentive applications are screened for completeness, including a review of equipment cut sheets and contractor invoices. In addition, all applications are signed (electronically through effRT) by the customer to ensure that applicable terms and conditions have been reviewed by both the customer and the contractor.

Applications over a certain threshold (currently incentives greater than \$10,000) receive a technical review before project pre-approval is granted. At project completion, these larger projects are reviewed again or an on-site inspection is conducted before incentive payment is issued. In addition (for the smaller projects), a random sample of projects is inspected on-site; currently 10% of all projects are inspected on-site. Issues identified while on-site are addressed with the installation contractor.

Describe your closed-loop process that ensures the program is working as designed. This process should create and track actionable feedback.

Task 2.6 Application / Project Reviews

The effRT database is used to manage projects from the project inception to final payment. The Application workflow step is used to collect all information about the project including customer information, premise information, and measures installed. After the project is completed, it is subject to inspection. The Inspection workflow step collects results from the inspection. The Management Review workflow step is used by the Delivery Team to review the project for accuracy. During Management Review, the program Delivery Team will determine if a Technical Review is required. The Management Review also ensures that the latest savings and factor schedules are being referenced for savings calculations. If it is not, a technical review will automatically kick-off. The Technical Review workflow step allows engineers to review and update measure information based on review results. Upon completion of the workflow, the project will be released for incentive payment.

Describe your approach to managing the pipeline of projects submitted by the QPs including the timeline from project enrollment to incentive payment. Include your recommendations for project inspections (pre-inspections and/or post-inspections).

Task 2.7 Program Data Tracking and Reporting

As previously described in section 2.4.1, the Trust's central repository for tracking program activity's is through the Efficiency Maine Reporting and Tracking System (effRT). There are currently pre-defined program activity reports such as installed measure summaries, incentive payment reports, project pipeline reports as well as the ability to develop new and ad-hoc reports. The DT will be required to provide program status reports, energy savings reports as determined by the Trust.

Describe your ability to track and report weekly/monthly program progress. Experience with forecasting results is valuable. The Trust will require that reports be submitted in Microsoft Excel, Microsoft Word and via file transfer to our secure server (effRT database).

Task 2 Deliverables: C&I Prescriptive Incentive Program Implementation Plan and New Construction Incentive Program Implementation Plan

Task 3 Small Business Initiative Support Services

The Trust seeks to bring the Small Business Initiative (SBI) support services within the scope of the Prescriptive Incentive Program contract. These services will include project reviews; SBI designated installing contractor support, pre/post project inspections and incentive processing. Marketing and outreach efforts will be provided by the Trust's Communications Department.

Describe your capabilities to provide the afore-mentioned SBI support services.

Task 4 Project Management and Reporting

The DT will be responsible for reviewing and recommending revisions to the program's current qualifying measures and incentives as well as developing and implementing new offers as the market demands. For reference see "Assessment of Energy Efficiency and Distributed Generation Baseline and Opportunities" report referenced in section 2.2. The DT will be responsible for developing and implementing a process to deal with complaints from customers and other stakeholders.

Describe your process to respond to changing market conditions, equipment prices changes and measure modifications.

Describe your approach to helping the Trust forecast measure uptake and program costs.

SECTION 4 - GENERAL RESPONSIBILITIES AND REQUIREMENTS

4.1 Contractor Responsibilities

The winning bidder will be responsible for adhering to the following requirements:

- **Confidentiality.** All the Trust's customer information is confidential, and the winning bidder, its staff, and its subcontractors will be required to sign a nondisclosure agreement before any customer data is released to the contractor. See <http://legislature.maine.gov/statutes/35-A/title35-Asec10106.html> for additional information on related confidentiality restrictions.
- **Project Personnel.** In accordance with Standard Agreement, Rider B, Section 3, Provider Personnel (see Attachment B), no re-deployment or replacement of any Key Personnel may be made without the prior written consent of the Trust.
- **Call Center Coordination.** The winning bidder will be required to work cooperatively with the Trust's call center contractor and assist with call center training, monitoring, and support to ensure maximum customer satisfaction and cost-effective program delivery.
- **Communication and Marketing Coordination.** The winning bidder will be required to work cooperatively with the Trust's Communications Division and any marketing contractors to ensure program marketing materials and messages are in compliance with style guidelines and to ensure message coordination in various media outlets.
- **Database Management and Coordination.** The winning bidder will be required to collect, enter, and upload accurate program data and customer information into the Trust's database management system and work cooperatively with the Trust's database management contractor. The winning bidder is also expected to oversee and manage the integrity of the database entries made by QPs.

- **Research and Evaluation.** The winning bidder will be required to extract and report program data and information to support the Trust’s research activities and evaluation, measurement and verification (EM&V) activities. This work will include, but is not limited to, support for ongoing EM&V activities and periodic program evaluations conducted by Trust staff and independent evaluation contractors. The winning bidder will be required to work cooperatively with the Trust’s evaluation contractors and Metrics Team.
- **Program Transition.** The Trust expects the winning bidder to work with all preceding and succeeding contractors to accomplish a smooth transition. The transition must be performed in an organized and efficient manner with a minimum of disruption to customers, vendors, trade allies, contractors, and other energy-efficiency service partners.
- **Safety.** The contractor will be responsible for adhering to safety protocols and ensuring that all necessary safety gear is used for site visits conducted by its staff and subcontractors as part of implementing the program.

4.2 Efficiency Maine Trust Responsibilities

The Trust, through its designated Program Manager for this contract, will oversee and manage all work undertaken by the winning bidder, including but not limited to:

- Providing project oversight and management;
- Reviewing, commenting on and approving all deliverables as requested or required;
- Reviewing and approving, or rejecting, invoices;
- Providing guidance and direction regarding program implementation, initiatives and strategies;
- Reviewing program data and contractor maintained tracking systems; and
- Making available relevant work products and data that are the property of the Trust.

SECTION 5 - PROPOSAL REQUIREMENTS

5.1 Project Organization and Staffing Requirements

Proposals that include teaming arrangements must designate one party as the lead bidder. Personnel who are proposed shall be the actual contract performers. Bidders may not substitute personnel without prior written approval of the Trust.

5.2 Submittal Requirements

Proposals must be delivered to the Trust by the due date and time specified in Section 1.3 of this RFP to the attention of the designated Contact Person specified in section 1.2. Proposals must be delivered in an envelope or package visibly labeled, **“Response to RFP EM-005-2016 – C&I Prescriptive, New Construction & Small Business Incentive Program Delivery.”**

The proposal submission must include:

- One (1) signed original document that is unbound and includes all sections, forms and appendices;
- Five (5) *bound* hard copies of the entire original, and
- One (1) electronic copy on CD-ROM of the complete proposal; files on the CD-ROM must be provided in Microsoft Office and/or PDF format and a copy of Attachment C must be provided in Microsoft Excel format.

The Trust reserves the right to reject any proposal that does not meet these requirements.

5.3 Format Requirements

Proposals will be evaluated for adherence to the following format requirements:

- Proposals must be typewritten, using a standard font (11 or 12 point).
- Each page must state the page number, the name of the bidder, and the RFP number.
- Each page must have one-inch margins.
- Unnecessary attachments (i.e., any attachments beyond those sufficient to present a complete, comprehensive, and effective proposal) will not influence the evaluation of the proposal.
- Proposals must adhere to prescribed page limits specified in Section 5.4. Please note that each printed side counts as one (1) page.

The Trust reserves the right to reject any proposal that does not meet these requirements.

5.4 Content and Organization Requirements

The proposal must include the following contents, which should be presented in the following order:

1. Proposal Cover Sheet Form

- Include a completed, signed Proposal Cover Sheet Form, which is provided in Attachment A.
- If the proposal involves any subcontractors, provide a completed Team Commitment page.

2. Letter of Transmittal / Letters of Commitment

- Include a brief Letter of Transmittal, on company letterhead, signed by an appropriate officer of the lead bidder who can bind the company to a contract.
- If the proposal involves any subcontractors, include a letter of commitment from each subcontractor, signed by an appropriate officer of the subcontractor who can bind the company to a contract.

3. Table of Contents

4. Introduction (6 pages maximum)

- Summarize understanding of the services requested in the RFP and proposed approach to fulfilling the requirements of this RFP.
- Briefly describe the proposed project team and qualifications.

5. Statement of Work (40 pages maximum)

- **Overview:** Provide an overview of the proposed approach. Describe how the project is to be implemented to fulfill the objectives of the program, as specified by the Trust, and the requirements of the Scope of Work (Section 3).
- **Task-by-Task Program Implementation Plan:** Specify the proposed Program Implementation Plan for accomplishing each individual task specified in the Scope of Work. Each task-specific plan should outline the approach to the task and specify the relevant methods and deliverables.
- **Schedule and Deliverables:** Provide a chart or outline detailing the proposed schedule for the program, including proposed timelines for each task and associated deliverables or reports.

6. Staffing, Management and Qualifications (15 pages maximum)

- **Overview:** Briefly describe the overall staffing plan and management approach to the program, including coordination with subcontractors where applicable.
- **Organizational chart:** Provide an organizational chart of the proposed team for the program. The chart should identify key team members, their project roles, and illustrate relationships between the individual staff and the organizations (the Trust, the contractor and any subcontractors) and clearly indicate the primary point of contact for the Trust.
- **Individual qualifications:** For each staff member that is bid on the project, please provide a brief narrative that includes a description of the individual's role on this project and a summary of his or her relevant skills, qualifications, experience and expertise, including previous program evaluation projects completed. (Resumes must be included in a separate appendix.)
- **Corporate qualifications:** Describe the corporate qualifications of the lead bidder, including brief descriptions of past experience on contracts of similar scope and size; provide a client name and contract value for each and describe how the work is relevant to the current RFP. Provide the same information for each subcontractor.
- **Financial capability:** Disclose and provide details regarding any bankruptcy petition (whether voluntary or involuntary), receivership, insolvency event, or similar adverse financial circumstance suffered or incurred by bidder (or any predecessor entity) within the three years preceding the date of submission of this proposal. Disclose and provide details regarding any litigation, arbitration, or administrative proceedings involving bidder within the three years preceding the date of submission of this proposal in which the amount claimed or adjudged against bidder exceeded \$50,000. Upon request, in order to provide the Trust with the ability to judge the bidder's financial capacity and capabilities to undertake and successfully complete the contract, the bidder may be required to submit two years of certified financial statements that include a balance sheet, income statement and statement of cash flow, and all applicable notes for the most recent calendar year or

the bidder's most recent fiscal year. If certified financial statements are not available, the bidder should provide either a reviewed or compiled statement from an independent accountant setting forth the same information required for the certified financial statements, together with a certification from the Chief Executive Officer or the Chief Financial Officer, that the financial statements and other information included in the statements fairly present in all material respects the financial condition, results of operations and cash flows of the bidder as of, and for, the periods presented in the statements. In addition, the bidder may be required to submit a bank reference. The bidder may clearly mark financial documents submitted in connection with the proposal as "Confidential Financial Information."

7. Budget/Cost Proposal (5 pages maximum)

- **Cost Information:** Provide a Time-and-Materials with a Not-to-Exceed bid for delivering the program, including separate rates by program year (July 1 – June 30). The bid should reflect an understanding that under the resulting contract agreement the winning bidder will be bound by the labor rates and not-to-exceed level specified in the contract.
- **Narrative:** Provide a brief narrative explanation of the project budget/cost proposal, including the total price, price for each task, and any relevant assumptions.
- **Cost Form:** Provide a completed Project Proposal Cost Form (Attachment C) detailing the breakout of costs, including: labor hours, hourly rates and costs for all personnel, including any subcontractors; other direct costs; and total costs. All related expenses must be included and itemized on this form; any costs not included on this form will be disallowed.
- **Transition Budget Form.** Provide a completed budget form (Attachment C - Transition Budget tab) for the period from contract execution through June 30, 2013, detailing the breakout of costs, including labor hours, hourly rates, and costs for all personnel, including any subcontractors; other direct costs; and total costs. All related expenses must be included and itemized. Any costs not included in the proposal will be disallowed. Provide a narrative explanation/justification of all proposed program related expenses costs.

8. Appendices

- **Appendix A – References:** Provide a list of references for the lead bidder and any subcontractors included in the bid. At least three (3) references must be provided for each organization included in the bid. For each reference, please provide current contact information (name, company, telephone number, and email address) and a brief description of the work conducted for the reference and its relevance to the current RFP.
- **Appendix B – Resumes:** Provide resumes of key project team members in an Appendix. Key project team members identified in the proposal must be dedicated to the proposed project at the level proposed. Any substitutions of key project team members must be approved by the Trust.
- **Appendix C – Evaluations and Reports:** Provide examples of independent program evaluation reports or other relevant reports, published within the past 5 years, of programs (or services) delivered by the lead bidder that are similar in nature to the program (or services) requested in this RFP. Please provide URLs where the relevant evaluation reports

may be accessed on-line; where on-line access is not possible, please provide electronic copies of the reports on the CD-ROM that is required as part of the proposal submission (Section 5.2). In Appendix C, provide a list of the submitted reports that includes the report title, author/independent evaluator, publication date, and URL (or filename if provided on CD-ROM) for accessing the report.

SECTION 6 - PROPOSAL EVALUATION AND AWARD

Proposals that are received by the submission deadline and that meet the requirements established in the RFP will be reviewed and evaluated by a proposal review team. The Trust reserves the right to decide whether a proposal is or is not acceptable in terms of meeting the requirements of this RFP and to accept or reject any or all proposals received.

In evaluating proposals, the Trust reserves the right to take any of the following steps, with respect to either all of the proposals received or to a subset of proposals selected as superior to the others: (1) consult with prior clients on the performance of the bidder or of particular persons proposed for this bid; (2) schedule presentations or interviews with representatives of the bidder or persons proposed for the project; (3) conduct a review of past performance, including a review of reports, analyses, or other materials that would reflect the bidder's performance; and (4) request additional data or supporting material.

6.1 Evaluation Criteria

In evaluating proposals submitted in response to this RFP, the proposal review team will use the following criteria, which are described in subsequent paragraphs:

Scoring Category	Maximum Points Available
1. Statement of Work	30
2. Staffing, Management and Qualifications	30
3. Project Cost/Budget	30
4. Overall Quality and Responsiveness	10
Total	100

1. Statement of Work

- Does the Statement of Work present a comprehensive, sound approach for accomplishing the requirements of this RFP?
- Is the Statement of Work thorough, specific and responsive to the requirements and details specified in the RFP?
- Does the proposal demonstrate a clear understanding of the C&I Prescriptive Incentive Program and the Trust's expectations for this specific program?
- Does the Statement of Work reflect best practices in program delivery?

2. Staffing, Management and Qualifications

- Is the proposed project staffing plan clear, well-defined and appropriate to the substance and scope of the services requested by the Trust?
- How qualified are the proposed personnel in terms of skills, expertise and experience relevant to this particular program?
- How qualified are the proposed organizations (lead bidder and subcontractors) in terms of demonstrated experience and capacity to execute this type of program?

3. Project Budget/Cost

- Are appropriate resources being devoted to the individual tasks and sub-tasks?
- How does the total bid compare to other comparable proposals?
- Is the proposed budget consistent with the proposed Statement of Work?

4. Overall Quality and Responsiveness

- What is the overall quality of the proposal submission, including but not limited to: completeness, clarity, attention to detail, adherence to instructions and requirements and lack of errors?
- Does the proposal reflect and respond to the specific attributes of the C&I Prescriptive Incentive Program and the Trust's priorities for the program?

6.2 Contract Award

The Trust will notify all bidders of the contract award decision by email. The anticipated award date is specified in section 1.

The Trust reserves the right to negotiate the final terms and conditions of the contract award with a winning bidder whose proposal is selected by the Trust, and to reject any winning bidder with whom the Trust cannot agree to terms and conditions meeting the Trust's needs, in the Trust's sole judgment.

SECTION 7 - GENERAL CONDITIONS

7.1 RFP Process – Reservation of Rights

The Trust reserves the right to cancel or extend the RFP process at any time. The Trust also reserves the right to reject any and all submissions in response to this RFP and to waive formalities if doing so is in the best interests of the Trust.

7.2 Contract Agreement

A copy of the Efficiency Maine Trust Standard Agreement appropriate to this RFP is provided as **Attachment B – Standard Agreement**. This is the standard document that will complete the agreement for services between the winning bidder and the Trust.

7.3 Billing

Invoices submitted for work performed under the resulting contract shall be sufficiently specific to allow the Trust to evaluate charges billed in light of the tasks required. Each invoice must include a clear breakdown, by task where appropriate, indicating the individual personnel who performed work; the date, nature, and duration of work; and the rate charged.

7.4 Termination of Contract

Termination of the agreement by the Trust is governed by section 7 of the Standard Agreement (see Attachment B).

7.5 Request for Reconsideration

An aggrieved person may request a hearing for reconsideration of a contract award decision by filing a written petition with the Executive Director of the Trust within 14 calendar days of the notification of the contract award. Each petition to reconsider must meet the requirements specified in Efficiency Maine Trust Rule Chapter 1, Contracting Process for Service Providers and Grant Recipients, Section 5(B), which can be found on the Trust's website under Documents and Services:

<http://www. efficiencymaine.com/docs/Chapter-1-Contracting-Process-for-Service-Providers-and-Grant-Recipients.pdf>