

**New York Department of State, Division of Consumer Protection,  
Utility Intervention Unit  
REQUEST FOR QUOTATION (“RFQ”) #16-UIU-07**

**GENERAL INFORMATION**

The New York Department of State (“DOS”), Consumer Protection Division, Utility Intervention Unit (“UIU”), through this competitive Request for Quotation (“RFQ”), is seeking a Consultant experienced in investor-owned public utility regulatory ratemaking, to assist the UIU in analyzing and commenting on rate design and revenue allocation aspects of the Consolidated Edison of New York, Inc. (“Con Edison” or “the Company”) electric rate case (16-E-0060) filed with the New York Department of Public Service (“DPS”) on January 29, 2016. The UIU’s foremost objective in this case is ensuring the protection of New York residential and small commercial consumers’ interests. Successful bidders will need to review the Company’s electric case in preparation for submitting a Proposal Package. Strategy proposed as part of the Proposal Package Work Plan will also be considered as part of the award process.

The Consultant should have a minimum of ten (10) years of experience testifying on public utility rate case matters. The Consultant must also be able to coordinate and incorporate recommendations from multiple witnesses testifying on behalf of consumers’ groups, small commercial consumers, and others in order to build advocacy consensus around the Company’s electric rate case.

Submissions responsive to this RFQ must include a completed Proposal Package, including a Work Plan and completed Quotation Sheets, the forms for which are attached. The content required for each document is described below. The failure of the Consultant to provide any of the required documents may result in rejection of the Consultant’s submission from consideration for this RFQ.

**SCOPE OF WORK**

The Consultant will agree to review a select number of the Company’s electric panels, witness testimony, and/or exhibits, and will submit to the UIU its own independent analysis and review of the appropriateness of the Company’s claims therein. For the purposes of this RFQ, the panels and witnesses of interest to the UIU include at a minimum: (1) Electric Rate Panel and (2) Policy Panel (Electric). Based on this analysis, the Consultant will, as necessary,

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prepare written initial and rebuttal testimony and exhibits. The Consultant may also be required to participate in settlement negotiations pertaining to the Company’s electric revenue allocation and rate design proposals (including regulatory and policy related issues that impact rate design such as the Advanced Metering Infrastructure and Brooklyn Queens Project mentioned in the Policy Panel). The Consultant is expected to focus on the primary drivers that effect electric delivery rates (including tariff modifications) and bill impacts to residential consumers and small commercial consumers.

The Consultant will be expected to monitor the Company’s rate case activities and activities of other parties, and prepare filing responses as necessary. In addition, the Consultant is expected to prepare written information requests to the Company, New York State Department of Public Service (“DPS”) Staff, and other party members during the course of the rate cases as well as answer relevant information requests directed to the UIU. This Consultant will also be expected to consider other parties’ interests and develop responsive strategies to counter other parties’ positions concerning cost of service and relevant issues that are inconsistent with the public interest or UIU goals. The Consultant should be prepared to devote sufficient resources to meet all procedural schedules, timelines, or deadlines directed by the UIU Director, DPS Administrative Law Judges (“ALJs”), or the New York Public Service Commission (“PSC”).

**PROPOSAL PACKAGE**

The Proposal Package must include the following sections, as described below: (1) Consultant Background; (2) Scope of Work; and (3) Quotation Sheets.

1. The Consultant Background must include the following items. The combined length of items (a) and (b) may be no more than ten (10) pages, and the length of item (c) may be no more than eight (8) pages.
  - a. A description of the Consultant’s background and expertise in investor-owned public utility rate cases. This should demonstrate the Consultant’s general understanding of the Company’s electric rate case with an with an

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emphasis on specific drivers that carry the highest potential impact on delivery rates, particularly rate increases to residential consumers and small commercial customers.

- b. The Consultant and the individual(s) who would be assigned to work on the Company’s rate cases, including their name(s), position(s), function(s), and role(s). Include resumes listing total years of experience with public utility case work.
- c. As a separate attachment to the Proposal, please provide a three (3) year listing of the Consultant’s utility rate case work. In this list, please demonstrate whether and how the Consultant met each client’s needs and expectations in each rate case. This list must also highlight and explain any instances where the client’s needs and/or expectations, and the Consultant’s work on the client’s behalf, may have been in tension with the UIU’s primary objective of protecting residential and small commercial consumers. In this section, also identify any past or ongoing proceedings or matters that could potentially represent a conflict of interest that may affect the Consultant’s ability to work with the UIU on the Company’s rate cases. Please also include the names and phone numbers of three (3) references from this list of past clients who the UIU Director can contact for feedback regarding the Consultant’s performance and final work products.

2. Work Plan

The Consultant will submit a Work Plan that describes the work products to be produced for each of the following Tasks: (1) initial and rebuttal testimony, including discovery as necessary; (2) settlement negotiations; and (3) writing and review of documents (i.e., joint proposal, statements of support/opposition, briefs, etc.). The Work Plan will cover the contract. The Work Plan may be no more than 5 pages in length.

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The Work Plan should provide a description, with a reasonable level of detail, of how the Consultant will evaluate the degree to which the Company’s AMI proposal and handling of REV related issues benefits consumers, with a particular emphasis on residential and small business consumers. The Work Plan should identify the Company’s panels, expert witness testimony, and/or exhibits deemed necessary to develop its work products. It should also provide clearly delineated assumptions associated with the Company’s electric rates case as relevant to the UIU’s scope of work.

**3. Quotation Sheets**

For each Task identified in Section 2 (“Work Plan”) above, submit a Quotation Sheet that describes the Consultant’s estimated (1) number of work hours multiplied by the Consultant’s contract rate; (2) optional Per Diem rates, though they are not anticipated by the UIU; and (3) total cost for that Task. The Quotation Sheets will include the individuals to be assigned, the hourly rate and total cost of each individual, and a Total Cost per the Quotation Sheet per task. Hours listed are estimates for bidding purposes only, and the actual distribution of work hours among individuals is subject to discussions between the UIU and the Consultant; however, the Total Cost per the Quotation Sheet is final. In the event of the need for an on-site expert or rebuttal testimony (though such need is not anticipated), the costs of transportation (including air or ground, as necessary), lodging (including meals), and any Per Diem rates should be shown separately on the Quotation Sheet.

The State of New York’s Per Diem rates can be found at <http://osc.state.ny.us/agencies/travel/travel.htm>. Quotation Sheets can be found attached to this RFQ.

**STANDARDS OF PERFORMANCE OF CONTRACTED SERVICES**

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The Consultant will be expected to produce work products that are a direct result of its coordination and collaboration with UIU Staff. The Consultant’s work products as specified in the Work Plan are to be completed in a timely manner. As stated under the Scope of Work and reiterated again here, the Consultant should be prepared to devote resources sufficient to meet any procedural schedules, timelines, or deadlines as directed by either the UIU Director, the DPS Administrative Law Judge, DPS Staff, and/or the New York Public Service Commission. The UIU Director will monitor the progress and results of the Consultant’s work products through direct communications with the Consultant.

Monitoring by the UIU Director will include the following performance standards:

1. Project management effectiveness, including planning and timeliness of work products.
2. Thoroughness of issue identification, development, and recommendations, including the accuracy of analyses and associated supporting evidence.
3. Thoroughness and persuasiveness of written and oral communications to the UIU Director and Staff.

**QUANTITATIVE FACTOR FOR NEW YORK STATE CERTIFIED MINORITY  
AND WOMEN-OWNED BUSINESS ENTERPRISES**

Pursuant to New York State (“NYS”) Finance Law section 163(1)(j), a quantitative factor for certified Minority or Women-owned Business Enterprises (“MWBEs”), as defined in subdivision 1 section 310 of the NYS Executive Law, will be included in the total evaluation scale. A percentage of the total evaluation scale will be awarded to a responsive Consultant who is listed as an MWBE firm in the directory of NYS Certified MWBEs (“Directory”) or who enters into a partnership with a certified MWBE firm found in the Directory in response to this RFQ. The Directory can be found at:

<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp?TN=ny&XID=6158>.

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**PUBLIC DISCLOSURE**

The Consultant may not make media releases (written or oral) or other public disclosures related to this RFQ or the work to be performed without receiving prior written consent from the UIU Director.

**TERMINATION**

The UIU Director reserves the right to terminate the contract with the Consultant for any or no cause upon fifteen (15) calendar days’ written notice. In the event of termination other than as a result of default by the Consultant, the UIU shall make payment for the services rendered prior to the effective date of termination, provided the UIU Director has received proper and accurate invoices for those services rendered.

**TYPE OF CONTRACT**

Payment to the Consultant under a contract executed as a result of this RFQ will be based upon the hours actually worked by each individual based on authorized itemized expenses. Payments will be made for each individual at the quoted, contracted rate for that individual. Total payments to the Consultant shall be limited to the Total Cost per the Quotation Sheets.

**INCURRING COSTS**

Any Consultant shall bear all costs she incurs prior to the receipt of a fully executed contract, including costs associated with preparing the Consultant’s response to this RFQ.

**REJECTION OR MODIFICATION OF PROPOSALS**

The UIU Director may also undertake negotiations regarding Total Cost, assigned staff, and/or other matters with any Consultants that submit Proposals. Such negotiations may be entered into separately with competing Consultants prior to final selection. Except for modifications made during such negotiations, every Proposal represents a firm offer not revocable for a period of 60 days from the bid opening

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**ISSUING PARTY AND CONTRACT EXECUTION**

The UIU is the issuing party for this RFQ. The UIU Director will make the final selection of the Consultant based on the highest scoring bid. The Total Cost per the Quotation Sheet of each Proposal will receive significant weight, but will not be the sole determining factor in the selection process. Factors for selection include qualifications of staff (15 points), costs (10 points), demonstrated approach in the Work Plan (10 points), positions in past testimony (5 points), quality of proposal (5 points), and MWBE certification or teaming (5 points). At this time, the UIU anticipates to make a final selection of a Consultant no later than April 1, 2016. Within five (5) business days of selection, the UIU and the Consultant will execute a contract setting forth each party’s responsibilities. This contract will incorporate this RFQ, the Consultant’s Proposal, Quotation Sheet, and referenced attachment(s). The Consultant must be prepared to start work immediately upon contract execution.

Upon entering a contract with the UIU, you will be required to provide a current Workers Compensation Form and Disability Certification Form, or Exemption from Worker’s Compensation and Disability Form. **The New York State Department of State must be listed as certification holder in box 2 on the forms.** The only acceptable forms, which are listed below, and are to be obtained by contacting your insurance carrier, are:

- Workers Compensation Form - C-105.2 or SI-12 or U-26.3
- Disability Form - DB-120.1 or DB-155
- Exemption from Workers Compensation & Disability - CE-200

Please note that **ACORD** Forms are **NOT** acceptable proof of insurance coverages.

The successful bidder will also be required to complete and submit the following forms:

- Consultant Disclosure
- Procurement Lobbying

If awarded a contract, you will be provided with the above mentioned forms to complete and submit with your contract package.

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**RESPONSE DATE AND CONTACT INFORMATION**

Submissions are due no later than March 25, 2016 at 4:00 p.m. Submissions received after this time will not be considered. Please submit Proposal Packages and all associated required documents to Erin Hogan, UIU Director via email, with a read receipt request and “RFQ: 16-UIU-07” in the subject line, to [erin.hogan@dos.ny.gov](mailto:erin.hogan@dos.ny.gov); and submit three (3) physical copies to the address below.

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**Erin Hogan  
NYS Department of State  
Utility Intervention Unit  
One Commerce Plaza  
99 Washington Avenue, Suite 640  
Albany, NY 12231**

Please direct any questions regarding this RFQ to Erin Hogan, UIU Director at [erin.hogan@dos.ny.gov](mailto:erin.hogan@dos.ny.gov), and include “RFQ: 16-UIU-07” in the subject line.



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<b>Utility Intervention Unit Task 1 - Initial and Rebuttal Testimony Quotation Sheet</b>						
<b><u>Function</u></b>	<b><u>Total Hours</u></b>	<b><u>Hourly Rate</u></b>	<b><u>A Hours x Rate (\$)</u></b>	<b><u>B Optional: NYS Per Diem Transportation Rate (\$)<sup>1</sup></u></b>	<b><u>C Optional: NYS Per Diem On- Site Rate (\$)</u></b>	<b><u>Total Cost (A+B+C) (\$)</u></b>
<b>Consultant</b>						
<b>Analyst</b>						
<b>Support</b>						
<b>Task Total</b>						

<sup>1</sup> <http://osc.state.ny.us/agencies/travel/travel.htm>.

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<b>Utility Intervention Unit Task 2 – Settlement Negotiations Quotation Sheet</b>						
<b><u>Function</u></b>	<b><u>Total Hours</u></b>	<b><u>Hourly Rate</u></b>	<b><u>A Hours x Rate (\$)</u></b>	<b><u>B Optional: NYS Per Diem Transportation Rate (\$)²</u></b>	<b><u>C Optional: NYS Per Diem On- Site Rate (\$)</u></b>	<b><u>Total Cost (A+B+C) (\$)</u></b>
<b>Consultant</b>						
<b>Analyst</b>						
<b>Support</b>						
<b>Task Total</b>						

<sup>2</sup> <http://osc.state.ny.us/agencies/travel/travel.htm>.

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<b>Utility Intervention Unit Task 3 – Writing and Review of Documents Quotation Sheet</b>						
<b><u>Function</u></b>	<b><u>Total Hours</u></b>	<b><u>Hourly Rate</u></b>	<b><u>A</u> <u>Hours x</u> <u>Rate (\$)</u></b>	<b><u>B</u> <u>Optional: NYS</u> <u>Per Diem</u> <u>Transportation</u> <u>Rate (\$)³</u></b>	<b><u>C</u> <u>Optional:</u> <u>NYS Per</u> <u>Diem On-</u> <u>Site Rate</u> <u>(\$)</u></b>	<b><u>Total</u> <u>Cost</u> <u>(A+B+C)</u> <u>(\$)</u></b>
<b>Consultant</b>						
<b>Analyst</b>						
<b>Support</b>						
<b>Task Total</b>						

<sup>3</sup> <http://osc.state.ny.us/agencies/travel/travel.htm>.

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**Vendor Information**

**Name:**

\_\_\_\_\_

**Address:**

\_\_\_\_\_

**Phone Number:**

\_\_\_\_\_

**Email Address:**

\_\_\_\_\_

**Vendor Contact (if different from Vendor Information)**

**Name:**

\_\_\_\_\_

**Address:**

\_\_\_\_\_

**Phone Number:** \_\_\_\_\_ **Cell:**

\_\_\_\_\_

**Email Address:**

\_\_\_\_\_

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**Appendix  
Reservation of Rights**

In addition to all rights described in the elsewhere in the Request for Quotations, the New York State Department of State (“DOS”) reserves, without limitation, the rights to:

1. Reject any or all proposals received in response to the RFQ;
2. Withdraw the RFQ at any time, at the DOS’s sole discretion;
3. Make an award under the RFQ in whole or in part;
4. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFQ;
5. Seek clarifications and revisions of proposals;
6. Use proposal information obtained through site visits; management interviews; the State’s investigation of a bidder’s qualifications, experience, ability or financial standing; and/or any material or information submitted by the bidder in response to the agency’s request(s) for clarifying information; in the course of evaluation and/or selection under the RFQ;
7. Prior to the bid opening, amend the RFQ specifications to correct errors or oversights, or to supply additional information as it becomes available;
8. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFQ amendments;
9. Change any of the scheduled dates;
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders;
11. Waive any requirements that are not material;
12. Negotiate with the successful bidder within the scope of the RFQ in the best interests of the state;
13. If unsuccessful in negotiating a State contract with the selected applicant within an acceptable time frame, the DOS may begin State contract negotiations with the next ranked qualified applicant(s) in order to serve and realize the best interests of the State;
14. Utilize any and all ideas submitted in the proposals received;
15. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete

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understanding of a bidder’s proposal and/or to determine a bidder’s compliance with the requirements of the solicitation;

16. Waive or modify minor irregularities (such as typographical errors) in applications received;
17. Not fund an application that fails to submit a clear and concise Work Plan or budget;
18. Adjust or correct cost figures with the concurrence of the applicant if errors exist and can be documented to the satisfaction of the DOS and State Comptroller;
19. Award more than one contract resulting from this RFQ;
20. In its sole discretion, determine the total number of awards to be granted pursuant to this RFQ; and
21. In the event that a Work Plan submitted following award during contract negotiations is substantially different from the application submitted through the procurement process, DOS reserves the right to require modifications to the Work Plan to bring it into conformance with the application. If no such modifications are made and approved within a reasonable time period, DOS may rescind the award and make funding available to the next highest scoring application.