



EFFICIENCY MAINE TRUST

**REQUEST FOR PROPOSALS
INTEGRATED THERMOSTAT PILOT
RFP EM-004-2021**

**Opening: July 23, 2020
Closing: September 18, 2020**

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Section 1: RFP INFORMATION AND INSTRUCTIONS

1.1 Purpose of This Request

Through this Request for Proposals (RFP), the Efficiency Maine Trust (the Trust) is seeking a qualified bidder or team of bidders to design, implement, and report on an integrated thermostat pilot within the state of Maine. The goal of the project is to test whether heat pump usage can be increased, and overall heating cost decreased, by controlling both a heat pump and a central system with one integrated control. This project will be funded through the Trust's Innovation Program.

The Trust will refer to this request as the Integrated Thermostat Pilot RFP.

1.2 Designated Contact Person for this RFP

The Trust encourages any bidder who has interest in or questions around this RFP to contact the Trust. The Trust's sole designated contact for this RFP is as follows:

Dan Mistro, Research and Data Analyst

Efficiency Maine Trust
168 Capitol Street, Suite 1
Augusta, ME 04330-6856
dan.mistro@efficiencymaine.com
207-213-4152

1.3 Schedule of Activities

Event	Date/Deadline
RFP Issued	July 23, 2020
Question Period Closes	August 21, 2020
Responses to Questions Posted	August 28, 2020
Proposals Due Electronically to the Trust's designated contact	September 18, 2020
Anticipated Award Date	September 28, 2020

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.energymaine.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-004-2021 Questions." Responses to questions will be posted on the Trust's website.

1.5 Proposal Submittal Deadline

Proposals must be submitted by email to the Designated Contact Person listed in section 1.2 prior to 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 unless requested by the Trust. Each bidder is responsible for ensuring the 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 October 2020 through September 2022 to account for delays that may occur due to Covid 19. The Trust anticipates that two winter's worth of data will be sufficient for this project.

1.8 Anticipated Contract Budget

The bidder must supply an itemized budget with hourly rates and not-to-exceed costs for management and labor. Anticipated equipment cost is not required the bid, as the bidder will work with the Trust to determine the required equipment after award. The Trust anticipates allocating all funds towards a single award.

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 awardee 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 process 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-GrantRecipients.pdf>

Section 2: BACKGROUND INFORMATION

2.1 Efficiency Maine Trust

The Trust is the independent administrator for programs to improve the efficiency of energy use and reduce greenhouse gases in Maine. The Trust does this primarily by delivering incentives on the purchase of high-efficiency equipment or changes to operations that help customers save electricity, natural gas and other fuels throughout the Maine economy. The Trust is a quasi-state agency governed by a Board of Trustees with oversight from the Maine Public Utilities Commission.

2.2 Innovation Program Background and Context

The Trust’s Innovation Program provides funding to support pilot projects that demonstrate new types of energy efficiency, conservation, or alternative energy measures or new strategies for using or promoting such measures. The program focuses on measures or strategies that show significant potential to be cost effective and provide energy or greenhouse gas savings but that are not yet well understood or established in the marketplace. The measures piloted may or may not prove to be cost-effective or popular in the Maine marketplace. Part of the purpose of the Innovation Program is to use smaller pilot projects to generate findings of cost-effectiveness and market demand before making larger investments on incentives and program delivery.

2.3 Additional Sources of Information

The following are links to additional information that may be helpful in preparing a response to this RFP:

Title	Link
Efficiency Maine Trust Website	https://www.energymaine.com/
FY 2019 Efficiency Maine Trust Annual Report	https://www.energymaine.com/docs/FY19-Annual-Report_final.pdf
Efficiency Maine Residential Heat Pump Program Rebate and Eligibility	https://www.energymaine.com/at-home/ductless-heat-pumps/

Section 3: SCOPE OF WORK

3.1 Overview and Objectives

In June 2019, Governor Janet Mills signed Maine L.D. 1766 - *An Act To Transform Maine’s Heat Pump Market to Advance Economic Security* into law. This legislation outlined a path towards installing 100,000 new high-efficiency heat pumps in Maine over a five-year period. These 100,000 new high-efficiency heat pumps will join over 45,000 others already operating in homes and businesses across the state. Given the expected growth in the technology, the Trust would like to identify methods and configurations that achieve the greatest performance out of a heat pump installation. Heat pumps are one of the most cost-effective ways to heat homes during Maine winters¹, but a recent evaluation² indicated that some users may not be currently optimizing their use of the technology. This pilot project aims to increase heat pump usage in homes by setting up a thermostat to facilitate relying on the heat pump for more heating than they otherwise would, which should lower their overall heating cost when operated in conjunction with an existing central system.

¹ <https://www.energymaine.com/docs/Heating-Cost-Comparison-Chart.pdf>

² <http://www.energymaine.com/docs/HESP-Evaluation-8-23-19.pdf>

3.2 Awardee Expectations

At a minimum, the winning bidder must conduct the following activities:

- Work with the Trust to identify any technology that satisfies the requirements outlined in section 3.3 of this RFP. Ideally, the winning bidder will identify and evaluate multiple configurations of control technology;
- Ensure that the terms of this project are met by all participants;
- Administer rebate incentives to installers participating in the project on behalf of the Trust;
- Meter the electric consumption from heat pumps at homes participating in the project;
- Interview participants of this project on behalf of the Trust; and
- Report all results to the Trust.

3.3 Project Objectives

The bidder will be expected to work with the Trust to design and implement a project that satisfies the following objectives:

- Designate one thermostat to be a sole point of control for a single-zone heat pump and a central boiler in a home. This integrated thermostat must prioritize the heat pump using a droop above the central system and maintain the priority regardless of temperature adjustment at the thermostat. This should be the only control that the homeowners use for either unit;
- Meter the time-of-use electric consumption of the controlled heat pump; and
- Gather customer feedback on their experience with the technology and overall comfort throughout the project.

For a home to be eligible for this project, it must have a single-head heat pump [eligible for our tier II residential rebates](#) and must be used in conjunction with a central boiler or furnace. The heat pump must be sized to heat the controlled zone independently.

3.4 Project Task Descriptions

Task 1: Project Kickoff Meeting

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

Task 1 Deliverable: *Kickoff Meeting materials*

Task 2: Project Implementation Plan

The awardee must develop a detailed Project Implementation Plan that details the specific approach, schedule, and quality assurance plan for each task, sub-task and deliverable required in the proposed project and consistent with the objectives of this RFP.

Task 2 Deliverable: *Project Implementation Plan*

Task 3: Project Management and Reporting

The awardee will manage all aspects of the project, including management of all tasks, oversight of any subcontractors, and submission of all deliverables. Management of the project should be designed to deliver high-quality, on-time, on-budget services to the Trust. As part of this ongoing task, the awardee will, at a minimum:

- Implement formal and informal communication strategies (e.g., status reports) throughout the contract period to maintain effective and timely communication with the Trust;
- Prepare interim memos documenting key findings as they are reached; and
- Prepare comprehensive draft and final reports on the project.

Task 3 Deliverables: *Monthly Project Status Reports; Draft and Final Project Reports; Draft and Final Excel Spreadsheet of the Data Collected*

3.5 Project Deliverables

Specific deliverables will include, but are not limited to, the following:

- Interim reports to the Trust in the form of conference calls, emails, and/or memos;
- Draft and final Project Implementation Plans that outlines the approach used by awardee to implement the project;
- All customer-facing instruments, documents, or protocols to ensure they meet the Trust's standards;
- Monthly Project Status Reports;
- Original data files and final, cleaned project data and analysis files resulting from the project; and
- Draft and final reports summarizing the results of the project.

The awardee must provide Efficiency Maine with electronic copies of all deliverables in Microsoft Office software format or other appropriate format approved by Efficiency Maine.

Upon completion of a project objectives outlined in section 3.3, the bidder is expected to verify the installation meets the criteria of this project and pay out the incentive provided by the Trust. The incentive amount will be determined when the project proposal is finalized.

Section 4: RESPONSIBILITIES AND REQUIREMENTS

4.1 Contractor Responsibilities

Bidders must submit a project design (Implementation Plan) outlining the methods that will be used to comply with this RFP. Bidder is not expected to identify specific technology or configurations that will be used but must submit materials demonstrating ability to identify solutions and administer this project. Bidders must sign a contract with the Trust acknowledging the terms of the project and return the relevant forms outlined in Section 5 of this document before they are eligible for payment. The Trust will work with the bidder after a contract is awarded to establish relationships between the awardee, and heat pump installers to satisfy the terms of this project.

The awardee must commit to completing all tasks within the time frames established in the approved

Project Implementation Plan. Note that the awardee is responsible for determining all equipment used in the project and find participants for the project. In addition, the awardee will be responsible for adhering to the following requirements:

- **Confidentiality.** All customer information is confidential, thus the awardee and any subcontractors will be required to sign a nondisclosure agreement before any customer data 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.
- **Communication and Marketing Coordination.** The awardee will be required to work cooperatively with the Trust's Communications Division and any marketing contractors to ensure project marketing materials and messages conform with style guidelines and to ensure message coordination between various media outlets.
- **Database Management and Coordination.** The awardee will be required to collect and provide accurate data and customer information to the Trust.
- **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 project. This includes extra precautions necessitated by the SARS-COV-2 virus responsible for COVID-19.

4.2 Efficiency Maine Trust Responsibilities

The Trust, through its designated Project Manager for this contract, will oversee the contract requirements and review all work undertaken by the awardee including but not limited to:

- Assistance in developing a final project plan;
- Providing project oversight and management;
- Reviewing, commenting on and approving all deliverables;
- Reviewing and approving, or rejecting, invoices;
- Providing guidance and direction regarding project implementation, initiatives and strategies;
- Reviewing project data; 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 by email with the subject line, "**Response to RFP EM-004-2021 – Integrated Thermostat Administration**"

Services RFP”; files 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.
- Any attachments beyond those sufficient to present a complete, comprehensive, and effective proposal will not be considered the evaluation of the proposal.
- Proposals must adhere to prescribed page limits specified in section 5.4.

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 in the order presented:

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 (8 pages maximum)

- **Overview:** Provide an overview of the proposed approach. Describe how the project will be implemented to fulfill the objectives of the project, as specified by the Trust, and the requirements of the Pilot (Section 3).
- **Task-by-Task Project Implementation Plan:** Provide a proposed Project Implementation Plan for accomplishing each individual task specified in the pilot. Each task-specific description must detail 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 project, including proposed timelines for each task and associated deliverables or reports.

6. Staffing, Management and Qualifications (5 pages maximum)

- **Overview:** Briefly describe the overall staffing plan and management approach to the project, including coordination with subcontractors where applicable.
- **Organizational chart:** Provide an organizational chart of the proposed team for the project. The chart should identify key team members, their project roles, 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 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 with 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 (2 pages maximum)

- **Budget:** Provide either a fixed-price bid or time and materials bid with a not-to-exceed budget for delivering the project.
- **Narrative:** Provide a detailed narrative explanation of the project budget/cost proposal, including the total price, price for each task, incentive structure (if relevant), 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 (including equipment related specifically to the project or incentives required to motivate customers to participate); and total costs. All

related expenses must be included and itemized on this form; any costs not included on this form will be disallowed.

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 in writing.

Section 6: PROPOSAL EVALUATION

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	35
2. Staffing, Management and Qualifications	25
3. Program Cost/Budget	25
4. Overall Quality and Responsiveness	15
Total	100

1. Statement of Work

- Does the Statement of Work present a comprehensive, sound understanding 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 project and the Trust's expectations for the Innovation Program
- Does the Statement of Work reflect best practices in project 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 project?
- How qualified are the proposed organizations (lead bidder and subcontractors) in terms of demonstrated experience and capacity to execute this type of project?

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?
- To what degree do the budget details reflect cost conservation and the likelihood to successfully complete the project as proposed?
- Where appropriate/relevant, does the proposal reflect a reasonable incentive structure to encourage participation in the project?

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 project and the Trust's priorities for the Innovation project?

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

The Trust requests that bidders submit a bid that contains either a fixed-price or a time and materials not-to-exceed billing proposal.

For bids using a time-and-materials/not-to-exceed budget approach, 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.

For bids using a fixed-price approach, the bidder is responsible for outlining specific milestones, payment amounts, and completion criteria to be included in the resulting contract. Disbursements will be made only once all specified completion criteria have been met.

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>

7.6 Confidentiality

The Trust discourages bidders from submitting information they consider to be confidential. Bidders should be aware that information provided to the Trust is subject to the Maine Freedom of Access Act (FOAA), 1 M.R.S. §§ 401 et seq., unless there is a specific confidentiality exemption in the Efficiency Maine Trust Act, 35-A M.R.S. §10106. Unless there has been an express request by a bidder that certain information within the statutory exemption be designated confidential **and** the Trust's Board has made an express determination of confidentiality under the Efficiency Maine Trust Act, all information submitted in response to this RFP will be considered public records available for public inspection pursuant to the Maine FOAA following announcement of an award decision.