

Clean Transportation Prize Program Implementation Plan

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New York State Energy Research and Development Authority

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Case 18-E-0138

Pursuant to New York Public Service Commission Order
Establishing Electric Vehicle Infrastructure Make-Ready Program and
Other Programs

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1.0 INTRODUCTION

The New York State Energy Research and Development Authority submits this Implementation Plan (the “Plan”) to the Department of Public Service (DPS) for approval as directed by the New York Public Service Commission’s (Commission) Order Establishing Electric Vehicle Infrastructure Make-Ready Program and Other Programs, issued July 16, 2020 (the “Make-Ready Order”) in Case 18-E-0138, *Proceeding on Motion of the Commission Regarding Electric Vehicle Supply Equipment and Infrastructure*. The Plan, created in collaboration with DPS and Department of Environmental Conservation (DEC) staff, sets forth the program goals and implementation strategies for the Clean Transportation Prize Program (the “Program”) called for in that Order. The State team would like to thank the environmental justice and disadvantaged community organizations and the prize and transportation experts who gave their time to inform this document.

The Program is organized into three prizes that will be administered simultaneously: (1) Environmental Justice Disadvantaged Community Transformation Prize (*working title*); (2) Clean Personal Mobility Prize (*working title*); and, (3) Clean Medium- and Heavy-Duty Vehicle Innovation Prize (*working title*). The Plan seeks to allocate \$85 million in funding for the operation and awarding of grants through these prizes.

1.1 Background

On April 24, 2018, the Commission commenced this proceeding to identify cost-effective approaches for electric utilities to support the infrastructure and equipment necessary to accommodate increased electricity demands associated with the deployment of Electric Vehicles (EVs).¹ The EV Instituting Order recognized that EVs provide various potential benefits for the State of New York (hereafter, New York State, State, or New York) and that ensuring adequate EV supply equipment and infrastructure (EV Infrastructure) is critical to securing these benefits and achieving the State’s environmental and clean energy goals. As the Commission noted at that time, electrification of the State’s transportation sector is needed to meet the “[New York] State Energy Plan (SEP) targets of reducing greenhouse gas emissions 40 percent below 1990 levels by 2030, and 80 percent below 1990 levels by 2050.”²

Since then, the State enacted the Climate Leadership and Community Protection Act (the CLCPA), which codified the 2030 target and increased the 2050 objective by establishing a State goal to “reduce greenhouse gas (GHG) emissions from all anthropogenic sources 100 [percent] over 1990 levels by the year 2050, with an incremental target of at least a 40 percent reduction in climate pollution by the year 2030.”³ The CLCPA also directed the Commission to establish a renewable energy program whereby jurisdictional load serving entities (LSEs) have secured adequate amounts of renewable energy resources to serve at least 70% of load in 2030 and that there are zero emissions in 2040 associated with electrical demand, which the Commission is considering in Case 15-E-0302. In addition, the CLCPA calls for a newly formed Climate Action Council to make recommendations on a wide range of climate policies the State can adopt to achieve its GHG reduction goals, including policies to promote the beneficial electrification

¹ Case 18-E-0138, Order Instituting Proceeding (issued April 24, 2018) (EV Instituting Order).

² EV Instituting Order, p. 1; see also, The Energy to Lead: New York State Energy Plan Vol. I, p. 30.

³ Chapter 106 of the Laws of 2019. See also, the Climate Act Fact Sheet, available at: <https://climate.ny.gov/-/media/CLCPA/Files/CLCPA-Fact-Sheet.pdf>.

of the transportation sector.⁴ This implementation plan lays out a program that will identify and fund competitively selected projects that provide examples of how clean transportation options can be deployed practically and at scale, resulting in significant, measurable GHG emission reductions.

The Commission's Make-Ready Order on July 16, 2020 authorized \$701 million in rate payer funding, including \$206 million dedicated to disadvantaged communities, funding enough electric vehicle charging infrastructure to support New York's commitment⁵ for 850,000 zero emissions vehicles by 2025. New York's transportation sector is responsible for more of the State's greenhouse gas emissions than any other sector.⁶ Achieving the State's greenhouse gas reduction goals and help reduce other harmful types of local air pollution that are associated with severe negative health impacts, including nitrogen oxides, hydrocarbons, carbon monoxide, and particulate matter emissions. By reducing the use of diesel and gasoline fuels in vehicles now, New York State can significantly improve air quality. As the mix of energy generation grows cleaner per recent State mandates, the environmental benefits of an electrified transportation sector will grow. A benefit-cost analysis (BCA) performed by Energy & Environmental Economics, ICF, and MJ Bradley & Associates,⁷ which estimated that EV ownership in New York at the levels targeted in the ZEV MOU will produce net benefits in excess of \$2.6 billion for New York alone.

One specific aspect of the Order directs NYSERDA to establish a prize program, consisting of three prizes competitions, as a method of making progress on important aspects of vehicle electrification in New York. The three primary prizes will each focus on a specific aspect of electrification and mobility and will each contribute to advancing clean transportation specifically in areas where the State needs to see better solutions and a clearer path to delivering benefits. These three areas are: novel approaches to vehicle electrification to deliver benefits in environmental justice communities; novel approaches to expanding access to electrified modes to deliver needed personal mobility solutions to disadvantaged communities; and novel approaches that can expand vehicle electrification for medium- and heavy-duty vehicles. The Order authorized \$85 million in funding for the operation and awarding of grants through these three prizes.

Prize approaches are especially suitable when there is a clear unaddressed need that poses a problem that is ripe for novel solutions, and when there is a broad pool of potential solution providers, including entities that might not ordinarily engage on the problem. In this case, the Order seeks a prize design that enables participation from communities across New York in order to make the solutions right for the local need, as well as from more entities more versed in the practices of transportation electrification.

⁴ The Climate Action Council is a 22-member committee that will prepare a Scoping Plan, oversee sector-specific advisory panels and working groups, and work in consultation with the Climate Justice Working Group and the Environmental Justice Advisory Group.

⁵ State Zero-Emission Vehicle Programs, Memorandum of Understanding available at: dec.ny.gov/docs/air_pdf/zevmou.pdf.

⁶ See New York State Department of Conservation, Reducing Greenhouse Gas Emissions: Limiting Future Impacts of Climate Change. Available at: <https://www.dec.ny.gov/energy/99223.html>.

⁷ Benefit-Cost Analysis of Electric Vehicle Deployment in New York State, prepared for NYSERDA by Energy & Environmental Economics, ICF, and MJ Bradley & Associates (February 2019 EV BCA), (February 2019). Available at: <https://www.nyserda.ny.gov/>.

1.1.1 Disadvantaged Community Definition

Solutions for members of New York's disadvantaged communities are a key dimension of these prizes. Ensuring that these New Yorkers benefit from these prizes and ensuring that prize proposers and awardees can direct these benefits requires clarity about who these New Yorkers are. This prize program adopts the definition of disadvantaged community being developed in the Climate Action Council process. The implementation of the prize program will ensure that this definition is clearly and usefully conveyed to proposers and awardees.

The CLPCA directs the Climate Action Council's Climate Justice Working Group to establish criteria for defining disadvantaged communities; however, until the criteria are established, New York State has identified interim criteria for disadvantaged communities, which includes communities:

1. Located within census block groups that meet the HUD 50% AMI threshold (see below), that are also located within the DEC [Potential Environmental Justice Areas](#); or
2. Located within New York State [Opportunity Zones](#).

HUD 50% Threshold: Top quartile of census block groups in New York, ranked by the percentage of LMI Households in each census block. LMI Households are defined as households with annual incomes at or below 50% of the AMI of the County or Metro area where the Census Block Group resides.

NYSDA has provided an [interactive map](#) that identifies areas throughout the State that meet the interim criteria specified above.

Should this definition evolve, the prize implementation will reflect this. This is in accordance with the Make-Ready Order⁸, which provides that if the Working Group and Environmental Justice Advisory Group establish a definition of disadvantaged communities that differs from that adopted by the Make-Ready Order, then the Program shall be modified and updated to adopt the CLCPA established definition going forward.

1.2 Prize Program Vision and Goals

As set out by the Commission in its Order, the vision for these prizes is to:

- Advance clean transportation in these identified areas, where the State needs to see better solutions and a clearer path to delivering benefits;
- Focus on opportunities that can scale and be replicated upon being proven out by prize-funded work, and roadmaps to that scale;
- Deliver clear and concrete benefits to beneficiaries in disadvantaged communities, against their needs, that relate to improved clean transportation, reduced environmental burden, and economic opportunity that flows from these clean transportation investments;
- Engage the partners necessary for success, both locally and systemically; and
- Assure objective and verifiable information that can inform the target community and its peers on the benefits, as well as costs and necessary activities, for sustaining these efforts and building the capacity to sustain the work, both locally and systemically.

⁸ Make-Ready Order, p. 134.

1.3 Strategic Approach

The goal in adopting the prize model is to bring forth a broad and diverse set of proposers and proposals that address the local needs of the communities they will ultimately serve. Accordingly, it seeks employ active and strong outreach, as well as tapping into the accumulated knowledge and experience coming out of similar initiatives.

Consistent with NYSERDA's mission, procurement rules, successful history in delivering value to New Yorkers, and best practices in prize administration, the prize competitions will be administered in partnership with sister agencies including the DPS and the Department of Environmental Conservation, as well as subject matter experts, contractors in the area of outreach and engagement, program administration, and implementation, among others (collectively, the "Prize Team"), as described in this Plan. Each prize will be guided by these four principles:

- **Deliver clarity for all proposers and participants.**
The Prize Team will design the prizes to ensure that the specific problems that are the focus for each prize are clearly stated, and also that the criteria for evaluation are clearly stated.
- **Deliver fair, open, and transparent opportunities for all prize participants.**
The Prize Team will establish a website that will provide potential proposers access to the information required to determine their level of commitment to the Program at launch, including detailed explanations of proposal requirements, how those efforts are judged, and by whom. The Prize Team's outreach will engage those living and working on the front lines of the communities where the solutions are proposed.
- **Deliver value, even for those proposers who participate but do not win a final award.**
NYSERDA will ensure that registered participants understand the requirements of the program and receive value that is commensurate with their level of effort. Each proposal will undergo multiple rounds of initial assessment. During each round, reviewers will score and comment upon the proposals, and that feedback will provide valuable insight for proposers who may choose to seek other funding or to implement some version of their proposed solution outside of support from the Program. Proposers who pass to each final phase of assessment will receive both planning grants and additional support from a dedicated team of experts to further shape the feasibility, technical viability, and community integration or scaling aspects of each proposal. Finally, for those proposers that do not receive either a planning grant or final award at the conclusion of each prize, NYSERDA is exploring options to make the proposed solutions available to an audience including but not limited to other funders, academics, the press, and other public agencies within and outside of New York seeking to survey or fund proposals that support the goals of the Program.
- **NYSERDA will engage subject matter experts to assist in implementing the program.** On November 3, 2020, NYSERDA posted RFP 4596, seeking proposals from qualified administrators of prize programs. Today, service providers in this space include firms that offer both consulting and software platforms that are specific to best practices for prizes. NYSERDA will select the most qualified proposer to administer this program, combining its expertise with NYSERDA's

Clean Transportation Program expertise, and that of other partner agencies, specifically around electrification and mobility.

These four strategic directives will inform future decision-making as each prize is finalized.

2.0 THREE PRIZES

The three prizes each focus on distinct ways that transportation electrification can help improve transportation options and reduce emissions especially in disadvantaged communities as discussed below.

The number and value of the grand prizes will be established based on work by the Prize Team and its partners and will be communicated to potential applicants at launch of the Prize. It is currently anticipated that there will be 1-3 grand prize awardees for each of the three prizes. Grand prize amounts will be determined before program launch and will be uniform in increment within each prize competition. For illustrative purposes, if the award pool for one of the prize competitions were to be \$10 million, then offering two (2) grand prizes would result in uniform increments of \$5 million per grand prize awardee.

In addition to the grand prizes, the Program has included consideration for up to five (5) planning grant awardees (selected from Phase One) for each of the three prizes. Planning grant awardees may receive up to \$100,000 and additional support for developing final proposals.

2.1 Environmental Justice Community Clean Vehicles Transformation Prize

The Environmental Justice Community Clean Vehicles Transformation Prize (the “EJ Prize”) seeks proposals that aim to reduce local air pollution in environmentally burdened neighborhoods by removing dirty cars, trucks, and buses from the road and replacing them with electric and active transportation modes, or enabling a reduction in new dirty vehicle traffic, with an integrated approach that establishes the basis for continued gains. The prize competition has a total budget of \$40 million and offers grand prize awards totaling \$32 million.

The EJ Prize aims to use electric and active transportation to transform EJ communities by delivering near-term and enabling future transportation-related air pollution reductions at scale with a focus on long-term air pollution reductions that improve health, the quality of life and of economic opportunity in those communities, and demonstrate clear potential for replication and scale.

Eligible proposals to the EJ Prize competition could offer solutions that:

- Reduce current and future emissions from transportation sources in and around EJ communities
- Expand access to electric and active transportation options for community residents
- Integrate the approach so as to establish the broader conditions for continued emissions reductions
- Harness local planning capacity and ability to change local rules, regulations, and rights-of-way usage to encourage or require more future transportation electrification. Proposals that consider undertaking the development or expansion of Green or Low Emissions Zones are of particular interest.

- Make impacted communities more attractive for further investment both as relates to active and electric transportation and otherwise
- Ensure that communities participate in the investment/job/other economic gains that come with the solution
- Demonstrate clear potential for replication and scale

The EJ Prize competition rules will make clear that the following kinds of projects would not be considered for funding under this prize:

- Direct vehicle replacements where prize funds would not be matched on each vehicle replaced
- Projects that do not ensure permanent reductions in GHG emissions and air pollution
- Projects that would not have a demonstrable impact on quality of life and health of community residents
- Projects that have significant technology risk, i.e., that rely on or focus on unproven technology

Ensuring that performance of the prize projects that receive an award is real and validated is critical to this program. Performance metrics will be proposed by proposers and agreed upon with NYSERDA prior to award. These metrics should be focused, small in number, and collectively useful and appropriate for measuring desired outcomes. The Prize Team will continue to develop basic guidance and minimum expectations on these, aiming to ensure some core commonality among the metrics, while also recognizing that different solutions will need different metrics. Each proposer will select its performance metrics, propose the means through which these metrics will be tracked, and provide a specific budget for producing the relevant data. NYSERDA will contract with a third-party contractor to verify any claims of performance measurement and, in some cases, collect additional data, during the implementation of any winning proposals. A current potential list of metrics, subject to revision, includes:

- Emissions reductions
- Travel time
- Availability of and distance to modes of transportation
- Number of trips made, per mode, for new and/or expanded services
- Membership numbers and utilization rates for shared services

Work continues to further refine and develop an effective approach to performance measurement, and any updates will be captured in future filings as discussed below.

2.2 Clean Personal Mobility Prize

The Clean Personal Mobility Prize seeks proposals that would provide improved access to active and electric mobility options to members of New York's disadvantaged communities. The prize competition has a total budget of \$25 million and offers grand prize awards totaling \$20 million.

The Clean Personal Mobility Prize aims to transform the transportation options for members of disadvantaged communities through safe, convenient active and electric mobility options that meet community needs such as enabling access to jobs, educational opportunities, basic services, and others as defined by the impacted communities; improve health, the quality of life and the quality of opportunity in those communities; and demonstrate clear potential for replication and scale.

Eligible proposals to the Clean Personal Mobility Prize competition could offer solutions that:

- Provide new or improved efficacy of clean modes of transportation centered on the needs of the members of disadvantaged communities
- Propose local solutions or broader geographic solutions, both of which are equally welcome and “ideal”
- Improve quality of life in affected communities through ease-of-transit
- Upgrade or repurpose infrastructure to improve the usability of active and micromobility solutions
- Change policies necessary to increase the availability, reliability, safety, affordability, and efficiency of clean personal mobility choices
- Demonstrate clear potential for replication and scale

The Clean Personal Mobility Prize competition program rules will make clear that the following kinds of projects would not be considered for funding under this prize:

- Provision of new or expansion of existing service that does not utilize active or electric modes
- Projects that will lead to an increase in GHG or air pollutant emissions
- Heavy rail service, highway, or road capacity creation or expansion
- Inter-state or long-distance transit
- Vehicle or fleet replacement that does not include new or expanded of service
- Projects that have significant technology risk, i.e., that rely on or focus on unproven technology

Ensuring that performance of the prize projects that receive an award is real and validated is critical to this program. Performance metrics will be proposed by proposers and agreed upon prior to award. These metrics should be focused, small in number, and collectively useful and appropriate for measuring desired outcomes. The Prize Team will continue to develop basic guidance and minimum expectations on these, aiming to ensure some core commonality among the metrics, while also recognizing that different solutions will need different metrics. Each proposer will select its performance metrics, propose the means through which these metrics will be tracked, and provide a specific budget for producing the relevant data. NYSERDA will contract with a third-party contractor to verify any claims of performance measurement, and as necessary to collect additional validating data during the implementation of any winning proposals. A current potential list of metrics, subject to revision, includes:

- Emissions reductions
- Travel time
- Safety
- Number of trips made, per mode, for new and/or expanded services
- Membership numbers and utilization rates for shared services
- Change in number or share of jobs accessible within 45 and 60 minutes

Work continues to further refine and develop an effective approach to performance measurement, and any updates will be captured in future filings as discussed below.

2.3 Clean Medium- and Heavy-Duty Vehicle Innovation Prize

The Clean Medium- and Heavy-Duty Vehicle Innovation Prize seeks proposals that will expand the feasibility of electrifying trucks and buses and identifying opportunities for future electrification. Doing so in ways or settings that benefit disadvantaged communities and environmentally burdened areas is especially favored. The prize has a total budget of \$20 million and offers grand prize awards totaling \$16 million.

The Clean Medium- and Heavy-Duty Vehicle Innovation Prize aims to identify and demonstrate ways to reduce the cost, system and operational challenges of further deployment of MD/HD electric vehicles, including minimizing the costs of charging and grid integration infrastructure for MD/HD EVs; improve health, the quality of life and the quality of opportunity in affected communities, as a co-benefit, with a preference for improvements in disadvantaged communities; and demonstrate clear potential for replication and scale.

Eligible proposals to the Clean Medium- and Heavy-Duty Vehicle Innovation Prize competition could offer solutions that:

- Dramatically reduce air pollution and VMT from internal combustion engine MD/HD vehicles in disadvantaged communities
- Provide replicable strategies for electric MD/HD fleet charging with minimum required grid upgrades
- Provide path towards the development of regulations to further accelerate electric MD/HD adoption
- Improve quality of life in affected communities through ease-of-transit
- Use smart routing, electric light-duty alternatives, and other means to replace or reduce MD/HD trips
- Demonstrate clear potential for replication and scale

The Clean Medium- and Heavy-Duty Vehicle Innovation Prize competition program rules will make clear that the following kinds of projects would not be considered for funding under this prize:

- MD/HD research and development projects
- Projects that do not operationalize or implement technologies that can be replicated at scale
- Projects that have significant technology risk, i.e., that rely on or focus on unproven technology

Ensuring that performance of the prize projects that receive an award is real and validated is critical to this program. Performance metrics will be proposed by proposers and agreed upon prior to award. These metrics should be focused, small in number, and collectively useful and appropriate for measuring desired outcomes. The Prize Team will continue to develop basic guidance and minimum expectations on these, aiming to ensure some core commonality among the metrics, while also recognizing that different solutions will need different metrics. Each proposer will select its performance metrics, propose the means through which these metrics will be tracked, and provide a specific budget for producing the relevant data. NYSEDA will contract with a third-party contractor to verify any claims of performance measurement, and as necessary to collect additional validating data during the implementation of any winning proposals. A current potential list of metrics, subject to revision, includes:

- Emissions reductions
- Total cost of ownership of EVs
- Cost of charging station installation and associated upgrades
- Utilization
- Performance metrics specific to vehicle's duty cycle

Work continues to further refine and develop an effective approach to performance measurement, and any updates will be captured in future filings as discussed below.

3.0 PRIZE CHARACTERISTICS

Key elements of the Program, articulated below, apply to all three prizes except where noted otherwise.

3.1 Prize Structure

In order to provide potential proposers with the time and resources necessary to develop the best approaches to meet the objectives of each prize competition, all three prizes will be implemented in two phases. The below summary describes the Prize Team's approach as formulated thus far; further details will be developed in collaboration between the Prize Team and the contractor awarded the implementation contract under RFP 4596.

Phase One (approximately 6-8 months per prize):

The purpose of Phase One is to invite a wide range of proposers to register and submit a detailed proposal for each relevant prize. Since these three prize competitions will launch simultaneously, proposers will have the opportunity to propose to more than one competition, and those proposers may be asked to indicate how any efficiencies can be gained if they are awarded more than one grand prize award to implement their proposed solution(s). Through a series of assessments, proposers will receive scores and comments from assigned reviewers. The outcome of Phase One is to produce a cohort of planning grant awardees, who will receive planning grants and other support in order to participate in Phase Two and prepare their final proposals for grand prize consideration.

Phase Two (approximately 7-8 additional months per prize):

Planning grant awardees selected in Phase One will undergo a rigorous period of planning support in order to refine and strengthen their proposals and conduct additional engagement for Phase Two. Based on feedback provided from the Phase One assessments, planning grant awardees will understand gaps in their proposals. NYSERDA will provide access to experts to help them refine their proposals over a protracted period of the Phase Two timeline. Based on improvements to each proposal, the scoring committee will assess and make recommendations to determine the grand prize awardees for each prize competition. Following a compliance review by NYSERDA, the grand prize awardees will be notified with an award letter.

3.1.1 Prize Timelines

To further illustrate each phase, descriptions of the anticipated timeline for each prize are provided below. Minimum durations for each period in the sample timeline are for context only and all dates and durations are subject to change. A fixed schedule will be prepared once the design of each prize is finalized, and these periods are mapped against a calendar of any competing dates and the availabilities of the implementing parties.

Phase One

Competition Period: Launch to Registration Deadline (*anticipated minimum duration: 3 months*)

From launch to the registration deadline, the Prize Team will focus on ensuring that qualified participants are registering and working toward completing the proposal requirements. The prize administration contractor and outreach and engagement contractor(s) will work collaboratively to meet target goals for registration and ensure there is increased awareness of the Program among potential participants and within communities that can benefit the most from the Program. NYSERDA anticipates that this period will be a minimum of three months to enable the broadest diversity of participants, as previous experience has shown that it takes time to recruit participants and the bulk of registrations come in the final week of this period. During this time, the Prize Team may require the prize administration contractor to implement multiple outreach strategies including one or more webinar(s) to clarify the process and the intended outcomes of the Program.

The prize administration contractor would be required to monitor progress toward the registration goals and to submit regular progress reports to the Prize Team. The outreach and engagement contractor(s) will ensure that communities are informed of the goals for this program and to set expectations for future outcomes. As a result of these complementary efforts, highly qualified proposers with specific solutions for each prize will be registered and preparing their proposals, and just as importantly communities will understand and support the goals of the Program.

Competition Period: Registration Deadline to Proposal Deadline (*anticipated minimum duration: 3 weeks*)

From the close of registration to the proposal deadline, the Prize Team anticipates focusing on converting registered participants to proposers, and contemplates an increase in direct communication with the registered participants to address questions and requests for technical assistance. The prize administration contractor would be required to host additional webinars for registered participants. The final weeks and days leading up to the proposal deadline are dedicated to ensuring that all registered participants are receiving sufficient instruction and access to information to support their best proposals. From previous program experience, the majority of proposals are often not completed until the final days or hours before the deadline. The prize administration contractor would be responsible for maintaining a proposal site for each prize that can accommodate a spike in volume and to monitor and promptly address any issues.

Phase One Proposal Review Period (*anticipated minimum duration: 3 months*)

The review process for Phase One planning grant proposals will include multiple rounds of review before there is a final decision on the planning grant awardees that will proceed to Phase Two. Projects that do not meet program eligibility criteria will be rejected. The scoring committee process is anticipated to be structured as follows:

- (1) Scoring Committee Review. The Prize Team will identify scoring committee members that represent a broad and diverse collective of subject matter experts including technical experts, community representatives, and other notable key opinion leaders that are relevant to the subject of each prize. The goal is to empanel scorers who offer a breadth of experience and

credibility, as their scores and comments for each proposal that they assess are part of the overall value proposition of the Program. Scoring committee members will evaluate the technical merit of the proposals according to the evaluation criteria provided in the program rules, and compile a list of recommended awardees for planning grants.

In conjunction with this subject matter expert review, the Prize Team is exploring the feasibility and benefits of utilizing a peer review process at the planning grant stage for some or all of the prizes. Under this approach, this round of assessment would be conducted by proposers that have submitted a valid proposal, as determined by the administrative screening. If employed, NYSERDA would work with the prize administration contractor to manage this process and ensure fairness in the reviews. In determining whether to use peer review, the Prize Team will consider how applicable a peer review is to each prize area based on the types of projects within the proposals, the potential presence of conflicts of interest, and compliance with State procurement guidelines.

- (2) Compliance Review. The scoring committee's recommendations for planning grant awardees will be reviewed for compliance with the program rules and goals, procurement rules and regulations, and for consistency with geographic diversity and other requirements as enumerated in the program rules.

Phase Two

Planning Grant Negotiations and Agreements Period (*anticipated minimum duration: 2 weeks*)

NYSERDA will execute an agreement with each of the planning grant awardees to provide a planning grant of up to \$100,000 each. These planning grants are intended as compensation for participating in an extended support period, which makes up the majority of the Phase Two process. NYSERDA may elect to use standard offer terms for all planning grant agreements and may make these terms available to all proposers in advance of announcing the planning grant awardees in an effort to reduce the time and effort required to claim a planning grant.

Planning Support Period (*anticipated minimum duration: 3.5 months*)

Each of the planning grant awardees participating in Phase Two will have access to relevant subject matter experts, offering support and technical assistance. The technical experts are responsible for helping planning grant awardees improve their proposals prior to a final assessment. Support will be both specific to the gaps in proposals identified during Phase One, and special instruction and support will be provided to help each planning grant awardee adopt a Plan for scaling its proposed solution(s) and strengthening its team. The process is intended improve proposals and create value for the proposers, as they may proceed with implementation regardless of receiving a prize.

Preparation for Presentations Period (*anticipated minimum duration: 3 weeks*)

Over the course of a remaining period of 3-6 weeks, each planning grant awardee will prepare to present its improved plans before the scoring committee. The scoring committee will be responsible for determining the grand prizes awardees for each prize competition. The format of these presentations will be determined by the Prize Team. The Prize Team may elect to host an official pitch event that is

open to the public and other potential funders of the proposals. Planning grant awardees will have the option of consulting with pitch experts to help improve their presentation contents and skills.

Scoring Committee Deliberations Period (*anticipated minimum duration: 1-2 days*)

Planning grant awardees will present their final proposed solutions to a separate scoring committee, with similar subject matter expertise and composition as that described at the planning grant stage, which may occur at a pitch event; the Prize Team is evaluating options to make this a publicly accessible event. Following those presentations, members of the scoring committee would convene in a closed session to determine the final rank order of the final proposals, to inform the selection of the grand prize awardee(s) for each prize competition.

Awardee Negotiations and Agreements Period (*anticipated minimum duration: 4 weeks*)

Upon the conclusion of scoring committee and compliance review, NYSERDA will send award letters to grand prize awardees and negotiate agreements with each. After successful negotiation and contract execution, it is expected that agreement durations would be 2-3 years.

Public Database of Proposals, optional (*post-award*)

The Prize Team is evaluating options whereby, following the execution of all agreements with grand prize awardees, the prize administration contractor could publish the proposals, or the concepts behind the proposals, to a public database. This effort would be intended to bring additional opportunities to proposals not selected for a prize. By publishing this data, the Prize Team hopes to increase the value proposition to the competing teams and to raise awareness of the diversity of responses that each prize attracts. The Prize Team anticipates seeking feedback from potential proposers to determine their level of comfort with this approach, taking into account the Freedom of Information Law's provisions for the protection of certain kinds of confidential information.

3.2 Prize Eligibility

As a team-based competition, each prize will invite proposers to explain the constitution of their team within their proposal. The Prize Team anticipates broad eligibility for proposers for each prize and does not seek to prescribe a specific structure for required types of participants or teams. The teaming of multiple organizations can ensure broad expertise and capacity for success but would not likely be required. However, the Prize Team may, at a minimum, require that each proposer include a representative from the community or communities where they propose to implement their solution(s) on the team.

The Program is open to proposed projects State-wide, in communities served by electric utilities regulated by the Commission⁹. The Prize Team acknowledges that on October 23, 2020 the Long Island

⁹ Electric utilities regulated by the Commission are: Central Hudson Gas & Electric Corporation (Central Hudson), Consolidated Edison Company of New York, Inc. (Con Edison), New York State Electric & Gas Corporation (NYSEG), Niagara Mohawk Power Corporation d/b/a National Grid (National Grid), Orange and Rockland Utilities, Inc. (O&R), and Rochester Gas and Electric Corporation (RG&E).

Power Authority (LIPA) submitted a Petition for Declaratory Ruling requesting that the Commission consider expanding eligibility of the Program to communities not served by electric utilities regulated by the Commission, including LIPA. The Prize Team would file an amendment to the Plan should the Commission act on LIPA's petition and modify the eligibility criteria for the Program.

Proposing teams may include many types of organizations, such as:

- community-based organizations
- non-profits
- governments, including tribal (see below for a specific exclusion)
- joint powers or authorities
- private philanthropic organizations and foundations
- for-profit companies
- schools

However, each team must be led by a single Principal Organization that would be responsible for entering any agreement with NYSERDA for the purposes of receiving any planning grant(s) or grand prize award(s). Principal Organizations may enjoin any of the organization types mentioned above and/or any individuals, such as experts or representatives of the target beneficiaries for any proposed solution(s).

Principal Organizations are limited to the following organization types:

- Any nonprofit entity in good standing in the relevant jurisdiction(s) where they are incorporated and maintained;
- Any business or company in good standing in the relevant jurisdiction(s) where they are incorporated and maintained;
- Any other type of incorporated entity that is not a government agency and that is in good standing in the relevant jurisdiction(s) where they are incorporated and maintained.

The Prize Team anticipates that individuals and government agencies would be excluded from acting as Principal Organizations.

Principal Organizations will be judged on their capacity to manage all team members, partners, and subcontractors within their team.

Registered lobbying organizations are not eligible to be members of any proposing team. Electric utilities serving New York State and their associated enterprises are not eligible to be members of any proposing team for projects within their service territories.

Work continues to further refine and develop an effective approach to organizational eligibility, especially with respect to government or government-affiliated organizations, and any updates will be made known in the program rules at the time of launch.

3.3 Minimum Proposal Requirements

A key objective of the Program is to attract high-quality proposals from a diverse set of well-qualified proposer teams. The Prize Team is working with a prize design contractor to develop proposal forms that convey both the Program requirements and individual objectives of each respective prize, through

the information that is requested. The Prize Team may also elect to utilize additional tools that provide prospective proposers with guidance as to their readiness to participate based on the experience, capacity, and other characteristics of their organization(s). The goal is to make the process clear to the general public and ensure that any prospective proposers can begin to determine the level of effort required before registering and committing resources to completing the proposal process.

The final proposal forms, along with the respective evaluation criteria for each prize area, will be made public on the Program website when the Program launches. The information below is sample outline of proposal sections for all three prizes. These proposed sections for each prize proposal are subject to change through the Prize Team's ongoing work with the prize design contractor. It is highly likely that these sections would require proposer teams to show that they have planned for or have already undertaken activity to understand and appreciate local conditions; to identify how they would tailor solutions which may have worked elsewhere to address the specific needs of New York's communities; and to identify those proposed solutions which are more authentically connected to the needs of those who would benefit directly from any proposed plans.

The prize competition proposal is expected to require the following components:

- (1) The Quick Pitch. This short introductory section, akin to an executive summary, allows any reviewer to read and understand the basic concept that will be further described throughout the remainder of the proposal.
- (2) Video Presentation. By including a short video presentation (no more than 90 seconds), each team allows any reviewer to better understand the passion and personal connection that competing teams need to offer, to better illustrate their commitment to their proposed solution. From previous program experience, including these requirements enables proposers to better present their ideas as they produce each video. This experience is also good practice if those proposers are selected as planning grant awardees and will be required to present during Phase Two.
- (3) Description of the Team. This section will include questions to help identify the management structure, the relationship between the parties, and the qualifications of the team members. The Principal Organization will be required to identify key partners and others who play essential roles in the implementation of any proposed solution. The Principal Organization will need to show evidence that its team has the necessary skills and expertise related to project management, fiscal responsibility, engagement with disadvantaged communities, and other project-specific technical needs.
- (4) The Challenge. This section of the proposal provides each proposer with the opportunity to clearly state the unique aspects of the specific problem they are trying to solve. This further allows them to show general and specific knowledge that is authentic to the local communities who would benefit most from a proposal. This section sets the stage before going more deeply into the technical aspects of the proposed solution.
- (5) The Proposed Solution. This section allows each proposer to dive deeply into the technical nature and specifications of the proposed solution, including the feasibility of its success. Portion(s) of this section will also focus on requiring each proposer to offer risk mitigation plans, whereby those proposers will identify potential barriers or challenges to their success and the means for overcoming any clearly stated concerns.
- (6) Projected Impact. This section allows each proposer to describe the measurable benefits to target beneficiaries. Overall projected impact may be calculated across a wide variety of standardized and/or self-directed metrics. Last, this section will require each proposer to

describe evidence of effectiveness in order to validate any claims of projected impact. Evidence of effectiveness can be drawn from prior examples of any implementation(s) of the proposed solution(s), or it may include any literature review or secondary research to indicate the credibility of the technical approach and/or validity of the projected impact.

- (7) Plan for Replication and/or Scalability. This section requires each proposer to offer replication and/or scalability plans that identify strategies for increasing the projected impact over time. Proposers will detail the conditions under which replication and scalability are possible, and any plans will address either geographic boundaries and/or expansion among disparate populations of target beneficiaries and stakeholders. These plans will likely need to include history and context, and core financial, operational, implementation, and external engagement elements.
- (8) Community Engagement. Proposers will showcase their specific plans for engaging target beneficiaries and stakeholders in those communities where they are proposing the solution(s). The questions asked in this section will require proposers to engage authentically with those communities and to show that they understand local conditions and any barriers to success.
- (9) Resource Requirements (Budget). This section allows each proposer to submit a detailed narrative and line-item budget necessary to realize the proposed solution and projected impact. The budget may include the planned use of funds for each award for each prize, and the section may also include other non-financial requirements and any need for technical or other assistance during Phase Two. Last, this section may allow proposers to show where other resources or financial commitments may leverage any award to teams who have already secured other necessary funds or resources.
- (10) Administrative Information. As with all State procurements, proposers will be required to submit information relating to State Finance Law and other legal compliance.

3.4 Evaluation Priorities

The Prize Team has the following top priorities for evaluation criteria consideration across the Program. Specific criteria will be determined with the prize design contractor and may vary between the prizes.

- Direct, measurable benefits to disadvantaged communities will be foundational for the EJ Prize and Clean Personal Mobility Prize, and will be important for the MD/HD Prize
- Prove out novel, innovative approaches for electric transportation in NYS
- Potential for replication and/or scaling: if the approach is successful where else might it be able to be replicated? Are there opportunities for continued impact?
- Likelihood of success based on concept, team capabilities, community buy-in and ongoing engagement

Work continues to further refine and develop evaluation criteria. The final evaluation criteria for each individual prize will be published on its respective website when the Program is launched. This will include the specific traits being sought and the scoring range for each trait. In addition to these evaluation criteria to be used by the scoring committee(s), NYSEDA may utilize additional selection criteria to ensure diversity in geography or solution set across the portfolio of awards.

3.5 Outreach to Potential Proposers

Potential proposers will receive information through two separate channels of communication. First, each prize website will contain information regarding all the relevant rules, proposal requirements,

assessment protocols, and data to inform registered participants as they organize and compose their proposed solutions. The prize administration contractor will work with NYSERDA on digital outreach to target proposers through e-mail blasts, press opportunities, social media presence, and other tactics to increase awareness and direct potential proposers to the prize websites.

In addition to the digital outreach tactics, the Prize Team will work with outreach and engagement contractor(s) to increase Program awareness in disadvantaged communities across the State through more direct outreach. This awareness building will include identification of partner networks within the communities, such as community-based organizations and EJ groups, hosting of webinars or, if allowable, in-person meetings, and development of materials to be distributed by partners.

Work continues to further refine and develop the approach to outreach and engagement, and any updates will be captured in future filings.

3.6 Support for Proposers and Awardees

During the registration and proposal periods, support staff provided by the prize administration contractor will respond to general inquiries, conduct webinars (as indicated for each phase in the timeline), and ensure that any consistently emerging questions are answered directly to the inquiring parties and to the broader proposer pool through a Frequently Asked Questions repository. This support will be provided from the launch of each prize website through the close of the registration and subsequent submission deadlines.

Additionally, the program implementation support contractor shall be responsible for preparing web-accessible, data-driven resources for the proposers to use for both Phase One and Phase Two proposal development. These common resources may include open data sets, how-to and best practice guides, case studies of clean transportation interventions, and sample public-private partnership agreements. The full set of necessary resources will be determined through the prize development process and will be made available on the Program website.

After the Phase One selection, NYSERDA will facilitate cohort management activities for the planning grant awardees within each prize competition and, when possible, across the full Program. This may include webinars on specific technical topics and meetings to address questions and promote collaborative problem solving. The planning grant awardees will also be given resources to address their individual needs in developing Phase Two proposals. These needs may include technical assistance on standards and solution availability, support on navigating local rules and regulations, utility interconnection processes, opportunities for financing, or filling gaps on their teams. The outreach and engagement contractor(s) will also facilitate strengthening of outreach efforts by planning grant awardees and ongoing engagement during grand prize implementations.

4.0 POST AWARD CONTRACTING

NYSERDA will negotiate contracts with all planning grant awardees and all grand prize awardees. All awardees will be responsible for identifying the Principal Organization with which NYSERDA will enter into a contractual agreement. NYSERDA may task its implementation support contractor with certain components of the contracting process, including development of statements of work.

4.1 Planning Grants

The agreements for planning grants will include statements of work that outline key tasks and milestones to be achieved to address feedback from the Phase One proposal evaluation and generally to prepare for the Phase Two final proposal submission and pitch to the scoring committee. Development of the statements of work will be led by NYSERDA staff and a program implementation support contractor.

The planning grant amount is intended to cover the time and effort required to improve upon the proposed project(s), strengthen the team, enhance community engagement and relationships, and work with technical experts.

4.2 Grand Prize Awards

The agreements for grand prizes will include statements of work based on the awardees' project proposals, including budgets and schedules, data collection and reporting protocols, and community engagement plans, and will incorporate standard NYSERDA terms and conditions. Development of the statements of work will be led by NYSERDA staff with assistance from relevant contractors, if needed. NYSERDA staff and contractors will work with the Awardees throughout the agreement term to successfully see the projects through to completion. Payments will be made based on a method agreed upon between NYSERDA and the grand prize awardee, typically either milestone payments for the completion of the tasks described in the statement of work or payments as reimbursements for specified costs incurred while completing the statement of work.

Work continues to further refine and develop the approach to eligible or ineligible costs under grand prize awards. These will be identified in the prize competition terms and conditions.

5.0 MEASUREMENT AND VERIFICATION OF OUTCOMES

The prize program's measurement and verification strategy has two guiding principles:

- The first guiding principle is to balance "universal" metrics, which apply to all three prizes, with "project specific" metrics, which capture the unique aspects of the impact from each grand prize project.
- The second guiding principle is to make each grand prize awardee accountable for their own measurement and verification strategy, and implementation of that strategy, while also ensuring the strategy is objective and transparent.

NYSERDA will competitively procure a measurement and verification (M&V) contractor to facilitate this work and anticipates this contractor will be on-board by April 2021.

The grand prize awardees will collaborate with the M&V contractor to develop a data collection plan and implement that plan as part of their project. This data collection plan enables the awardee to collect data itself, when that is the most efficient data collection option, and the M&V contractor to: serve as an independent party to consolidate data from all awardees; verify the data as an extension of the oversight and transparency tools to manage the program; and also collect data when it is more efficient to have a third party collect data for one or more awardees. Data on universal metrics, such as emissions

reductions, may be collected by the M&V contractor to ensure consistency across all implementation projects.

Work continues to further refine and develop approach to measurement and verification, and any updates will be captured in future filings.

6.0 REPLICATION AND SCALABILITY

In funding these prizes, the Order's stated purpose was both to fund innovative transportation electrification projects that will provide benefits flowing directly out of the projects, and that will also serve as a suitable model for replication so that further benefits can flow beyond the awarded projects. This section discusses the approach the Prize Team will take to ensuring such replication.

Replication requires a focus on the "next user" and providing them with the ability to implement an appropriate version of the model, and to do so benefiting from lessons and "tools" that derive from the initial project. Accordingly, this Program will invest to develop those lessons and tools, and will do so with two main streams of activity.

The first will look to the initial projects that receive awards through the prize competitions. Replication works best when the original innovator facilitates and enables their own replication. This stream of activity strategy begins with planning grant awardees. As a requirement of the planning process for Phase Two, each planning grant awardee must develop within their plan the core elements of replicating their proposed project, including history and context, and core financial, operational, implementation, and external engagement elements. NYSERDA will competitively procure one or more contractors to assist grand prize awardees with fulfilling this requirement and anticipates the contractor(s) will be on-board by April 2021. The Prize Team may engage additional outside support to assist the project teams.

For the second stream of activity, the Prize Team will engage outside support to develop "playbooks," which are the materials, systems, and tools suitable for practical use by the community of "next users." NYSERDA may elect to competitively procure a contractor to facilitate playbook development.

Beyond these two principal streams of replication work, the Phase Two implementation projects are an important learning opportunity for New York and other states. The implementation projects will generate important operational data that is valuable in future policy research. Throughout the Phase Two project implementation, the Program will require grand prize awardees to work in collaboration with the Prize Team to measure, learn, and evaluate project performance to inform future policy.

7.0 PARTNERSHIPS

Partnerships with other funders such as foundations and impact investors represent an important opportunity to support both grand prize winners in scaling their solutions and those proposers who have compelling proposals but who do not receive a grand prize award.

In order to support the success of proposers and awardees, the Prize Team will conduct outreach to foundations and other organizations with potential interest to promote their complementary offerings of additional funding, expertise, and other support to proposers and winners of this Program. The Prize

Team will additionally, where possible, coordinate its marketing and activities with these partner organizations.

- Identification of Target Partners
- Partnership Proposition, delineating the case for partnership to those target partners
- Partnership Strategies, including co-investment, network and other beyond financial support
- Partnership Outreach

Work continues to further refine and develop approach to partnership, and any updates will be captured in future filings.

8.0 COORDINATION WITH OTHER PROGRAMS

New York State currently offers programs in other contexts that may offer support or valuable information to some of the types of activities envisioned through the prize competitions. This provides opportunities for the Prize Team to coordinate with other programs within NYSERDA and other NYS agencies to enhance the impact of both the prizes and the other programs while reducing redundancy. It also provides opportunities for proposers and awardees to take advantage of additional resources to complete their projects.

The Prize Team continues to develop efficient approaches to coordination with other programs so as to provide the best value and ease-of-use to prize proposers and awardees, and intends to continue identifying opportunities for coordination as new program offerings are made available. NYSERDA may elect to task the outreach and engagement contractor(s) and/or the program implementation support contractor with some or all of this effort.

9.0 PRIZE PROGRAM TIMELINE

In recognition of the scale and importance of this work, and in ensuring its dedication to properly stewarding public funds, NYSERDA, in consultation with the Prize Team, has identified additional capabilities for which it may elect to competitively procure contractors. The timeline presented in Table 1 identifies the key milestones and deliverables, with respect to each major phase of the Program and consistent with the timing described for the prize competition award selections.

As described within this implementation plan, NYSERDA intends to competitively procure the contractors listed below and to do so within the dates indicated, which are subject to change:

- (1) Program implementation support contractor. The RFP for this contractor will be released in December 2020, and the award from this RFP will be made in January 2021.
- (2) Outreach and engagement contractor(s). The RFP for this contractor will be released in December 2020, and the award(s) from this RFP will be made in February 2021.
- (3) Proposer and awardee support contractor(s). The RFP for this contractor will be released in December 2020, and the award(s) from this RFP will be made in February 2021.
- (4) Measurement and verification contractor. The RFP for this contractor will be released in February 2021, and the award from this RFP will be made in April 2021.

Table 1: Summary of Prize Program Timeline

Milestones and Deliverables	Pre-Launch Activities	At Launch Spring 2021	Planning Grants Awarded		Grand Prizes Awarded	
			Phase One Proposals Due Fall 2021	Phase Two Planning Stage	Phase Two Proposals Due Spring 2022	Grand Prize Implementations 2-3 years
Updated implementation plan, pending LIPA decision	X					
NYSERDA update to DPS – February 2021	X					
Implementation support RFP released	X					
Implementation support contractor on-board	X					
Outreach and engagement RFP released	X					
Outreach and engagement contractor on-board	X					
Participant assistance RFP released	X					
Participant assistance contractor on-board	X					
Measurement and verification RFP released	X					
Program branding finalized	X					
Program website sitemap finalized	X					
Prize competition rules finalized	X					
Common resources for proposers ready for web	X					
Marketing materials finalized	X					
Outreach to prospective partners	X					
Program website goes live, registrations open		X				
Measurement and verification contractor on-board		X				
Phase One scoring committee members identified		X				
Coordinate with Phase One partners		X				
Coordinate with Phase Two partners			X			
NYSERDA update to DPS			45 days prior			
NYSERDA update to DPS				45 days into		
Support for planning grant awardees				X		
Planning grant awards negotiated				X		
Phase Two scoring committee members identified					X	
Initial measurement and verification plans developed					X	
NYSERDA update to DPS					45 days prior	
NYSERDA update to DPS						45 days into
Grand prize awards negotiated						X
Measurement and verification plans finalized						X
NYSERDA update to DPS, every 6 months						X

10.0 BUDGET

The Make-Ready Order allocates \$40 million for the Environmental Justice Community Clean Vehicles Transformation Prize, \$25 million for the Clean Personal Mobility Prize, and \$20 million for the Clean Medium- and Heavy-Duty Vehicle Innovation Prize¹⁰. These amounts are inclusive of any administrative costs NYSERDA may incur in developing, implementing, and monitoring the prize competitions and resulting awards, and as a result the total amount of money for each prize award pool will be less than the total amount allocated by the PSC for each prize. The Prize Team has developed an estimated budget based on the prize structure described above, which accounts for the intended award pools for each prize, the planning grants for each prize, NYSERDA administrative expenses, and consultant support for various tasks described above. The budget also includes a contingency of 2 percent, with the understanding that unexpected expenses are likely to be identified during the course of the program. NYSERDA will inform DPS staff of the use of the contingency budget before using it. The budget is shown in Table 2.

NYSERDA Administration costs include salary and fringe benefit costs for NYSERDA staff involved in managing programs, allocable salary and fringe benefit costs for administrative support staff, direct

¹⁰ Make-Ready Order, pp. 136-138.

program management expenses (travel and other costs), and allocable overhead administrative, facility and equipment expenses.

NYSERDA will manage the Program within the administration budget, optimize administration of the Program to the best of its ability, and keep DPS Staff informed of actual costs and necessary modifications to program design over time.

Table 2: Prize Program Budget

Program Budget Element	Budget	% of Total
Award Pool: EJ Community Clean Vehicles Transformation Prize	\$32,000,000	37.65
Award Pool: Clean Personal Mobility Prize	\$20,000,000	23.53
Award Pool: Clean Medium- and Heavy-Duty Vehicle Innovation Prize	\$16,000,000	18.82
Planning Grants	\$1,500,000	1.76
Prize Design and Administration	\$3,000,000	3.53
Outreach and Engagement	\$750,000	0.88
Participant Assistance	\$1,050,000	1.24
Measurement and Verification	\$3,150,000	3.71
Replication	\$1,000,000	1.18
Program Implementation Support	\$1,800,000	2.12
NYSERDA Administration	\$2,115,000	2.49
State Cost Recovery Fee	\$935,000	1.10
Contingency	\$1,700,000	2.00
Total	\$85,000,000	100.00

10.1 Flow of Funds for Prize Activities

As specified in the Make-Ready Order, the three prize competitions shall be administered by NYSERDA, in accordance with this implementation plan. NYSERDA is working collaboratively with DPS staff to determine appropriate cost allocation for this Program, under the framework that costs will generally be allocated to all customers within the service territory where the Program activity takes place, with the exception that Program activities with statewide benefits may be allocated to multiple utilities based on other factors such as utility revenues, number of customers, or other appropriate allocation factors. NYSERDA will work with DPS staff and the utilities to update the Bill-As-You Go (BAYG)¹¹ process to facilitate the tracking, requisition and transfer of funds between NYSERDA and the utilities. Upon review by DPS staff, there are no necessary changes to the BAYG process to be filed in this implementation plan.

¹¹ Case 14-M-0094, et al., Order Authorizing the Clean Energy Fund Framework (issued January 21, 2016), p. 98. (Authorizing the BAYG approach to better match collections with expenditures, where collections are retained in utility accounts and transferred to NYSERDA at a specified frequency based on actual program expenditures)

11.0 PROGRAM MANAGEMENT AND GOVERNANCE

Consistent with its mission, all of its programs, and its dedication to properly stewarding public funds, NYSERDA will focus and resource appropriately its management responsibilities, recognizing the scale and importance of this work.

11.1 Prize Steering Committee

Governance of the Program will be achieved through a Prize Steering Committee (“Steering Committee”) that will be responsible for key decision-making, for reviewing of key deliverables from the Prize Team and the contractors, and for providing work direction to the ongoing development and implementation of the Program. The Steering Committee will be jointly chaired by NYSERDA and DPS and may, upon the co-chairs’ decision, include members from additional State agencies and relevant outside parties, up to a maximum of five members.

11.2 Implementation Plan Updates

NYSERDA will file implementation plan updates with DPS staff on an as-needed basis. Implementation plan updates may be filed to clarify topics that were not settled at the time of initial filing (such as the pending petition to the PSC from LIPA) or to update elements of the implementation plan that NYSERDA would like to change based on evolving plans for the prize competitions or evolving conditions around clean transportation in NYS, noting that changes to the approach outlined above is subject to change as noted above as the Prize Team develops the competition rules and proposal. Future versions of the implementation plan will clearly note the changes made since the previous version and will cumulatively list changes made since the initial version was filed.

11.3 NYSERDA Reporting

Between the filing of the implementation plan and the time at which grand prize awardees are identified, NYSERDA will update DPS staff as directed in the Commission Order. Updates at this stage are expected to be as frequent as every 2-3 months. Updates will include:

- A narrative describing the overall status of the prize competitions, any changes to the anticipated prize competitions made since the previous report (and a cumulative list of changes made since the implementation plan was initially filed), the status of progress compared to the expected schedule, any reasons for delays in schedule, and an adjusted schedule, if applicable
- Status of items that are identified in this implementation plan as not having yet been resolved
- Any problems encountered
- Planned or proposed solutions to problems described above
- A summary of costs expended during reporting period and a summary of cumulative costs and to date
- Key decisions, as determined by the Prize Steering Committee

Among these, NYSERDA shall provide the following four updates, among others: update to DPS 45 days before and after: (1) the award of planning grants, and (2) the award of grand prizes. NYSERDA shall

discuss the scope of each update with DPS staff to ensure that Staff have the information they seek at the time.

After the grand prize awardees are identified, NYSERDA will submit updates to DPS staff every six months, on or before January 30 (for the period July 1 to December 31) and July 30 (for the period January 1 to June 30). Updates will include:

- A narrative describing the overall status of the prize competitions and the projects being undertaken by the grand prize awardees, the status of progress compared to the expected schedule, any reasons for delays in schedule, and an adjusted schedule, if applicable
- Key metrics for measuring the success of the prize competitions, to be agreed upon by NYSERDA and DPS staff
- Any problems encountered
- Planned or proposed solutions to problems described above
- A summary of costs expended during reporting period and a summary of cumulative costs and to date

Upon completion of the projects undertaken by the grand prize awardees, NYSERDA will submit a final report to DPS within 60 days summarizing the achievements of the awardees' projects and the program as a whole, lessons learned from the process, and recommendations for future activities related to the prizes.

APPENDIX A: GLOSSARY OF TERMS

This section of the implementation plan is included to assist readers in understanding key terms within the content, acronyms, and other abbreviations.

AMI: Area Median Income

Awardee: Proposer that has been competitively selected for either a planning grant award (Phase One) or grand prize award (Phase Two)

BCA: Benefit-Cost Analysis

CLCPA: Climate Leadership and Community Protection Act

CO₂: Carbon Dioxide

Commission: Public Service Commission

DPS: Department of Public Service

EJ: Environmental Justice

EV: Electric Vehicle

GHG: Greenhouse Gas

Implementation Plan or The Plan: refers to this document, which describes the implementation strategy for the Program. This document will be published as part of the public record and will set the guidelines for implementation of the Program. It is not a substitute for the formal request for proposals, prize official rules document, or other core documents that will be developed within the implementation of the Program.

LMI: Low- to Moderate-Income

M&V: Measurement and Verification

Medium- and Heavy-Duty (MD/HD) Vehicles: Class 3-8 vehicle types, consistent with eligibility for the New York Truck Voucher Incentive Program administered by NYSERDA

NO_x: Nitrous Oxides

PM: Particulate Matter

Principal Organization: an entity responsible for entering into an agreement with NYSERDA for the purposes of receiving a planning grant or grand prize award

A prize to an awardee: a grant or contract between NYSERDA and the awardee. Prizes will be awarded to eligible proposals collected in Phase One or Phase Two which are evaluated and recommended for selection by the judges according to the selection criteria published in the Program's Official Rules.

The Prize Team: The team administering the prize competition, consisting of NYSERDA, DPS and the Department of Environmental Conservation, as well as subject matter experts.

The Program: refers to the consolidated effort of the three prizes or prize areas as follows: (1) Environmental Justice Community Clean Vehicles Transformation Prize, (2) Clean Personal Mobility Prize, (3) and Clean Medium- and Heavy-Duty Vehicle Innovation Prize.

Proposer: Entity that will apply to Phase One to compete for a planning grant or Phase Two to compete for a grand prize award, and assume primary responsibility for the proposed planning or project implementation work.

REV: Reforming the Energy Vision

VMT: Vehicle Miles Traveled

ZEV: Zero-Emission Vehicle