



**EFFICIENCY MAINE TRUST
REQUEST FOR PROPOSALS FOR
Commercial and Industrial Custom Program Support Services**

RFP EM-008-2016

Date Issued: April 13, 2016

Closing Date: May 13, 2016 2:00pm local time

TABLE OF CONTENTS

SECTION 1 – RFP INFORMATION AND INSTRUCTIONS.....3
SECTION 2 – BACKGROUND INFORMATION.....5
SECTION 3 – SCOPE OF WORK.....8
SECTION 4 – GENERAL RESPONSIBILITIES AND REQUIREMENTS14
SECTION 5 – PROPOSAL REQUIREMENTS.....15
SECTION 6 – PROPOSAL EVALUATION AND AWARD18
SECTION 7 – GENERAL CONDITIONS20

Separate attachments:

- Attachment A – Proposal Cover Sheet Form
- Attachment B – Standard Agreement
- Attachment C – Project Proposal Cost Form
- Attachment D – Understanding effRT Database Project Workflow

SECTION 1 – RFP INFORMATION AND INSTRUCTIONS

1.1 Title and Purpose

RFP EM-008-2016 – Commercial and Industrial Custom Program Support Services

The Efficiency Maine Trust (the Trust) seeks a qualified bidder or team of bidders to provide support services for the Commercial and Industrial (C&I) Custom Program.

1.2 Designated Contact Person for this RFP

Ian Burnes, Strategic Initiatives Team Leader
 Efficiency Maine Trust
 168 Capitol Street, Suite 1
 Augusta, ME 04330-6856
 Phone: (207) 213- 4149
 Email: ian.burnes@efficiencymaine.com

1.3 Schedule of Activities

Event	Date/Deadline
RFP Issued	April 13, 2016
Question Period Closes	April 29, 2016
Responses to Questions Posted	May 4, 2016
Proposals Due at Efficiency Maine Trust Office	May 15, 2016 at 2:00 PM
Anticipated Award Date	May 23, 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-008-2016 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.

1.8 Anticipated Contract Budget

The estimated annual budget for the C&I Custom 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 \$900,000 to \$1.4 million. The contract will be Time and Materials with a Not-to-Exceed maximum.

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

SECTION 2 – BACKGROUND INFORMATION

2.1 Efficiency Maine Trust

The Trust is the independent 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 C&I Custom Program Background and Context

The proposed Triennial Plan III (section 5.1, <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 Custom Program is designed to overcome the barriers confronting Maine’s businesses and institutions from making investments in complex, uncommon or novel energy efficiency and distributed generation projects. C&I customers comprise all non-residential customers, including municipal and institutional customers. The C&I Custom Program will promote energy efficiency projects, in both the commercial buildings and industrial facilities, involving site-specific applications that require customized engineering analysis and/or projects contemplating energy conservation measures that are not covered in the C&I Prescriptive Program offerings.

In the second Triennial Plan period the C&I Custom Program was offered through two different delivery channels at the Trust. Custom projects that qualified for incentives of less than \$100,000 were offered through the prescriptive delivery team and custom projects that qualified for incentives of more than \$100,000 were offered through the Large Customer Program team. The proposed Triennial Plan III combines all custom programs under one delivery team. The following table summarizes the activity of both programs over the last three years.

Year	Annual kWh	# of Projects	Incentives	Participant Cost
FY 2013	33,454,416	86	\$3,401,436	\$6,086,506
FY 2014	14,389,182	43	\$2,338,019	\$3,520,556
FY 2015	32,776,473	47	\$2,705,302	\$3,437,710

In general the custom program delivery team works directly with customers, in close cooperation 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. They are approved as QPs by the delivery team for the C&I Prescriptive Program. 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.

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

The following table includes the proposed program budgets and performance metrics for the C&I Custom Program from Triennial Plan III, as submitted to the Public Utilities Commission. The plan is still under review and is subject to regulatory approval.

FY	Electric Budget	Natural Gas Budget	All Fuels Budget (RGGI)	Total Budget	MWh Savings	MW Savings	Cost per kWh	MMBtu Savings	Cost per MMBtu	Lifetime Benefit	B:C Ratio
2017	\$5,675,930	\$95,516	\$3,730,462	\$9,501,907	59,611	9.5	\$0.10	76,747	\$49.85	\$32,589,222	2.28
2018	\$6,249,605	\$102,521	\$4,040,837	\$10,392,962	70,460	11.1	\$0.09	83,073	\$49.88	\$33,659,866	2.17
2019	\$7,219,254	\$113,983	\$4,771,412	\$12,104,648	82,950	12.7	\$0.09	97,594	\$50.06	\$36,496,842	2.02

2.4 Program Tracking

All C&I Custom Program participants must be tracked through the Efficiency Maine Reporting & Tracking System (effRT) database. The delivery team 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 (e.g., Qualified Partners) to expedite the processing of incentives, significantly reducing paperwork.

The Trust also requires the delivery team to provide a pipeline report for projects under consideration. Currently this report is maintained through an online task tracking system that allows the delivery team to track projects that have not completed the application process. The goal of the pipeline report is to allow the Trust to gauge customer demand for the program.

2.5 Additional Sources of Information

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

TITLE	LOCATION (link)
Efficiency Maine Trust website	http://efficiencymaine.com
Large Customer Program website	http://www.efficiencymaine.com/at-work/competitive-program/
Efficiency Maine Trust 2015 Annual Report	http://www.efficiencymaine.com/docs/2015-Efficiency-Maine-Annual-Report.pdf
Efficiency Maine Trust – Triennial	http://emtplan.com/wp-content/uploads/2015/05/FY17-19-

TITLE	LOCATION (link)
Plan (proposed)	PLAN-APPENDICES-FINAL.pdf
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
Program Opportunity Notice For Greenhouse Gas (Co2e) Reduction Projects	http://www.energymaine.com/docs/PON-EM-002-2016-V2.pdf
Program Opportunity Notice Efficiency Maine Trust Incentive Program For Large Electrical Efficiency And Distributed Generation Projects	http://www.energymaine.com/docs/PON-EM-001-2016-V3.pdf
Efficiency Maine Trust Commercial Technical Resource Manual	http://www.energymaine.com/docs/EMT-TRM_Commercial_v2016_1.pdf

SECTION 3 – SCOPE OF WORK

3.1 Overview and Objectives

The Trust seeks a qualified bidder or team of bidders to provide to deliver a C&I Custom Program that will overcome the barriers confronting Maine’s businesses and institutions from making investments in complex, uncommon or novel energy efficiency and distributed generation projects.

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 delivery team, in consultation with the Trust, will conduct a kickoff meeting and 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 delivery team and the current delivery team.
- **Task 2: Custom Program Implementation Plan**
 - The delivery team will work closely with the Trust to develop and implement a delivery strategy that will capture all cost effective custom energy efficiency and distributed generation opportunities in the C&I sector.

3.3 Proposal Task Descriptions

The bidders are expected to propose how they will perform the following tasks:

Task 1: Project Kickoff, Transition Work Plan

The delivery team, 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 delivery team will prepare a 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.

The work plan document must address the smooth transition between program years as well as between delivery teams, if relevant.

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

Task 2: C&I Custom Program Implementation Plan

The contractor(s) will be required to develop detailed C&I Custom 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 described below.

Task 2.1: Program Delivery Strategy

The delivery team work closely with the Trust to develop and implement a delivery strategy that will capture all cost-effective custom energy efficiency and distributed generation opportunities in the C&I sector. The Trust expects prospective delivery teams to build on the Trust's successful model of engaging customers.

Trust has adopted an incremental approach to developing relationships with the largest energy users in the state. The approach is based on building trust through successful projects, rather than through expensive comprehensive energy planning. The overarching concept, which is described in its component pieces below, is that the Trust through its delivery team initiates contact with new customers with the goal of completing a project that will fit within the customer's budgeting process. As the delivery team guides the customer through the Trust's incentive process, it identifies additional projects to build off prior energy efficiency or distributed generation upgrades. The Trust has been successful with this approach throughout the second Triennial Plan period and its intention is to broaden it in the third Triennial Plan period.

Bidders should indicate their understanding of this approach and demonstrate how it might be broadened and expanded. In addition they should identify strategies for working with customers that have a lack of in-house capacity.

Task 2.2: Project Development and Outreach

The Trust has used Scoping Audits and Technical Assistance studies as the primary tools to identify and develop projects.

Scoping Audits:

The first contact with customer is often a scoping audit. The Trust offers walk-through scoping audits to customers that have an energy profile that would likely support a custom project. The goal of these audits is not to offer a comprehensive report on the energy saving potential of any given facility, but to strike up a relationship with the customer and identify a project to implement. The delivery team should ensure that the customer is committed to supporting the audit by supplying historic energy data and staff-time to accompany the representative from the delivery team. The Trust expects the delivery team to issue a report to the customer upon completion and to follow up with the customer in an effort to prompt action.

The current Large Customer Program has targeted 400 kW customers and above for scoping audits. Starting July 2016, the Trust plans to broaden its focus to include smaller customers in the C&I Custom Program. In their proposals prospective delivery teams should offer suggestions on how they would broaden program participation of smaller customer into the program including way of identifying facilities that would likely support a custom project.

Technical Assistance Incentives:

Technical Assistance Studies (TAs) have been useful tools to help customers complete the analysis required for a Custom Incentive Application. The current incentive for TAs is 50% of the study cost up to \$20,000. While it is not required that customers complete a TA before receiving an incentive, it is a useful tool for both the delivery team and any Qualified Partner. These studies are a concrete follow-up action to a scoping audit (where a project is identified but there is either not enough information or capacity to commit funding). In these cases an expert of the customer's choosing completes the engineering review to a point where the Trust and the customer understand the costs and savings of the project.

The delivery team will screen TA applications to ensure that proposal meets the criteria established by the Trust¹ and will make a recommendation to the Trust as to whether or not to approve the incentive. With the Trust's approval the delivery team will notify the TA provider and communicate with the TA provider throughout the study to ensure that the deliverables are met. The delivery team will then follow up with the customer to ensure that the study meets their needs and seek approval to proceed with the project.

The delivery team is also expected to educate vendors, engineering firms, and other relevant private sector companies on how to use the TA incentive to sell their products and services.

To the extent that bidders can offer improvements on this offering to cost effectively identify and develop projects they should address those points in their proposal. In

¹ TA Application: <http://www.energymaine.com/docs/Request-for-Technical-Assistance.pdf>

particular, the Trust is interested in strategies to expand program offerings to smaller projects and companies.

Task 2.3: Project Reviews

Custom Incentive Applications can come to the Trust from multiple channels. Trust representatives from the delivery team or Trust staff may reach out and work directly with a customer; Qualified Partners may work directly with customers; or customers may approach the Trust directly. The delivery team must be ready to support and cultivate each channel. All project applications must undergo the same level of rigor as specified in the Technical Reference Manual (TRM).² For all projects the delivery team must work with prospective customers and/or QPs to get the information necessary to calculate the cost and savings of each project and document the findings and calculations within effRT so that independent third-party evaluators can recreate their work. All of this documentation will be included in a technical review summary that will include the following sections:

- Brief Project Description
- Description of the values submitted by the customer or QP
 - Project cost and requested incentive
 - Baseline conditions and energy savings
- Technical review findings
 - Validated measure cost
 - Validated energy savings
 - Benefit to cost ratio
 - Assessment of management and resource readiness
- Basis for recommended incentive award.

Once the delivery team has determined projects are eligible for an incentive the type of approval process is based on the size of the incentive. For projects requesting incentives of less than \$200,000 the delivery team will need the approval of Trust staff before notifying the customer. For projects that qualify for incentives greater than \$200,000, the delivery team will support the Trust as it seeks approval from the Trust's Review Committee for large projects. For more on this process see section 2.4.

Bidders should outline their experience analyzing complex site-specific energy efficiency and distributed generation projects. Bidders should explain how they intend to ensure that their review and work product meets the highest levels of quality assurance.

Task 2.4: Incentive Processing

The C&I Custom Program includes two tiers of incentives: incentives over \$200,000 and incentives under \$200,000. For incentives under \$200,000 the delivery team will track the project in effRT and pay the customer directly once the project has been confirmed complete. For additional information regarding the database workflow, see Attachment D – "Understanding effRT Database Project Workflow". Additionally the delivery team is responsible for ensuring that all required IRS reporting requirements and State of Maine unclaimed property reporting is properly adhered to and administered (e.g., issuing

² http://www.energymaine.com/docs/EMT-TRM_Commercial_v2016_1.pdf

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.

Bidders should explain their processes to issue incentives accurately and in a timely manner. Include the approach to handling any tax reporting (1099s) and unclaimed/lost incentive checks.

For projects over \$200,000 the Trust will contract directly with the customer. The Trust currently maintains a standing Program Opportunity Notice (PON) for both electrical reduction projects³ and greenhouse gas reduction projects⁴. The delivery team will support the Trust in evaluating and administering the process for these large projects.

The delivery team supports the customer in developing their applications to the PON. For example, the delivery team will work with customers through the Scoping Audit and Technical Assistance process to ensure that all applicants understand the PON process and have provided sufficient project information to make a recommendation to the Review Committee. This recommendation includes a basic description of the project with a thorough description of the baseline and efficient alternative, a clear description of the energy savings, a Total Resource Cost (TRC) test score, and an analysis of the simple payback from the customer's perspective with and without incentive. The delivery team must make the review summaries complete, concise, and understandable to the Review Committee members.

Once the Review Committee awards a set of projects, the Trust will contract directly with the customers with support from the delivery team. For example, the delivery team will draft the contract for the Trust, ensuring that the project is accurately described in the scope of work and the terms of the payment are correct.

After the project is under contract, the delivery team will be the primary point of contact with the customer during the construction phase. The Trust allows for multiple project milestone payments on projects that request them. The delivery team will review all invoices and prepare a milestone review summary that recommends payment (or not).

Bidders should demonstrate their ability to clearly and concisely summarize complex projects and manage complex projects. In addition bidders must work cooperatively with the Trust to track and make payments.

Task 2.5: Marketing and Communications

The Trust has issued a separate Request for Qualifications (RFQ) for communications support, including marketing and design services. A combination of Trust staff and services contracted through the Communications RFQ will be used to provide marketing and outreach for the C&I Custom Program (including managing the website, a call center, paid media and earned media, and printed and other audio-visual materials used to reach potential customers). That said, the Trust recognizes that elements marketing

³ <http://www.energymaine.com/opportunities/program-opportunity-notice/>

⁴ <http://www.energymaine.com/at-work/competitive-program/ghg-program-opportunity-notice/>

are integral to the performance of the Field Support and In-bound Customer Support tasks. The Trust also expects there will be situations where the C&I Custom Program delivery team would be well-positioned to advance the program objectives by providing supplemental marketing services. Accordingly, the Trust welcomes the marketing qualifications and rates of bidders in case such support is needed.

Bidders should describe their 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 2.6: Qualified Partner

The delivery team for the C&I Prescriptive Program will support and maintain the certifications and listings for the Qualified Partner network. The C&I Custom Program delivery team will need to coordinate with the C&I Prescriptive Program delivery team as it reaches out to the Qualified Partner network to identify and develop custom projects.

Bidders should describe their experience working with private sector vendors and contractors to identify and develop custom projects and offer ideas on how they intend on working with the Qualified Partner network to increase participation in the C&I Custom Program (especially small custom projects).

Task 2.7: Customer Service

The Trust maintains high expectations for customer service and exacting technical standards. The Trust expects the C&I Custom Program delivery team to explain and enforce the rigorous standards of the program while maintaining customer service and satisfaction.

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

Task 2.8: Budget Management and Program Data Tracking

The Trust expects the delivery team to maintain timely, complete, and accurate records of all projects in effRT. The delivery team will expand on this information to provide forecasts of future program activity and the budget impacts of that activity. For example, the delivery team must provide easily accessible information that allows the Trust to track projects that have not yet initiated but are expected to seek incentives. In addition the Trust will look to the delivery team to provide a forecast of projects that are near completion and will be seeking payment.

Bidders should demonstrate their ability to accurately track on-going projects and show how they will do the same for this program. In addition, the Trust is looking for examples of how teams have managed forecasts of program activity for similar programs in other jurisdictions.

Task 2.8: Ongoing Evaluation, Measurement and Verification

The Trust is required to conduct third party evaluations of all of its major programs

including the Custom Program. It will be wrapping up a process and impact evaluation of the Program in FY 16. The next Triennial plan identifies the goal of conducting more real-time evaluations of programs. The DT is expected to support and cooperated with third party evaluators of the program.

Task 2 Deliverables: Custom Program Implementation Plan

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 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.
- **Research and Evaluation.** The winning bidder will be required to provide 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 providing all necessary safety gear for site visits conducted as part of 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;
- 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-008-2016 – Commercial and Industrial Custom Program Support Services.**”

The proposal submission must include:

- One (1) signed original document that is unbound and includes all sections, forms and appendices;
- Four (4) *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 (2 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 (15 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 (20 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."

1. Budget/Cost Proposal (4 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) and should not include incentives for either TAs or projects. 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.

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	40
2. Staffing, Management and Qualifications	30
3. Project Cost/Budget	20
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 Custom 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 Custom 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>