



**Regional Greenhouse Gas Initiative, Inc.  
Request for Proposals #18-01  
RGGI Auction Services Contractor**

**June 18, 2018**

**PROPOSAL DUE DATE: July 23, 2018, 5:00 p.m. Eastern Daylight Time**

The Regional Greenhouse Gas Initiative (RGGI) is a cooperative effort among the states of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New York, Rhode Island, and Vermont (Participating States) to cap and reduce power sector carbon dioxide emissions, and is the first mandatory, market-based CO<sub>2</sub> emissions reduction program in the United States. The RGGI program has the potential to expand if additional states with comparable programs choose to participate. The Regional Greenhouse Gas Initiative, Inc. (RGGI, Inc.) is a 501(c)(3) non-profit corporation created to provide technical and administrative services to the Participating States in the development and implementation of RGGI.

RGGI, Inc. now seeks responses to this Request for Proposals (RFP), and intends to competitively select and contract with a firm to act as the RGGI Auction Services Contractor (hereinafter, Contractor) for the RGGI quarterly CO<sub>2</sub> allowance auctions on behalf of the Participating States. At a minimum, the Contractor will be required to provide:

- **Pre-auction Services**, including assistance in the creation of detailed auction procedures, notices, and qualification applications, the development and testing of auction software, the training of market participants, and the collection, management, and review of participant applications and financial security;
- **Auction Implementation Services**, including the administration of each auction, the development and implementation of auction monitoring protocols, and the collection of audit quality data for each auction; and
- **Post-auction Services**, including the settlement of all financial transactions between participants, the validation of auction results, and the posting of appropriate auction results.

More details about these required services are described within this document.

RGGI, Inc. anticipates entering into an agreement with the Contractor on the dates listed in Section IV of this RFP, or such later dates as determined by RGGI, Inc. and the Participating States. Those interested in submitting proposals (hereinafter, Submitters) should read this document carefully.

Responses to this RFP (hereinafter, Proposal) must be received by RGGI, Inc. no later than **5:00 p.m. Eastern Daylight Time on July 23, 2018**. A late Proposal will not be considered. A Proposal that is conditional, incomplete, or containing any alterations of form or other irregularities of any kind will not be considered. Specific submission instructions are described within this document.



## **I. INTRODUCTION**

RGGI is a cooperative effort among the states of Connecticut, Delaware, Maine, Maryland, Massachusetts, New Hampshire, New York, Rhode Island, and Vermont to cap and reduce power sector carbon dioxide emissions, and is the first mandatory, market-based CO<sub>2</sub> emissions reduction program in the United States. The RGGI program has the potential to expand if additional states with comparable programs choose to participate. RGGI, Inc. is a 501(c)(3) non-profit corporation created to provide technical and administrative services to the Participating States in the development and implementation of RGGI.

RGGI is composed of individual CO<sub>2</sub> Budget Trading Programs in each Participating State. Through these independent regulations, based on a Model Rule, each Participating State limits emissions of CO<sub>2</sub> from certain electric power plants, issues CO<sub>2</sub> allowances, and establishes participation in regional CO<sub>2</sub> allowance auctions.

A regulated power plant must hold CO<sub>2</sub> allowances at least equal to its emissions to demonstrate compliance at the end of each three-year control period. The fourth control period began on January 1, 2018 and extends through December 31, 2020. The vast majority of CO<sub>2</sub> allowances issued by the Participating States are distributed through quarterly regional CO<sub>2</sub> allowance auctions. The first RGGI CO<sub>2</sub> allowance auction was held in September 2008, and to date forty auctions have been held. Additional information about the auctions, including auction results, is available on the RGGI, Inc. website: <https://rggi.org/auctions/about-auctions>.

## **II. OBJECTIVE**

Through this RFP, RGGI, Inc. intends to competitively select and contract with a Contractor to implement and administer quarterly RGGI CO<sub>2</sub> allowance auctions on behalf of the Participating States. This includes pre-auction services, auction implementation services, and post-auction services. RGGI, Inc. anticipates entering into an agreement with the Contractor no later than December 31, 2018. The target date for the first live auction under this contract is June 6, 2019; however, the Contractor will be expected to conduct an auction preparation and shadowing process during the first auction cycle of 2019 beginning with the drafting and release of the Auction Notice in January 2019.

Upon selection, the Contractor will work with the RGGI, Inc. Market Monitor (Market Monitor) and the RGGI CO<sub>2</sub> Allowance Tracking System (RGGI COATS) contractor. The Market Monitor provides independent expert monitoring of the competitive performance and efficiency of the RGGI CO<sub>2</sub> Allowance Market. RGGI COATS is the electronic platform that records and tracks data for each state's CO<sub>2</sub> Budget Trading Program.



### III. TERM

It is expected that the term of the agreement with the Contractor will be twenty-four months and thereafter, upon mutual agreement, may be extended for up to two additional 12-month terms.

### IV. RFP SCHEDULE

The dates listed below are subject to change. Any changes will be posted at the RGGI, Inc. website: <https://rggi.org/>.

**Table 1: RFP Schedule**

EVENT	DATE
RFP Release	Monday, June 18, 2018
Notice of Intent to Submit form Due	Monday, July 2, 2018, 5:00 p.m. EDT
Submitters Conference Call	Wednesday, July 11, 2018
Proposal Submission Due	Monday, July 23, 2018, 5:00 p.m. EDT
Notification of Award (if any)	October 2018
Contract Execution	November-December 2018
Auction Preparation/Shadow Process	January-March 2019
First Live Auction Notice Release	April 2019
First Live Auction (under this contract)	June 2019

A Submitters Conference Call will be held to provide interested firms an opportunity to seek clarification of the requirements of this RFP, to the extent practicable. To participate in the Submitters Conference Call, a potential Submitter must provide RGGI, Inc. with a completed Notice of Intent to Submit form (Attachment A to this RFP) by no later than July 2, 2018, 5:00 p.m. Eastern Daylight Time. Conference call information will be provided by email to the designated contact listed on the Notice of Intent to Submit form as received by RGGI, Inc.

All communications about the RFP solicitation process and schedule, as well as the Notice of Intent to Submit form, should be directed to the following:

RGGI, Inc. c/o Mark Havel  
Email: [mark.havel@rggi.org](mailto:mark.havel@rggi.org)  
Phone: (212) 417-4062; Fax: (212) 417-4034



## **V. BACKGROUND**

Following a comprehensive 2012 Program Review, the Participating States implemented a 2014 RGGI CO<sub>2</sub> cap of 91 million short tons, with future reductions of 2.5 percent each year from 2015 to 2020. In 2016-2017, the Participating States conducted a second Program Review to evaluate the effectiveness of the program, and to consider adjustments to the cap stringency and program elements for the post-2020 period pursuant to the RGGI Model Rule. Further information about the 2016-2017 Program Review and updated RGGI Model Rule can be found here: <https://rggi.org/program-overview-and-design/program-review>

The RGGI CO<sub>2</sub> cap represents a regional budget for CO<sub>2</sub> emissions from the power sector. States sell nearly all emissions allowances through auctions, and invest proceeds in energy efficiency, renewable energy, and other consumer benefit programs. More details about RGGI can be found at: <https://rggi.org/>.

Any party may participate in the RGGI CO<sub>2</sub> allowance auctions, provided they meet qualification requirements, including provision of financial security. An Auction Notice for each auction is released approximately 57 calendar days before the date of the auction on the RGGI auction website: <https://rggi.org/auctions/auction-materials>. The Auction Notice provides the auction date and time, categories of eligible bidders, requirements for qualification, the quantity of CO<sub>2</sub> allowances to be auctioned, and information and procedures for participation. It is recommended that all Submitters review the latest Auction Materials including the Auction Notice, Qualification Application, Intent to Bid, and Frequently Asked Questions document.

In addition to conducting each live auction, the Contractor, in consultation with RGGI, Inc., will assist in the pre-auction review and post-auction approval processes of the Participating States.

Following the approval of an auction's outcome by the Participating States, and upon payment in full by each successful bidder, the Contractor will coordinate with RGGI, Inc. to transfer allowances from the applicable allowance accounts of the Participating States to the applicable RGGI COATS accounts held by successful bidders.

## **VI. SCOPE OF SERVICES**

The Contractor will work under the direction of the RGGI, Inc. Executive Director and RGGI, Inc. Director of Program Implementation. The Contractor will conduct ongoing auction implementation services which include auction preparation, administration, and support, as well as quarterly and annual assessment and reporting on the performance of the auction services.



The Contractor will be required to work with the Market Monitor and the RGGI COATS contractor. The Market Monitor provides independent expert monitoring of the competitive performance and efficiency of the RGGI CO<sub>2</sub> Allowance Market.

Proposals for auction services should accommodate the auction rules of the Participating States and, potentially, the additional states of Virginia (which has proposed CO<sub>2</sub> Budget Trading Program rules which describe the use of a consignment process beginning in 2020) and New Jersey (which has proposed CO<sub>2</sub> Budget Trading Program rules which contemplate participating in the RGGI auctions as early as 2019), as well as the implementation of all existing and proposed program elements relevant to the auction process, including, but not limited to, the Cost Containment Reserve (CCR) and, post-2020, an Emissions Containment Reserve (ECR) pursuant to the updated RGGI Model Rule.

Submitters are also encouraged to describe and be prepared to utilize efficient, innovative, and secure auction platform features including, but not limited to:

- An online auction participant application and information submittal process with data-type and numeric-limited fields that are integrated into an auction platform database;
- Read-only access to the auction platform database by RGGI, Inc. and the Market Monitor including the capability for statistical analysis within and across auctions;
- Allowance for two logins to the auction platform by an auction participant's primary and secondary authorized account representatives, including provisions for shared bidder accounts.

## A. Pre-auction Services

**Consultation:** The Contractor will provide general consultation to RGGI, Inc. on auction design elements and implementation. This may include consultation on auction procedures and auction rules. The Contractor will participate in webinars and group calls with the Participating States in order to facilitate the approval of auction documents, including auction qualification applications, intent to bid documents, remedial actions, financial security, and approval of auction results.

**Notices:** Each year, in collaboration with RGGI, Inc., the Contractor will be responsible for developing a quarterly auction schedule. The Contractor will then work with RGGI, Inc. to update and release the Auction Documents for each auction. Auction Documents include the Auction Notice, Qualification Application, Intent to Bid, and Frequently Asked Questions. The Auction Documents describe the auction format, the amount and allocation year of the allowances to be auctioned, the auction schedule, financial security requirements, qualification procedures, and all applicable participation requirements and other documents necessary for the auction process.

**Training and Response to Questions:** The Contractor will be required to prepare for, host, and facilitate at least one prospective bidders conference call and two interactive platform training sessions prior to each quarterly auction. During these trainings and



throughout the quarterly auction cycle, the Contractor, in collaboration with RGGI, Inc., will respond to email, telephone, and/or online questions submitted by applicants and prospective bidders.

**Bidder Qualification:** Under the direction of RGGI, Inc. the Contractor will manage the application process, including receiving and reviewing each qualification application and intent to bid to determine the completeness and accuracy of the information submitted. The Contractor will also provide for an application re-submission process to remediate errors or omissions and to receive additional information as required by the states. The Contractor will be responsible for notifying bidders of their qualification status, and maintaining a database of all qualified bidders. The Contractor will also be responsible for developing and presenting a summary presentation on the applications received to the Participating States in order to facilitate their approval process.

**Financial Security:** The Contractor will collect, monitor, and report on all auction financial security payments, including ACH cash wires deposited to the RGGI, Inc. account, as well as letters of credit and bonds submitted directly to the Contractor on behalf of RGGI, Inc. and the Participating States.

**Auction Platform Documentation:** The Contractor will create and distribute auction platform materials including bidder instructions, auction procedures, and troubleshooting guidance documents, and will directly distribute user passwords to qualified bidders in advance of the live auction.

## **B. Auction Implementation Services**

**Uniform Price, Sealed Bid Auction:** The Contractor will provide and administer a secure online auction platform capable of accommodating a single-round sealed-bid auction in which bidders may submit multiple bids at different prices, and where the price paid by all awarded bidders will be uniform. The auction platform must be able to support the use of a CCR and, post-2020, an ECR.

**Bid Tracking and Bid Limitations:** The online auction platform must be capable of managing bid limitations based on specifications provided by RGGI, Inc., such as the percentage of allowances offered for which an auction participant may bid, and a set minimum reserve price below which bids will not be accepted. The platform must be capable of tracking bidding activity, and must provide for audit level documentation of such activity, in accordance with auction monitoring protocols. The Contractor will monitor the auction along with the Market Monitor. The Contractor will respond to bidders during the auction and seek to resolve any login or other platform issues. Once the auction clearing price has been made public, the Contractor will notify winning bidders to check their awarded allowances.

## **C. Post-auction Services**

**Auction Certification:** The Participating States will certify the outcome of each auction. The Contractor will: (1) work with the Market Monitor to verify the results of the auction



including any potential redress; (2) provide the Participating States with appropriate information about auction results; and (3) work with RGGI, Inc. to use auction experience to continuously improve subsequent auctions.

Both the Contractor and the Market Monitor will provide opinions to the Participating States as to the integrity of each auction and the auction results. The Contractor will develop presentation materials in coordination with the Market Monitor to facilitate the states' review and approval of the auction.

**Financial Settlement:** After an auction is conducted, the Contractor will produce documents detailing the return of unused financial security, the distribution of proceeds to the Participating States, and the settlement of awards to the successful bidders. The Contractor will solicit winning bidders who posted bonds or letters of credit to optionally provide RGGI, Inc. with cash ACH wires to settle their obligations and/or the Contractor will develop the necessary documentation to draw on the bonds or letters of credit.

**Account Tracking and Reporting:** Utilizing read-only account access to the RGGI, Inc. financial management system, the Contractor will track and report on the receipt of ACH deposits as funds are received to settle an auction. Following the receipt of all bidder obligations, the Contractor will report on the distribution of proceeds to the Participating States.

**Allowance Settlement:** Following the receipt and settlement of all auction bidder obligations, the Contractor and RGGI, Inc. will transfer the corresponding CO<sub>2</sub> allowances from the Participating States' COATS auction allowance accounts to the successful bidders' accounts. Each winning bidder's award will be comprised of allowances from each of the Participating States in approximately the same ratio as in the total allowances offered at the auction.

#### **D. Management of Confidential Information**

The Contractor will develop, subject to approval from RGGI, Inc., a protocol for the management of confidential auction information, as well as protocols to ensure the integrity of the auction and the auction platform.

#### **E. Reports**

The Contractor will provide a series of reports to RGGI, Inc. on platform performance and the Contractor's activities.

**Security Certification:** The Contractor will certify that it continues to meet or exceed security standards. The certification memo will include, but is not limited to, documentation of ongoing security practices implemented during an auction year and a summary of quarterly auction platform performance.

**Quarterly Reports:** The Contractor will provide quarterly reports to RGGI, Inc. which identify and detail all issues and resolutions undertaken by the Contractor during the



previous quarter, and discuss other steps or opportunities which might be undertaken to improve or mitigate any issues going forward.

## **VII. PROPOSAL SUBMISSION INSTRUCTIONS**

### **A. Notice of Intent to Submit & Submitters Conference Call**

To participate in the Submitters Conference Call, a potential Submitter must provide RGGI, Inc. with a completed Notice of Intent to Submit form (Attachment A to this RFP) by no later than 5 p.m. Eastern Daylight Time on July 2, 2018. The Attachment A may be submitted via email in PDF format. Call-in information and the time of the call will be provided to the designated contact listed on the Notice of Intent to Submit form at least one day prior to the call.

### **B. Proposal Submission**

To be considered for the Contractor contract, Submitters must submit one (1) completed Proposal in PDF format to the email address below.

Regional Greenhouse Gas Initiative, Inc. (RGGI, Inc.)  
Attn: Mark Havel

[mark.havel@rggi.org](mailto:mark.havel@rggi.org)

**The PDF of a Proposal must be received by RGGI, Inc. at the email address listed above, no later than 5 p.m. Eastern Daylight Time on July 23, 2018.**

Acknowledgement of the receipt of a Proposal will be provided to the email address found on the cover letter. A Proposal that has not been received in PDF format by 5 p.m. Eastern Daylight Time on July 23, 2018 by RGGI, Inc. will be considered to be late. A late Proposal will not be considered. A Proposal that is conditional, incomplete, or containing any alterations of form or other irregularities of any kind will not be considered.

RGGI, Inc. may modify the RFP at any time prior to the specified submission date by issuing an addendum, which will be posted to the RGGI, Inc. website.

## **VIII. PROPOSAL REQUIREMENTS**

The Proposal must contain the components, information, and documents outlined below.

### **A. Proposal Submission Requirements**





All responses submitted as part of this RFP solicitation process become the property of RGGI, Inc. Submitters will not be reimbursed by RGGI, Inc. for any costs associated with the preparation of their Proposal. A Proposal must be double-sided. A page is considered one side of an 8-1/2" x 11" sheet of paper. The font size shall not be smaller than 11 point.

Each Proposal must be organized in clear, distinguishable sections and shall contain the following:

## **1. Cover Letter (1 page)**

Submitters shall submit a cover letter on company letterhead that references RFP #18-01. The cover letter must contain the name, address, phone number, and email address of the principal representative of the Submitter. The cover letter should summarize the Submitter's ability to perform the required scope of services. The cover letter must be signed by a representative possessing the authority to enter into a contract with RGGI, Inc. Submitters are permitted to propose the use of subcontractors if such an arrangement would offer complementary expertise and experience in providing the services required. Should subcontracting arrangements be proposed, a similar cover letter from each subcontractor must also be submitted. Letters from subcontractors must be attached to the Proposal and must meet the same requirements as the Submitter's cover letter.

## **2. Table of Contents (1 page)**

## **3. Body of Proposal**

The body of the Proposal must include the following sections.

### **Section A. Overall Experience and Capabilities (3-5 pages)**

Identify and describe the company or organization that will be the primary contractor under this RFP. Identify any subcontractors. Submitters must describe their expertise and ability as a team/firm to deliver the required services. This should include the aggregate number of years working in this area and a brief summary of at least two and no more than four similar projects. The project descriptions should specify the level of involvement of the proposing firm, the approach used to conduct the services, the objectives of the project, the deliverables provided, and the relative success of the project in achieving the objectives. For at least two of the projects mentioned, Submitters must include customer contact names and phone numbers as the references in Section VIII.3.C below.

### **Section B. Personnel and Qualifications (1-2 pages)**

List and describe any personnel, teams, and subcontractors. Clearly identify the project manager and each individual's role in providing the required services. Describe past relationships with team members and subcontractors. Include an organizational chart, if



necessary. Describe the accomplishments, experiences, and expertise of the individuals comprising the Submitter's proposed team relevant to this RFP. Submitters will not be permitted to change or substitute key members of the project team without prior written approval of RGGI, Inc.

### **Section C. References (1-2 pages)**

Provide at least two and no more than three examples of similar work performed for clients within the last three years by using the References Form (Attachment B to this RFP).

### **Section D. Technical Proposal (up to 15 pages)**

Describe your approach for providing the pre-auction, auction implementation, and post-auction services required in this RFP. Provide a work plan with specific tasks that the Submitter's proposed team will undertake to achieve these services, and the associated timeline (in weeks) for these tasks. In describing each task, indicate who will perform it (e.g., primary contractor, subcontractor, etc.), how it will be performed, and anticipated results. Describe the work to be performed under each task in clear, concise, action-oriented sentences. Use the following phrase to start each sentence: "(Insert name of Submitter's firm or subcontractor) shall..."; and clearly indicate the scope of work to be performed. Submitters must also identify any and all deliverables for each task.

Describe the software and hardware platform that will be employed. Should modifications to an existing platform be required, describe the base system and the proposed modifications. Provide a description of the functions, user interface and access capabilities, reporting capabilities, security features, auditing and documentation features, and other relevant functions. Provide the maximum number of users and bidders that the platform can accommodate. Provide screen shots if necessary. Describe how adaptable the proposed auction platform's capabilities are should it become necessary to accommodate changes to the auction format.

Elaborate on the Submitter's specific approach for dealing with any pre-auction, auction implementation, or post-auction services or tasks that may not have been mentioned above.

### **Section E. Cost Proposal**

Payment will be made as a flat fee for services rendered. Cost proposals must be organized and presented as not-to-exceed costs for:

- The auction preparation/shadow process
- Each live auction

For the auction preparation/shadow process and for each live auction, cost proposals must be broken down and presented in line-item fashion for each component (software

and materials, etc.). Cost proposals should include any fees for managing auction financial security payments and related accounts.

### **Section F. Appendices**

As Appendix A to the Proposal, include a one- to two-page résumé for each individual listed in the body of the Proposal per Section VIII.3.B above.

As Appendix B to the Proposal, provide a copy of the Submitter's standard service agreement.

## **IX. PAYMENT**

For the initial auction preparation/shadow process, the Contractor will be paid 100% of its cost proposal within 30 days after RGGI, Inc.'s approval and acceptance of all final auction notices, prequalification application documents, auction participation documents, and successful testing of the auction platform in the March 2019 auction.

For all subsequent live auctions, the Contractor will be paid 100% of its cost proposal for each respective live auction within 30 days of the completion of the auction.

## **X. EVALUATION OF PROPOSALS**

### **A. Administrative Evaluation**

Proposals will be evaluated for completeness and to ensure the Proposals and Submitters meet the minimum requirements of the RFP. Specifically, each Proposal will be reviewed to ensure:

- The Proposal and all materials were received by the date and time specified in the RFP;
- The Proposal contains all required documents; and
- The Proposal meets the format requirements specified.

In addition to the items above, the Proposal must be compliant with solicitation requirements without material deviation from the terms and conditions of the proposed contract. A Proposal that would materially change the terms and conditions of the contract will be considered as non-responsive.

Each Submitter will also be reviewed to evaluate whether the Submitter is qualified based on the Submitter's experience, facilities, reputation, financial resources, and other factors that may affect the Submitter's ability to carry out the scope of services at the time the contract is awarded. If a Submitter is found not to be qualified, the Proposal will be rejected. As a part of this process, as necessary, RGGI, Inc. may require a Submitter to provide additional information regarding its qualifications.



## **B. Technical Evaluation**

A Technical Evaluation Panel (TEP) will review and score each Proposal. The TEP will consist of representatives of RGGI, Inc., and representatives from the Participating States. A final ranking will be determined based on the scores and analyses developed by the TEP. The TEP will evaluate Proposals by utilizing a point system based on the following criteria:

- Demonstration of an understanding of the scope of services required in this RFP as presented in the technical proposal;
- Demonstration of experience and capability in providing the services required;
- Quality and relevance of previous work as evidenced by sample projects and references;
- Reasonableness of the cost proposal;
- Qualifications and expertise of the personnel/team;
- Clear identification of staff that will be assigned to various tasks under the scope of services; and
- Other programmatic and management factors deemed appropriate by the TEP.

RGGI, Inc. may request further information from any Submitter or request an interview as a part of the evaluation process.

## **XI. GENERAL CONDITIONS**

**Conflicts:** The proposing firm, its principals, subcontractors, and any personnel of the firm or subcontractors must be free from any financial or similar interest in any product or service which may conflict with or appear to conflict with the objectivity of the services to be provided to RGGI, Inc. Please describe all product, manufacturer, or service-related affiliations. If any affiliations exist, the Submitter must provide a statement verifying that the affiliations do not and will not conflict with or appear to conflict with the Submitter's ability to provide objective services to RGGI, Inc. Non-disclosure of any affiliation may result in rejection of the Proposal, or in the termination of a contract, if awarded.

**Contract Award:** A final decision on the award of a contract will be made by RGGI, Inc. RGGI, Inc. anticipates making a single award under this solicitation. It may award a contract based on an initial Proposal without discussion, or following limited discussion or negotiations. The final scope of services and work plan as defined in the technical proposal shall be adopted into a contract between RGGI, Inc. and the Contractor.

**Limitation:** This solicitation does not commit RGGI, Inc. to award a contract, pay any costs incurred in preparing a Proposal, or to procure or contract for services or supplies. RGGI, Inc. reserves the right to accept or reject any or all Proposals received, to negotiate with any or all qualified sources, or to cancel in part or in its entirety the solicitation when it is in RGGI, Inc.'s best interest.



**Disclosure Requirement:** The Submitter shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a Submitter is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of RGGI, Inc. after the award of a contract, RGGI, Inc. may exercise its stop-work right pending further investigation, or terminate the agreement; the Contractor may be subject to penalties for violation of any law which may apply in the particular circumstances.

Each Submitter must also disclose whether it has ever been disbarred or suspended by any agency of the U.S. Government or by any jurisdiction within the Participating States.

## **XII. ATTACHMENTS**

Attachment A – Notice of Intent to Submit Form

Attachment B – References Form



**ATTACHMENT A – NOTICE OF INTENT TO SUBMIT**  
**Request for Proposals #18-01 – RGGI, Inc.**  
**Auction Services**

To ensure access to the Submitters Conference Call, this form must be returned to RGGI, Inc. no later than 5:00 p.m. Eastern Daylight Time on July 2, 2018.

Submit forms via fax, email, or mail to:

Regional Greenhouse Gas Initiative, Inc. (RGGI, Inc.)  
Attn: Mark Havel  
90 Church Street, 4<sup>th</sup> Floor  
New York, NY 10007  
Phone: (212) 417-4062  
Fax: (212) 417-4034  
Email: [mark.havel@rggi.org](mailto:mark.havel@rggi.org)

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

Company Name: \_\_\_\_\_

Contact Person: \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_



**ATTACHMENT B – References Form**  
**Request for Proposals #18-01 – RGGI, Inc.**  
**Auction Services**

Each Proposal must include at least two and no more than three references for work conducted in the past five years related to the goals and objectives outlined in this RFP. Submission of this attachment is required for a Proposal to be considered complete.

<b>Reference 1 (Required)</b>	
Name of Company/Organization:	
Year(s) of Services Provided:	
Street Address: (Including City, State, and Zip Code)	
Name of Contact Person:	
Phone Number of Contact Person:	
Email Address of Contact Person:	
Cost of Service(s):	
Brief Description of Services Provided:	
<b>Reference 2 (Required)</b>	
Name of Company/Organization:	
Year(s) of Services Provided:	
Street Address: (Including City, State, and Zip Code)	
Name of Contact Person:	
Phone Number of Contact Person:	
Email Address of Contact Person:	
Cost of Service(s):	
Brief Description of Services Provided:	



<b>Reference 3 (Optional)</b>	
Name of Company/Organization:	
Year(s) of Services Provided:	
Street Address: (Including City, State, and Zip Code)	
Name of Contact Person:	
Phone Number of Contact Person:	
Email Address of Contact Person:	
Cost of Service(s):	
Brief Description of Services Provided:	