



UNIVERSITY OF NORTH ALABAMA

**REQUEST FOR PROPOSAL ON QUALIFICATIONS
FOR A CAMPUS WIDE ENERGY SERVICES PROGRAM**

RFP2017-23

JUNE 12, 2017

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I. PURPOSE OF SOLICITATION

The intent of this Request for Proposal on Qualifications (RFP/Q) is to solicit qualification proposals from Energy Services Companies (ESCOs). For the purpose of this RFP/Q, "ESCO" refers to any company that is qualified to provide a turnkey energy conservation program that includes all services listed in this RFP/Q. Responses to this RFP/Q shall describe the ESCO's capability to identify the need for, design, install, maintain, monitor, and arrange the financing of a large-scale, comprehensive energy-conservation program that includes the services listed herein. The UNIVERSITY OF NORTH ALABAMA intends to select an ESCO and award contract(s) to perform cost-effective energy conservation retrofits.

Please note that responses to this RFP/Q must be received on **June 30th, 2017** at the address below. One (1) paper copy and one (1) electronic copy of the response must be sealed and delivered to:

(If via any postal service)

University of North Alabama
Purchasing Department - RFP 2017-23
UNA M/S 5025
One Harrison Plaza
Florence, AL 35632-0001

(If hand carry)

University of North Alabama
Purchasing Department - RFP2017-23
Bibb Graves Hall, Room 126
One Harrison Plaza
Florence, AL 35632-0001

Re: Proposal on Qualifications for a Comprehensive Energy Conservation Services Program
ATTN: Mr. Michael B. Gautney, Assistant Vice President, Facilities Administration and Planning

The UNIVERSITY OF NORTH ALABAMA reserves the right to reject any and all responses resulting from this RFP/Q. Late responses will not be accepted and will be returned to the submitting company unopened. **THE UNIVERSITY OF NORTH ALABAMA is not responsible for any cost incurred by any person or firm responding to this RFP/Q.**

The UNIVERSITY OF NORTH ALABAMA reserves the right to reject as non-responsive any proposals that do not contain the information requested in Section VII and Appendix A of this RFP/Q. Additionally, THE UNIVERSITY OF NORTH ALABAMA reserves the right to reject as non-responsive any proposals which are not organized and formatted as described in this RFP/Q.

All questions about this RFP/ Q and submission requirements must be directed in writing to Mr. Michael Gautney. **Prospective respondents must limit their contact regarding this RFP/Q to Mr. Michael B. Gautney, Assistant Vice President, Facilities Administration and Planning.** Communications by Firms, its agents, employees, and/or representatives with any employee, agent, or representative of the UNIVERSITY OF NORTH ALABAMA, other than Mr. Michael Gautney, regarding its proposal or intention to submit a proposal in response to this RFP/Q will be considered inappropriate communications.

If any such inappropriate communications are deemed to hinder, influence and/or alter the competitive proposal process, the UNIVERSITY OF NORTH ALABAMA, in an effort to ensure a fair and equitable review and selection process, **reserves the right to decline consideration of the offender's sealed proposal.**

Mr. Michael B. Gautney, Assistant Vice President, Facilities Administration and Planning
Email: mbgautney@una.edu

All questions will be answered by email to all bidders.

Environmental Impact

Your actions do make a difference! By submitting only one paper copy of your proposal response, you make the following contributions to the environment:



Waste

5.7 lbs of
solid waste
not generated



Tree

6% of a tree
preserved



Water Conservation

46.78 gallons
of waste water
avoided



Lighting

97036.73 BTUs
of energy not
consumed



Greenhouse Gas

14.23 lbs of
greenhouse gas
prevented

Healthy forests filter water, remove air pollution, sequester carbon and provide homes for wildlife. To plant a tree in return for your paper usage, go to <http://www.americanforest.org/>.

**Calculations are for one 500 page (maximum?) proposal response printed on regular paper. It does not include binders and dividers.*

II. BACKGROUND

The UNIVERSITY OF NORTH ALABAMA proposes to address all gas, electric, water, and utility uses in all of its facilities for this conservation program. Additionally, The UNIVERSITY OF NORTH ALABAMA intends to upgrade outdated and obsolete building equipment and perform property improvements through the program.

The UNIVERSITY OF NORTH ALABAMA anticipates a major reduction in annual operational costs through the implementation of this energy conservation program. The ESCO will provide a written guarantee of all utility reduction and provide all financing for the project. The contract life of the program is expected not to exceed 20 years according to Alabama State Statute. The UNIVERSITY OF NORTH ALABAMA intends to structure the program's implementation schedule in a manner to minimize the programs financed capital needs.

Respondents to this Request for Qualifications (RFP/Q) shall identify their experience and qualification to design, install and manage a major energy conservation project that involve energy conservation measure (ECM) retrofits which address the following building components and applications: lighting, space heating, ventilation, air-conditioning, envelope, heat recovery, energy management systems, environmental system controls, motors, domestic water heating, fuel switching, air distribution systems, water consumption systems, and other dollar savings opportunities.

III. SERVICES REQUESTED

For this RFP/Q, The UNIVERSITY OF NORTH ALABAMA is interested in Energy Services Companies for the identification, engineering, design, installation, training, maintenance and financing of approved ECMs for all of its facilities. The UNIVERSITY OF NORTH ALABAMA has the option to contract all or some of the services listed above. A project could entail a phased approach on the UNA campus.

If the UNIVERSITY OF NORTH ALABAMA contracts project financing through the ESCO, payment for the contracted services will be indexed to measure reductions in annual energy costs or consumption and will not begin until after the project is operational and generating savings. Financing shall be structured so that annual payments never exceed annual savings. Services will be required to provide the financing in such a manner as to ensure that all costs are paid from only the utility and operational savings associated with the energy conservation program. The ESCO must make available a program that guarantees the energy savings of the energy conservation services financed. The ESCO's demonstrated ability to provide this guarantee will be an evaluation criteria.

It is expected that, as a minimum, the following energy conservation techniques will be investigated on an individual basis or in combination with other techniques and implemented, if deemed cost effective by the UNIVERSITY OF NORTH ALABAMA and the ESCO:

- Energy management control system
- Large-scale lighting control
- Individual room lighting control (motion sensors)
- Optical reflectors for LED light fixtures
- Fluorescent lamp and ballast replacement to LED
- Incandescent to LED lighting conversion
- Conversion to LED
- Motion sensor control
- Day lighting control
- Exit sign conversion
- Other lighting modifications
- Air conditioning unit replacement
- Chiller replacement
- Chiller optimization and control
- Economizer control
- Thermal storage for heating and cooling
- Environmental system control replacement
- Heating, ventilating and air conditioning system modifications
- Air handler replacement
- Variable speed/frequency drives
- Air compressor replacement/upgrade
- Fuel conversion
- Boiler/burner replacement
- Boiler heat recovery
- Boiler combustion controls
- Building envelope improvements
- Steam system modifications
- Domestic hot and cold water systems
- Air management systems
- Kitchen appliance conversion to gas
- High efficiency motors
- Motor down-sizing

- IT system upgrades
- Campus communications upgrades
- Renewable energy systems
- Building envelope improvements
- Water system improvements
- Energy conservation awareness training

Any other ECMs proposed by the ESCO will also be considered. All ECMs considered shall be proven, commercially available and result in verifiable energy savings.

All equipment provided by the ESCO for this program shall have a history of successful operating experience in similar installations and shall be in new and unused condition. This equipment shall be state-of-the-art with readily available replacement parts. All equipment used for this program shall be approved by the UNIVERSITY OF NORTH ALABAMA prior to installation.

IV. SELECTION PROCESS

Proposal Evaluation

Interested ESCOs responding to this RFP/Q with a proposal must provide the information required to complete the forms included in Appendix A. The UNIVERSITY OF NORTH ALABAMA will evaluate submittals and choose the most highly qualified ESCO.

Engineering Proposal

Upon completion of the proposal evaluation, The UNIVERSITY OF NORTH ALABAMA and the ESCO will design a Letter of Agreement which, when approved by the UNIVERSITY OF NORTH ALABAMA, will allow the ESCO to proceed with the energy analysis, feasibility study, conceptual engineering design and permitting plan for an energy conservation program.

Upon acceptance of the Letter of Agreement by the University, the UNIVERSITY OF NORTH ALABAMA and the ESCO will sign the agreement, thereby requiring the ESCO to proceed. If during this phase, it is determined that the program options identified by the ESCO do not fall within mutually agreed upon acceptable financing requirements and project scope, the Letter of Agreement will be terminated with no financial liability to the UNIVERSITY OF NORTH ALABAMA. Shall it be determined that the project's feasibility is within the agreed-upon financing parameters and project scope and the UNIVERSITY OF NORTH ALABAMA terminates the Letter of Agreement for any reason, then the UNIVERSITY OF NORTH ALABAMA agrees to compensate the ESCO a mutually-agreed upon amount for the engineering design and permitting effort incurred through termination. That amount will be stated in the Letter of Agreement.

Negotiating and Signing of Contract

Upon the determination that the project is feasible and acceptable to the UNIVERSITY OF NORTH ALABAMA, an Energy Services Agreement (ESA) will be drawn up between the UNIVERSITY OF NORTH ALABAMA and the ESCO. All engineering, design and permitting cost incurred by the ESCO under the Letter of Agreement will be incorporated into the ESA. Upon acceptance of the ESA by the University, the ESA will be signed and the program will commence. It is anticipated that the ESA will be presented to the University on or before December 2017.

V. SCHEDULE OF EVENTS

The following time frame is expected to be followed during the procurement period of this RFP/Q:

June 12th, 2017	Release of RFP/Q
June 30th, 2017	Proposal received – 2:00 PM
July 5-12, 2017	On-campus Interview (If needed)
July 14th, 2017	Vendor selected
August 4th, 2017	Letter of Agreement approved by University

This is a tentative schedule, and dates are subject to change.

Please note that responses to this RFP/Q must be received on **June 30th, 2017, by 2:00 PM** at the address below. One (1) hard copy and one (1) electronic copy of the response must be sealed and delivered to:

(If via any postal service)	(If hand carry)
University of North Alabama	University of North Alabama
Purchasing Department - RFP 2017-23	Purchasing Department - RFP2017-23
UNA M/S 5025	Bibb Graves Hall, Room 126
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The UNIVERSITY OF NORTH ALABAMA reserves the right to reject, as non-responsive, any proposal that does not contain the information requested in Section VII of this RFP/Q and on the forms contained in Appendix A. Additionally, The UNIVERSITY OF NORTH ALABAMA reserves the right to reject, as non-responsive, any proposals which are not organized and formatted as described in this RFP/Q.

CERTIFICATION PURSUANT TO ACT NO. 2006-557

Alabama law (section 41-4-116, code of Alabama 1975) provides that every bid submitted and contract executed shall contain a certification that the vendor, contractor, and all of its affiliates that make sales for delivery into Alabama or leases for use in Alabama are registered, collecting, and remitting Alabama state and local sales, use, and/or lease tax on all taxable sales and leases in Alabama. **By submitting a response to this solicitation, the bidder is hereby certifying that they are in full compliance with Act No. 2006-557;** they are not barred from bidding or entering into a contract pursuant to 41-4-116, and acknowledges that The University of North Alabama may declare the contract void if the certification is false.

DISCLOSURE STATEMENT

1. If you or any owner, officer, partner, board or director member, employee, or holder of more than 5% of the fair market value of your firm or any member of their households is an employee of The University of North Alabama, this information must be included in your solicitation response. Failure to disclose this information in your response may result in the elimination of your proposal from evaluation.
2. If you or any owner, officer, partner, board or director member, employee, or holder of more than 5% of the fair market value of your firm or any member of their households is an employee of The University of North Alabama; and you or your firm is awarded a contract as a result of this solicitation, then within ten (10) days after the contract is entered into, you agree to file a copy of that contract with the State of Alabama Ethics Commission in accordance with Code of Alabama, Section 36-25-11 and upon request by the University furnish evidence of such filing.
3. By accepting payments agreed to in any purchase order resulting from this bid, Contractor certifies that to its knowledge no University employee or official, and no family members of a University employee or official, will receive a benefit from these payments, except as has been previously disclosed, in writing, to the University on the Disclosure Statement of Relationship Between Contractors/Grantees and Employees/Officials of The University of North Alabama.

VI. SELECTION CRITERIA

UNIVERSITY OF NORTH ALABAMA
VENDOR CERTIFICATION
PURSUANT TO ACT NO 2012-491 & ACT2014-044

ALABAMA LAW (SECTION 31-13-9 , CODE OF ALABAMA 1975: By signing a contract resulting from this proposal, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the state of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

ALABAMA LAW SECTION 16-25-26C , CODE OF ALABAMA 1975; Legislation requiring the University of North Alabama to report to Retirement Systems of Alabama individuals paid for personal services who are currently receiving benefits from TRSA or ESA became effective October 1, 2013. No minimum level of compensation was defined. **Any individual receiving direct or indirect compensation from this contract who is a retiree receiving benefits from the State of Alabama Retirement System MUST NOTIFY UNA of this status along with Bid/RFP Submission.**

Bidder hereby certifies full compliance with Act No. 2012-491 & Act No. 2014-044:

Date: _____

Company: _____

Authorizing Signature: _____

Printed Name: _____

Title: _____

State of _____

County of _____

Qualification of all business entities that respond to this solicitation, including any subcontractors to be used, will be evaluated using the following selection criteria. (Percentage weighting among categories of selection criteria is noted.)

Business and Financial Qualifications (20% maximum)

- Business unit dedicated to providing guaranteed energy savings programs.
- Business unit dedicated to ensuring project performance
- Years in business
- Affiliation with energy and/or business organizations (including ISO certification and EPA or DOE affiliations)
- Demonstrable ability to bond savings through a third party surety
- Financial viability of entity proposed to provide technical and financial guarantees
- Financing capability and lines of credit

ESCO will provide financial statements including income statement, balance sheets and statements of changes for three (3) most recently completed fiscal years.

The ESCOs will provide information documenting the source(s) of proposed financing.

Personnel Qualifications (20% maximum)

Quality of personnel assigned to this project and degree of pertinent experience. All personnel must have experience implementing energy projects in Alabama and understand the rules, procedures, and codes that are upheld by the Alabama Building Commission and local approval authorities.

Project Management Plan (20% maximum)

- Comprehensiveness and rationale of project management plan, based on:
 - Approach to project management, including staffing and contractor-oversight
 - Ability to successfully complete projects on time and to customer satisfaction.
- Method employed to establish baseline energy use in individual buildings and facility-wide
- Method of measurement and verification used to demonstrate energy use reduction and cost savings as guaranteed – M&V methods must be approved by the International Performance Measurement and Verification Protocol (IPMVP)

Prior Project Performance (40% maximum)

- Experience with energy conservation projects in Alabama that are similar to that proposed for the UNIVERSITY OF NORTH ALABAMA.
- Experience taking responsibility for the full range of roles contemplated for this project (e.g. identification and analysis of ECMs, design, installation, operation, training, financing, savings verification, etc.)
- Performance on prior projects, including data on projecting, achieving, documenting, and verifying energy savings in order to ascertain accuracy of projections
- References from prior and current customers.
- All Alabama Projects under Alabama Building Commission Authority submitted as references must have the final project comment letter of approval from the Alabama Building Commission. Any project that has not gone through appropriate building approvals will not be considered.

VII. RESPONSE FORMAT AND COMMENTS

The responses to this Request for Proposal on Qualifications will consist of ten (10) specific information subject areas which must be completed and returned in the order indicated below with each section divided and tabbed with the appropriate section title. Additional forms (as detailed below) are provided in Appendix A. For areas that do not require a form, the ESCO shall provide specific information directly addressing the information requested in that section. The UNIVERSITY OF NORTH ALABAMA may, during the course of the evaluation process, request additional information to supplement and/or clarify the information provided by any ESCO. Any additional information not specifically requested in this RFP/Q must be put in a separate Appendix at the end of the response. Additionally, all supplemental materials (brochures, product information sheets, etc.) not specifically tailored to this response must be placed in the Appendix. Responses must be paginated, with page numbers appearing in the lower right hand corner of each page and must include a table of contents.

Section 1: Cover Letter

The ESCO's proposal will include a cover letter at the beginning of the proposal. The cover letter shall provide a summary of the information presented in the proposal, names and telephone and email of persons authorized to provide any clarification required, and a statement accepting the terms of this solicitation or noting specific exceptions taken to any of the terms and conditions specified in this document. This cover letter shall also include the name of the person(s) authorized to conduct final contract negotiations on behalf of the ESCO.

Section 2: Introduction

Table of Contents

The ESCO's proposal should include a Table of Contents referencing each information section of this RFP/Q. The Table of Contents should be further subdivided to describe information included within each section of the proposal.

Executive Summary

The ESCO will provide an Executive Summary highlighting the ESCO's unique qualifications and capabilities for this project.

Statement of Responsibility

The respondent must be the Prime Contractor. The Prime Contractor will be responsible for all work and subcontractors involved in the project. The Prime Contractor will submit a list of all participants in the project prior to the actual contract negotiations. If some or all of the participants are not known at this stage, a selection strategy shall be identified noting which participants have not been selected. A statement of responsibility must be provided, using **FORM B** in the Appendix.

Section 3: Personnel

Each ESCO will attach a Project Staffing Plan, as shown in **FORM C** in the Appendix. The proposed plan will include a description of proposed staffing showing the project organization, supervisory responsibilities and lines of authority. Identify the corporate affiliation for each staff member listed in the Project Staffing Plan. Attach resumes of all individuals who will have a role in the project.

Provide a graphical representation (organizational chart) of the participants listed in the ESCO's proposal and their responsibilities in the program. The chart is to be used to show the company and personnel responsible for each phase of the project, lines of authority, and relationships between prime contractor and subcontractors.

Section 4: Project Management

Describe respondent's approach to project management, including: coordination with subcontractors, division of responsibility among project staff, and interaction with the UNIVERSITY OF NORTH ALABAMA representatives. Include a sample of any contracts and/or agreements between the respondent and subcontractor(s) that would be used in this project in an appendix. Please list office locations in the State of Alabama that will be used to manage this project.

Section 5: Energy Savings

Provide a textual and numerical description of the normal method used to establish baseline energy use in individual buildings and facility-wide. Describe the method used to justify variances between the baseline consumption and actual annual consumption. Variances between baseline energy consumption/cost and actual energy consumption/cost can be attributed to changes in the unit price of energy, rate schedules, weather, occupancy, building utilization and building size, to name a few. Describe and justify the methods used in measurement and verification of project savings.

Include a sample guarantee contract in the Appendix to this response. Failure to include a sample contract will be viewed as unresponsive.

Respondents must show calculations and formulas in this section **and** document where those calculations are to be found in the sample contract.

Respondents must show examples of savings reports that outline monthly energy savings.

Section 6: References

Provide information on at least 8 performance contracts, in Alabama, similar to the project proposed for the UNIVERSITY OF NORTH ALABAMA that the respondent has successfully implemented within the last ten years.

References shall include:

- Customer Name
- Name and Telephone Number of Contact
- Brief Description of the Project
- Project Beginning and Ending Dates
- Specific ECMs installed
- Project Cost and Savings
- Method of Measurement & Verification (M&V) for guaranteed savings
 - Most recent project dollar savings report
- Final Project Comment Letter from the Alabama Building Commission if reference is under ABC jurisdiction.

Section 7: Equipment & Training

The ESCO shall describe any relationships with manufacturers of energy equipment, including those manufactured by the respondent or listed subcontractors. The ESCO should also demonstrate willingness to propose and ability to work with different makes of equipment should such equipment prove to be the optimal choice for the UNIVERSITY OF NORTH ALABAMA.

The ESCO shall outline any training proposed as part of the project, including the subject, duration, and location of training. Respondent shall also describe the relationship with the organization providing training, if not provided by the prime contractor.

Respondent shall describe any customer support programs provided in the project. The ESCO shall detail the availability, duration, and services provided through the customer support

program, if applicable. If the ESCO proposes a maintenance program, information must be provided detailing services provided and terms of contract, if any. The ESCO should also provide the justification for any proposed customer support or maintenance program.

Section 8: Project Non-Performance

Provide a complete list of all projects that in the last 15 years:

Have canceled or non-appropriated a performance contract with the respondent (list reason); or

Have past or pending lawsuits or litigation regarding a performance contract with a customer (list reasons); or

Have been reimbursed for non-performance on guaranteed savings.

Have past "out of court" settlements regarding a performance contract (list reasons).

In addition to litigation, please provide a complete list of all projects nationwide where there was either a criminal indictment or a conviction relating to the conduct of a performance contract. This includes officers and representatives of the company, as well as public officials connected with the project.

If any of the above does not apply, provide an acknowledgment letter stating each that does not apply, signed by an officer of the respondent company. (Please include title of company officer). Failure to provide accurate and complete information as requested is grounds for disqualification.

Section 9: Financial Information

The ESCO shall include the company's annual report, audited financial statements or equivalent showing information for the past three (3) complete financial year periods. If a bound document (such as an annual report) is included, it must be placed in the response's Appendix section.

ESCOs shall also provide information documenting source(s) and levels of financing (e.g. a letter from a financial institution describing a relationship with the ESCO and indicating the magnitude of the line credit, copies of limited partnership agreements, a statement of public holdings, etc.). The ESCO shall also describe in detail how they intend to secure the annual savings project guarantee. The UNIVERSITY OF NORTH ALABAMA may, during the course of the evaluation process, request additional financial information to supplement and clarify the information provided in this response.

Section 10: Value Added Services

The ESCO may choose to include explanations of value added services that help serve their clients to meet the established mission and vision of said projects.

APPENDIX A: PROPOSAL FORMS

FORM A: PROPOSAL CHECKLIST AND OUTLINE

Section 1: Cover Letter

Section 2: Introduction

- ☐ Proposal Table of Contents
- ☐ Executive Summary
- ☐ Statement of Responsibility

Section 3: Personnel

- ☐ Project Staffing Plan
- ☐ Project Personnel Resumes
- ☐ Project Team Organizational Chart

Section 4: Project Management

Section 5: Energy Savings

- ☐ Baseline and Energy Calculations
- ☐ Sample Guarantee Contract

Section 6: References

Section 7: Equipment and Training

- ☐ Relationship with Manufacturers
- ☐ Training
- ☐ Customer Support

Section 8: Project Non-Performance

Section 9: Financial Information

Section 10: Value Added Services

- ☐ Appendix

FORM B: STATEMENT OF RESPONSIBILIITY

Prime Contractor (ESCO or Contractor);

Name: _____

Address _____

(Please note possession of any license or registration pertinent to this project.)

Area of Responsibility: (Describe in detail duties and responsibilities applicable to this project.)

FORM C: PROJECT STAFFING PLAN

RESPONDENT:

AREA OF RESPONSIBILITY	NAME	AFFILIATION
OVERALL PROJECT MANAGEMENT		
BUILDING AUDITING		
BASELINE ENERGY USE DEVELOPMENT		
ECM EVALUATION:		
LIGHTING		
HVAC		
EMS		
OTHER		
ECM SAVINGS VERIFICATION		
ENERGY USAGE MONITORING		
ENERGY EVALUATION		
FINANCING		
ANNUAL SAVINGS GUARANTEE		
FINANCIAL AFFILIATION		
SUBCONTRACTORS		