



Administered by University of Maine System  
Office of Strategic Procurement  
Request for Proposal (RFP)

Addendum #3

PHASE II

ENERGY SOLUTIONS

RFP #2016-43

**Issued Date:** Dec. 12, 2016

**Response Deadline Date/Time:** March 8, 2017 EOB

**Response Submission Information:**

Submitted electronically to [rachel.piper@maine.edu](mailto:rachel.piper@maine.edu)  
Email Subject Line – Phase II Energy Solutions - RFP#2016-43

**Response Contact Information:**

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## Contents

<b>SECTION 1</b>	3
<b>1.0 General Information</b>	3
1.2 Purpose	3
1.3 Phase II Overview	4
1.4 Phase II Evaluation Criteria	4
1.5 Timeline of Key Events	4
<b>SECTION 2</b>	5
<b>2.0 Phase II Project Scope of Work</b>	5
<b>3.0 Response Format Requirements</b>	7
3.1 General Format Instructions	7
3.2 Response Format Instructions	7
<b>SECTION 4</b>	9
<b>4.0 Requirements</b>	9
4.1 Organizational Qualifications and Experience	9
4.2 Financial Stability	10
4.3 Maine Economic Impact	10
<b>SECTION 5</b>	12
Appendix A – University of Maine System Response Cover Page	12
Appendix B - Maine Economic Impact	13
Appendix C – Debarment, Performance and Non-Collusion Certification	16

# SECTION 1

## 1.0 General Information

### 1.1 Definition of Parties

The University of Maine System may hereinafter be referred to as the "University" or "UMS." The University of Maine, whose primary campus is located in the town of Orono, shall be referred to as "UMaine".

Respondents to the document shall be referred to as "Respondent" or "Respondent(s)".

The Respondent selected to negotiate the definitive Agreement shall be referred to as the "Awardee".

### 1.2 Purpose

This Phase II document is an addendum to the Phase I Energy Solutions RFP, issued Feb 12, 2016 ("Phase I"); in the case of any conflict between Phase I and Phase II, the terms of Phase II shall govern. The University of Maine System is seeking responses to provide energy solutions, as defined in this document. This document provides instructions for submitting responses and, the procedure and criteria by which the Awardee will be selected from the Respondents participating in Phase II. Respondents participating in Phase II shall be those selected by the University in Phase I of this solicitation process.

This RFP seeks proposals for projects which will build upon the improvements achieved to date in energy and utility management across the University of Maine System. System wide, the energy and utility management program objectives are to ensure safe, reliable, efficient, economical, and environmentally responsible services to each campus. These services are essential to the delivery of the tripartite UMS mission of education, research, and public service.

The ultimate objective of this RFP process is for the University to identify and make award to a Respondent (the Awardee) with whom the University can negotiate a long-term agreement that will result in the implementation of energy solutions that best meet the following four general goals:

1. Consistent with UMaine's 2007 Climate Leadership Commitment (formerly ACUPCC) to reduce its net Greenhouse Gas Emissions to 0 metric tons by 2040 through the use of renewable energy, purchased offsets, efficiency improvements and other emissions reduction strategies.
2. Minimize costs associated with energy, including the costs of maintenance and operation of UMaine's energy and utility infrastructure, which includes district steam heating and electrical distribution.
3. Provide an overall delivered energy cost structure that is predictable and stable into the future.
4. Proposed energy solutions that are robust, safe, and reliable while also providing improvements to the UMaine steam and electrical distribution infrastructure.

Respondents should review Section 2 of this document to see the full Scope of Services/Products required.

### 1.3 Phase II Overview

This is an energy solutions initiative, intended to make award to a single qualified Awardee (selected from those Respondents participating in Phase II) as determined at the University's sole discretion, with whom the University will commence negotiations toward a long-term contract (the "Agreement") for electrical supply, thermal supply, and/or other services as the selected proposal requires.

### 1.4 Phase II Evaluation Criteria

**Scoring Weights:** The score will be based on a 100-point scale and will measure the degree to which each response meets the following criteria.

Submission Requirements	Category	Points
Section 2	Project Concept	50
Section 4.1	Experience	25
Section 4.2	Financial Stability	15
Section 4.3	Maine Economic Impact	10
	<b>Total Points</b>	<b>100</b>

### 1.5 Timeline of Key Events

Event Name	Event Due Date
Mandatory Pre-Proposal Meeting.Location/Method TBD	2017-01-11 1:00-3:30pm UMaine
Deadline for Written Inquiries/Questions	2017-01-25
Response to Written Inquiries/Questions	2017-02-08
Deadline for Proposal Submission	2017-03-08
Estimated Respondent Presentation Date <b>(subject to change)</b>	2017-03-30 and 2017-03-31 Presentation times 2hrs
Award Announcement <b>(subject to change)</b>	2017-04-13
Est. Agreement Execution Date <b>(subject to change)</b>	tbd

# SECTION 2

## 2.0 Phase II Project Scope of Work

This energy solutions solicitation is primarily a supply-side initiative. Any demand-side scope included by the Respondent shall be subordinate and complementary to the supply-side project being offered. UMaine is sensitive to potential disruption and impact to campus operations that may result from the selected project, and will carefully consider any demand-side option. For the purposes of this RFP, the University defines energy and utility "demand-side" work as any work reaching beyond the conceived interconnection between the parties, into the currently owned University energy infrastructure and systems at the Orono campus. Demand-side work would include, but is not limited to, efficiency and conservation measures within the campus steam and electrical distribution system and in campus buildings.

Each Respondent is required to submit a scope of work for a conceptual energy solution, which shall be referred to as a Project Concept. The Project Concept should demonstrate the Respondent's expertise and capabilities in offering a prospective solution that is responsive to the University's goals and needs.

The Project Concept will be evaluated based upon the quality of information conveyed, including the ability of the Respondent to demonstrate to the University's satisfaction the thoroughness and viability of the proposed project.

Each Respondent is limited to a single Project Concept, which may employ a multitude of energy sources and technologies. The Project Concept shall include the following:

1. Energy source or sources to be employed.  
For example: solar, wind, water, natural gas, oil, propane, biomass, etc.
2. Fuel utilization and energy technology to be employed.  
For example: steam boilers, steam turbine generators, combustion turbine generators, photo-voltaic cells, hydro-electric, wind turbines, fuel cells, etc.
3. Project location, with an emphasis on the site as it may impact and relate to the University, including but not limited to the potential for utility interconnections.
4. Layout drawing(s) of the project concept in relation to the UMaine campus.
5. An estimate of the type and amount of energy supply to be provided to the University on an instantaneous basis (peak capacity), as well as on an annual basis.
6. If applicable, an estimate of the type and amount of energy demand reduction to be provided to the University on an instantaneous basis (peak capacity), as well as on an annual basis.
7. Explanation of the expected and/or potential environmental attributes for the project.
8. Estimated project implementation schedule, including engineering, financing, permitting, construction and operational commissioning.
9. Estimated life of the assets.
10. Discuss the feasibility of the project. List and briefly explain the conditions that must be met in order for this project to come to fruition, examples include: financing, regulatory approvals, air emissions permitting/licensing, utility/fuel contracts, other anticipated needs or conditions, such as property lease or

purchase, easements and rights of way, environmental assessments, grants or other financial incentives.

11. University services and ancillary agreements: List and briefly explain anticipated services needed from the University, including utilities, maintenance, transportation access, etc. that may be needed to support the Project Concept.
12. An explanation as to how the offered project concept serves the University and will meet each of the following four goals (also described in Section 1.2):
  - 12.1. Greenhouse Gas Emissions
  - 12.2. Minimize Costs
  - 12.3. Predictable and Stable Costs
  - 12.4. Improve Reliability

# SECTION 3

## 3.0 Response Format Requirements

### 3.1 General Format Instructions

#### 3.1.1 Electronic Submissions

Documents submitted as part of the electronic response are to be prepared on standard electronic formats of 8-1/2" x 11" and of PDF file type. Submissions requiring additional supporting information, such as, foldouts containing charts, spreadsheets, and oversize exhibits are permissible and must be submitted as Appendices, clearly numbered and referencing the Section in which they provide supporting information.

For clarity, the Respondent's name should appear on every document page, including Appendices. Each Appendix must reference the section or subsection number to which it corresponds.

#### 3.1.2 Respondents Responsibility

It is the responsibility of the Respondent to provide all information requested in the document package at the time of submission. Failure to provide information requested in this document may, at the discretion of the University's evaluation review team, result in a lower rating for the incomplete sections and may result in the response being disqualified for consideration. Include any forms provided in the application package or reproduce those forms as closely as possible. All information should be presented in the same order and format as described in this document.

### 3.2 Response Format Instructions

This section contains instructions for Respondents to use in preparing their response. The Respondent's submission must follow the outline used below, including the numbering of section and sub-section headings. Failure to use the outline specified in this section or to respond to all questions and instructions throughout this document may result in the response being disqualified as non-responsive or receiving a reduced score.

The University and its evaluation team for this document have sole discretion to determine whether a variance from the document specifications should result in either disqualification or reduction in scoring of a response.

Re-phrasing of the content provided in this document will, at best, be considered minimally responsive. The University seeks detailed yet succinct responses that demonstrate the Respondent's experience and ability to perform the requirements specified throughout this document.

#### 3.2.1 Section 1 - Response Cover Page

3.2.1.1 Label this response - Section 1 – UMS Response Cover Page

3.2.1.2 Insert Appendix A – University of Maine System Response Cover Page

**3.2.2 Section 2 – Project Concept**

3.2.2.1 Label this response - Section 2 – Project Concept

**3.2.3 Section 3 – Response to Economic Impact**

3.2.3.1 Label this response - Section 3 – Economic Impact Evaluation

3.2.3.2 Insert Appendix B – Economic Impact Evaluation Form



# SECTION 4

## 4.0 Requirements

Respondents shall ensure that all information required herein is submitted with the response. All information provided should be verifiable by documentation requested by the University. Failure to provide all information, inaccuracy or misstatement may be sufficient cause for rejection of the response or rescission of an award.

Responses to each requirement below should be in order and clearly marked with the section number to which they respond.

### 4.1 Organizational Qualifications and Experience

The Project Concept is part of the review of each Respondent, intended to demonstrate each Respondent's expertise and capabilities in offering a prospective solution to the University that is responsive to the University's goals and needs.

- 4.1.1 Experience: The Respondent should illustrate the depth and breadth of its technical expertise as it pertains to the Project Concept. Include the number of team members, the years of experience, and the respective roles of the members. Discuss roles in prior projects, for example: developer, financier, designer, constructor, operator, maintainer, and additionally the Respondent's use of subcontractors to fulfill these roles.
- 4.1.2 Describe Respondent's experience offering same or like energy solution to the Project Concept. The University prefers experience with other higher education customers, or with customers of comparable scale to the University, if available
- 4.1.3 References. Provide names, telephone numbers and email addresses of references who are current or former clients for whom similar work to the Project Concept has been performed within the last seven (7) years and who can be contacted by the University with respect to the Respondent's quality of work, responsibility, timeliness, cost, and efficiency. Letters of reference may be submitted with additional information as appropriate.
- 4.1.4 Please provide a form or template of long-term contract such as a Power Purchase Agreement (PPA) appropriate for the contractual arrangement proposed in the Project Concept.
- 4.1.5 The Respondent should submit at its discretion, other pertinent and meaningful information and qualifications relevant to the Project Concept that:
  - 1. the Respondent believes would provide additional value to the University, including but not limited to experience with demand-side energy efficiency and conservation measures;
  - 2. demonstrate Respondent's strength as a prospective Awardee; and
  - 3. will assist the University in its evaluation.

## 4.2 Financial Stability

4.2.1 To demonstrate the financial viability of the proposed project, Respondents should provide the following information:

- 4.2.1.1 Copies of the Respondent's most recent audited financial statement or annual report for each of the past three years. If audited statements are not available, unaudited statements are to be provided.
- 4.2.1.2 Respondent's credit ratings from Standard & Poor's and Moody's (the senior unsecured long term debt rating if available, or the corporate rating).
- 4.2.1.3 For projects that include new facilities or capital investment, a description of the financing plan for the project, including construction and term financing. Include expected sources of debt and equity financing, projected capital structure and any other financing arrangement.
- 4.2.1.4 For projects that include new facilities or capital investment, documentation illustrating Respondent's experience in securing financing for projects of similar size and technology, including information for each project previously financed: project name and location, project description, date of construction and permanent financing, form of debt and equity financing.
- 4.2.1.5 For projects that include new facilities or capital investment, evidence that the Respondent has the financial resources and financial strength to complete and operate the project as planned.

## 4.3 Maine Economic Impact

4.3.1 Economic Impact

Using the form in **Appendix B** (Economic Impact Evaluation Form), the Respondent (Respondent identified on the "Response Cover Page" of their submission) is required to describe the Respondent's recent and anticipated economic impact upon and within the State of Maine.

The Economic Impact for this RFP will be assigned a score according to a mathematical formula.

Recent Economic Impact: The highest recent economic impact will be awarded **5 points**. Proposals with lower recent economic impact will be awarded proportionately fewer points calculated in comparison with the highest impact.

The Recent Economic Impact scoring formula is:

(Recent Economic Impact proposal being scored / Highest submitted recent Economic Impact proposal) x **5** = pro-rated score

Projected Economic Impact\*: The highest projected economic impact will be awarded **5 points**. Proposals with lower projected economic impact will be

awarded proportionately fewer points calculated in comparison with the highest projected economic impact.

The Projected Economic Impact scoring formula is:

(Projected Economic Impact proposal being scored / Highest submitted projected Economic Impact proposal) x 5 = pro-rated score

*\*Projected Economic Impact is to be based **solely** on the resulting contract should the Respondent be awarded the contract for these services (See **Appendix B** for a more detailed explanation).*

Please note: If the University determines that the Respondent's recent and/or projected economic impact information is deemed to be substantially inaccurate, then the University may determine to not award any points for economic impact to that Respondent for the applicable section(s).

# SECTION 5

## Appendix A – University of Maine System Response Cover Page

### RFP #2016-43 Phase II Energy Solutions

Organization Name:	
Chief Executive – Name/Title:	
Telephone:	
Fax:	
Email:	
Headquarters Street Address:	
Headquarters City/State/Zip:	
Lead Point of Contact for Quote – Name/Title:	
Telephone:	
Fax:	
Email:	
Street Address:	
City/State/Zip:	

1. No personnel currently employed by the University or any other University agency participated, either directly or indirectly, in any activities relating to the preparation of the Respondent's response.
2. No attempt has been made or will be made by the Respondent to induce any other person or firm to submit or not to submit a response.
3. The undersigned is authorized to enter into contractual obligations on behalf of the above-named organization.
4. By submitting a response to a Request for Proposal, bid or other offer to do business with the University your entity understands and agrees that:
  - a. Modification of Agreement terms and conditions is permitted except that the University, due to its public nature, will not :
    - i. Provide any defense, hold harmless or indemnity;
    - ii. Waive any statutory or constitutional immunity;
    - iii. Apply the law of a state other than Maine;
    - iv. Procure types or amounts of insurance beyond those UMS already maintains or waive any rights of subrogation.
    - v. Add any entity as an additional insured to UMS policies of insurance;
    - vi. Pay attorneys' fees, costs, expenses or liquidated damages;
    - vii. Promise confidentiality in a manner contrary to Maine's Freedom of Access Act;
    - viii. Permit an entity to change unilaterally any term or condition once the contract is signed; or
    - ix. Agree to automatic renewals for term(s) greater than month-to-month.
  - b. Your entity agrees that the resulting Agreement will be the entire agreement between the University (including University's employees and other End Users) and Respondent and in the event that the Respondent requires terms of use agreements or other agreements, policies or understanding, whether on an order form, invoice, website, electronic, click-through, verbal or in writing, with University's employees or other End Users, such agreements shall be null, void and without effect, and the terms of the Agreement shall apply.
  - c. Your entity will identify at the time of submission which, if any, portion or your submitted materials are entitled to "trade secret" exemption from disclosure under Maine's Freedom of Access Act; that failure to so identify will authorize UMS to conclude that no portions are so exempt; and that your entity will defend, indemnify and hold harmless UMS in any and all legal actions that seek to compel UMS to disclose under Maine's Freedom of Access Act some or

all of your submitted materials and/or contract, if any, executed between UMS and your entity.

*To the best of my knowledge all information provided in the enclosed response, both programmatic and financial, is complete and accurate at the time of submission.*

Date: \_\_\_\_\_

---

Name and Title (Printed)

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Authorized Signature

## **Appendix B - Maine Economic Impact**

**Respondent's Organization Name:** \_\_\_\_\_

## Instructions

Each Respondent will complete the tables below to quantify the Respondent's economic impact upon and within the State of Maine.

For the purposes of this RFP, the term "economic impact" shall be defined as the "Economic Impact Factors" listed in the table below. To complete the "economic impact" section of the Respondent's response, the Respondent shall provide the information requested, describing the Respondent's **overall** recent economic impact with the State of Maine and, separately, the projected economic impact with the State of Maine that would **specifically result from the awarded contract only**, should the Respondent be selected.

**Table D1** - Recent Economic Impact (Respondent's overall Economic Impact over the past 24-month period)

Economic Impact Factors	Factors Expressed in Dollars
Salaries paid to Maine residents in past 24-month period	\$
Payments made to Maine-based subcontractors in past 24-month period	\$
Payments of State and local taxes in Maine within past 24-month period	\$
Payments of State licensing fees in Maine within past 24-month period	\$
<b>Total <u>Overall</u> Recent Economic Impact</b>	<b>\$</b>

**Table D2** - Projected Economic Impact (Future 24-month economic impact resulting from the awarded contract)

Economic Impact Factors	Factors Expressed in Dollars
Salaries to be paid to Maine residents in future 24-month period as a result of the awarded contract	\$
Payments made to Maine-based subcontractors in future 24-month period as a result of the awarded contract	\$
Payments of State and local taxes in Maine within future 24-month period as a result of the awarded contract	\$
Payments of State licensing fees in Maine within future 24-month period as a result of the awarded contract	\$
<b>Total Projected Economic Impact <u>Only</u> from Awarded Contract, If Selected</b>	<b>\$</b>

For the tables above, the following definitions are provided:

- "Respondent": Organization identified on the Proposal Cover Page under "Respondent's Organization Name".
- "Maine resident": Any person whose primary residence is located within the State of Maine.
- "Maine-based": Any organization whose primary operations are located within the State of Maine.

- “Past 24-month period”: The past 24-months, starting on the date that the RFP was publicly released.
- “Future 24-month period”: A projection for the future 24-month period, starting upon the “Estimated Agreement Execution Date”.

**Certification Statement**

*To the best of my knowledge, all information provided in the Economic Impact Evaluation Form is complete and accurate at the time of submission and I confirm that I am authorized to make such a determination on behalf of my organization.*

Date: \_\_\_\_\_

\_\_\_\_\_  
Name and Title (Printed)

\_\_\_\_\_  
Authorized Signature

## Appendix C – Debarment, Performance and Non-Collusion Certification

**University of Maine System**  
**DEBARMENT, PERFORMANCE and NON-COLLUSION**  
**CERTIFICATION**  
**RFP #2016-43**  
**Phase II Energy Solutions**

By signing this document, I certify to the best of my knowledge and belief that the aforementioned organization, its principals and any subcontractors named in this proposal:

- a. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from bidding or working on contracts issued by any governmental agency.
- b. Have not within three years of submitting the proposal for this contract been convicted of or had a civil judgment rendered against them for:
  - i. Fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government transaction or contract.
  - ii. Violating Federal or State antitrust statutes or committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - iii. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
  - iv. Have not within a three (3) year period preceding this proposal had one or more federal, state or local government transactions terminated for cause or default.
- c. Have not entered into a prior understanding, agreement, or connection with any corporation, firm, or person submitting a response for the same materials, supplies, equipment, or services and this proposal is in all respects fair and without collusion or fraud. The above mentioned entities understand and agree that collusive bidding is a violation of state and federal law and can result in fines, prison sentences, and civil damage awards.

**Failure to provide this certification may result in the disqualification of the Respondent's proposal, at the University's discretion.**

Date: \_\_\_\_\_

\_\_\_\_\_  
Name and Title (Printed)

\_\_\_\_\_  
Authorized Signature