

Cleantech Commercialization Toolkit

Request for Proposals (RFP) 2573

Up to \$ 300,000 Available

Proposals Due: Thursday January 23rd, by 5:00 PM Eastern Time

Program Summary

This RFP seeks proposals for the development of a comprehensive self-guided program, called the Cleantech Commercialization Toolkit. The toolkit will define the steps necessary for successful technology development and commercialization; will provide the resources, templates, and instructions necessary for cleantech companies to build the capabilities needed for commercialization; and will allow for progress tracking and document sharing through an interactive website that will be developed as part of this effort. The objectives of the toolkit are to help cleantech companies assess the state and maturity of their business, the business potential for their innovations, to identify and assess the intended market, build internal capabilities to protect the technology and prepare it for launch, and manage the product once commercialized.

Proposals

Respondents to this program will submit proposals that describe their plan for the development, launch, and management of the toolkit. Proposers are required to demonstrate their existing capabilities or plan to add capabilities as it relates to the commercialization process and ability to organize and execute a program development effort. The overall effort will require experience and capabilities across a wide range of disciplines, so proposals that include teaming arrangements are acceptable and encouraged.

Funding

One round is scheduled for the RFP and the total available funding is \$300,000. One award will be made and the effort will be divided into three phases; development of the commercialization framework; development of the toolkit materials; and development, launch, and management of the website. The resulting contract will be a 3-year engagement and will cover all three phases of the effort. Go/No-Go decisions will be rendered at the completion of the toolkit prior to the launch and during the subsequent management effort.

Eligibility

All entities that are qualified to accomplish the objectives described within this RFP are eligible to apply.

Proposal Submission

Proposers must submit one signed copy of the proposal with a completed and signed Proposal Checklist attached and a CD or DVD which contains both a PDF format and MS Word digital copy of the proposal. Proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, PON 2573
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Bryan Berry at (518) 862-1090, ext. 3537 or bbp@nyserda.ny.gov or Jeff Peterson at (518) 862-1090 ext. 3288 or jmp@nyserda.ny.gov. If you have

contractual questions concerning this solicitation, contact [Venice](#) Forbes at (518) 862-1090 ext. 3507 or vwf@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Bryan Berry at (518) 862-1090 ext. 3537, email bbp@nyserda.ny.gov or Jeff Peterson at (518) 862-1090 ext. 3288 or jmp@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

Informational Webinar

NYSERDA will conduct an information webinar to be held on **December 19th, 1-3 pm EST**. NYSERDA staff will describe the RFP and answer questions relating to program applicability, selection criteria, and any other appropriate topics. Prior registration for the webinar conference is available, but not required. Participants can join up to 30 minutes beforehand. Instructions to participate are as follows:

Step 1 - JOIN THE WEBINAR TO VIEW PRESENTATION SLIDES AND SUBMIT QUESTIONS

From a web browser go to <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?t=a&d=668448039>

Enter your name, email and the event password **2573**.

When the meeting session launches, you will see a popup window with the call-in information. Please note your unique Attendee ID.

Step 2 - JOIN TO THE AUDIO CONFERENCE

Dial 1-415-655-0001

Enter access code 660 421 727

Enter your unique Attendee ID (displayed when you logged in) to link your phone and internet presence.

1.0 Introduction

The New York State Energy Research and Development Authority (NYSERDA) is a public benefit corporation established by the New York State Legislature in 1975. Its mandate is to use innovation and technology to solve some of New York's most difficult energy and environmental problems in ways that improve the State's economy. NYSERDA does so through research and development programs and consumer-oriented efforts.

NYSERDA's Innovation and Business Development group (IBD), part of the authority's Research and Development unit, seeks to facilitate the growth of a vibrant cleantech sector in New York State. The group does this by administering programs and providing resources to assist early stage New York based cleantech companies to build the essential business infrastructure around cleantech innovations.

Through this RFP, NYSERDA's IBD group seeks to help New York State companies build the capabilities necessary to successfully commercialize cleantech and environmentally preferred innovations by developing a comprehensive self-guided educational program called the Cleantech Commercialization Toolkit. The intent of this RFP and the resulting toolkit will be a tool used by entrepreneurs to assess the state and maturity of their business, identify and assess potential markets for their innovations, and to allow that assessment to guide subsequent product development and commercialization. The toolkit will also assist users in conducting needs assessments, i.e., labor and management requirements, capital requirements, business model and revenue model identification, etc. The final product will be publicly available and will be disseminated via an interactive website that will allow for progress tracking, document sharing, feedback, and analytics.

2.0 Background

The Toolkit will help address a challenging aspect of the cleantech market; that the products and services being developed are often entering nascent markets where the customer and competition is not well understood. In these cases, extra care must be taken to spend limited resources on opportunities that are more likely to yield long-term commercial success. To assist in the market and customer identification process and prevent development efforts that don't result in marketable products, resources are needed that will help early stage companies assess their internal capabilities, identify favorable customer segments, and to add the capacity necessary to build the business infrastructure around a cleantech innovation. This will result in a higher rate of successful commercialization of technologies developed by New York cleantech companies and will increase the likelihood of lasting commercial success and competitiveness.

Note: The toolkit will *not* serve as a detailed technology development guide. The stages of technology/product development should be articulated (see *Phase I – Commercialization Framework* below for additional detail), but the focus should be placed on building business related capacity. It is not necessary for the toolkit to guide users through purely technical activities such as research, design, or testing.

3.0 Program Description

The purpose of this RFP is to select a contractor to develop a comprehensive self-guided educational program, called the Cleantech Commercialization Toolkit, that shall meet the following requirements:

- 1) Allow business managers or technology developers to assess their business readiness by consulting a checklist of business related capabilities and activities.
- 2) Allow the user to identify the activities and information necessary to complete activities listed in requirement 1.
- 3) Articulate the phases of product development and commercialization.
- 4) Allow the user to analyze the business case for an innovation, identify target markets and customer groups, and then guide subsequent commercialization activities within the technology development phases articulated in requirement 3.

- 5) Build business related capabilities that facilitate the commercialization process such as development of go-to-market, sales, and marketing strategies; the protection of intellectual property; and launch and management of the resulting product.
- 6) Conduct needs assessments to identify labor and management requirements, capital requirements, business model and revenue model identification, etc.

Development and launch of this development effort will have three phases: (1) defining the product development & commercialization framework (the model), (2) developing the supporting toolkit materials, and (3) development and launch of an interactive website to disseminate the framework and materials produced during phases 1 and 2.

The engagement with the selected contractor will be 3 years. Year 1 will focus on the development, marketing, and initial launch of the toolkit. NYSERDA may impose a go/no-go decision following launch. Years 2 and 3 will focus on management and improvement of the toolkit. Additional go/no-go decision points may be added as necessary.

Phase I – Commercialization Framework

The first phase will be to define a framework for commercialization that will help users assess the stage of technology development, the company's business capabilities, identify their target market, and guide development. This framework will define at a high level the steps necessary for commercialization, and will present the business related activities within the context of technical development. The framework will identify the specific steps, screens, and deliverables necessary to take an innovative idea from feasibility through commercialization, launch, and growth. Defining this framework will provide users a top-level look at what is required for successful commercialization.

The model that is to be developed/articulated will not be required to be a linear progression from one step to another, but will need to accomplish the following objectives:

- 1) Articulate the stages of technology development
 - a. Included in this will be identification of key technical milestones and deliverables related, but not limited to; requirements gathering, design, documentation, validation, and testing.
 - b. The user should be able to use these phases and milestones to assess technical maturity.
 - c. If applicable for the model developed, for each phase/stage that is articulated, entry and exit criteria shall be identified.
- 2) Identify the unique requirements applicable to various technologies and define the requirements based on the type of product or service being developed (i.e. software, hardware, component to a system, full system, service, etc.)
- 3) Provide a list of business related tasks/capabilities that are presented within the context of the technology/product development process.
- 4) Allow the user of the model to assess the overall state and maturity of the business capabilities of the company and identify, given the state of technology development, what business/commercialization tasks should be complete before continuing development.
 - a. This shall include a method to identify what information and/or activities (predecessors) are necessary prior to completing a particular task.
- 5) Allow for the assessment of potential markets. Identification of potential customer groups and guidance on how to identify and address "market pain".
- 6) Guide the user on estimating the value proposition of the innovation including first costs, revenue, and operations and maintenance costs.
- 7) Allow for the assessment of the capabilities of the existing management team and identify any expertise or specific job-roles necessary for the successful commercialization and launch of an innovation.

- 8) Allow for identification and articulation of the optimal business model, revenue model, or exit points (if applicable) and allow for the identification of the capital needs of the business and commercialization effort. Describe the methods or channels for raising the necessary capital to support operations.

Many models that describe and guide the commercialization process have been previously developed and in many cases, guidance that describes a particular stage of the process in detail is available. Because of this, it may be appropriate for the proposed framework to cite these existing models* and aggregate the best practices. However, the proposed framework must identify and address any issues or requirements unique to the cleantech market segment.

**The toolkit, once launched, shall be free and open to the public, therefore, access to any previously developed materials or software to be included must also be free and open (see 4.0 Project Requirements)*

Phase II – Toolkit Materials

The second phase will be the creation of the materials needed for completion of each phase/step/activity and will include the development of instructions, templates and worksheets, references, and screening materials. Each stage will be described in detail including the steps and activities that should occur during that stage and what predecessors or entry & exit criteria are required for those activities. Specific requirement of this phase include:

- 1) Examples of the specific documentation needed for completion of a task (e.g. product requirements documentation, market assessment, financial statements)
- 2) Instructions on how to complete the task or document, templates and worksheets that can be used by the user, and samples showing examples of the finished document.
- 3) Relevant and useful references that will provide background on the activities that will help the user determine if answers are accurate and realistic.
- 4) Screening materials. Each activity will include a set of questions and/or tests that will determine if the task has been completed satisfactorily. These screening activities will also be interactive – if deficiencies are identified, a mechanism is needed to identify how to address the deficiency or what predecessor(s) need to be completed/revisited.

Phase III – Platform Development and Management

The final phase of the toolkit development effort will be the development, launch, and management of a method to disseminate the framework and collateral developed during the prior phases via an online platform/website. After the initial 3-year contract engagement, NYSERDA will evaluate the effectiveness of the platform and will provide additional funding to support its ongoing operation and management if deemed necessary.

The initial objective of this phase will be to determine how the toolkit will be presented and navigated by designing the platform's organizational structure and interface; all of the materials that were developed during phase II will be hosted on the platform using this structure.

The website shall meet the following requirements and/or objectives:

- 1) It shall be hosted, managed, and controlled by the Contractor on NYSERDA's behalf. NYSERDA reserves the right to request changes and funds should be allocated to support enhancements and changes identified during periodic review of the toolkit and industry best practices (approximately twice within the initial contract term).
 - a. The website shall be co-branded by the Contractor and NYSERDA. The proposal should discuss plans for branding and marketing.
- 2) It shall be designed and implemented in such a way that allows it and any associated data to be ported from the original hosting environment to an alternate host. The proposal must present the plan for transition of the website. The proposal must also describe, to the degree possible, the user experience and interface; and should describe the architecture, navigation, and software to be used.
- 3) It shall integrate/interface with cleantechnyconnect.com, an online professional networking platform recently developed and launched by NYSERDA. This platform allows stakeholders in New York's cleantech sector to network, collaborate, promote their innovations, find resources, discuss relevant industry topics, and find news and knowledge. All proposers should become familiar with this platform and propose a method for the two platforms to integrate.

- 4) It shall have an interactive feature that allows users to ask questions via email, chat or micro-blogging, or message board about either the navigation or use of the toolkit; or about the toolkit activities themselves. This feature does not require direct engagement by the Contractor with users, but can be satisfied through other methods such as crowd-sourcing or social media. This feature will be integrated within the toolkit interface and design and implementation of the feature will be included during this phase.
- 5) The contractor shall also be responsible for providing analytics for NYSERDA and the users to track and evaluate progress and effectiveness. Web analytics will also be collected and provided to NYSERDA as part of periodic progress reports. Other value added features may be added (and should be included in the contractor proposal as appropriate). The proposal should identify performance metrics that indicate the effectiveness and utility of the toolkit and how these metrics will be collected.

4.0 Project Requirements

Project Funding and Deliverables

One round is scheduled under this PON and total available funding is \$300,000. NYSERDA reserves the right, in its sole discretion, to make no awards, or to award less than the maximum amount set forth in this solicitation.

Project Data and Materials

The Contractor shall agree to make the Toolkit, associated collateral, and website free and open and available to the public. Ownership and use of the toolkit and the associated materials and data shall meet the guidelines included in NYSERDA's contract web addendum, which is attachment D of this solicitation.

NOTE: All exceptions to the requirements listed within the web addendum must be identified as part of the submitted proposal.

The Contractor shall agree that access to previously developed materials that are included as part of the final toolkit will be free and open to NYSERDA and the toolkit users. A royalty-free license will be extended to NYSERDA and users as necessary to ensure access to the toolkit remains free, open, and available.

Project Scope and Contracting

The project selected for funding shall result in the creation of the Cleantech Commercialization Toolkit described above. The contractor selected will work closely with NYSERDA staff during the development effort and regular project meetings will be held to review progress. The contract resulting from this solicitation will be milestone based; funding will be provided to the contractor after submission and acceptance of agreed upon deliverables.

Project Schedule, Phasing and Teaming

The project is expected to begin within six months of the proposal due date and toolkit development and launch will be completed within 12 months of project start. Teaming arrangements are encouraged, where appropriate, to enhance the likelihood of project success. Teams may include commercial firms, industry associations or research organizations, universities, government agencies, end-users, and other stakeholders. Include letters of interest or commitment from each identified team member in an appendix to the proposal.

Integration with other NYSERDA initiatives

As part of this program, the selected contractor shall be required to become familiar with existing and future initiatives related to technology and business development. The Contractor shall be required to develop ways that the developed toolkit can integrate with and benefit those programs. Particularly, the Contractor shall, as part of the proposal, articulate how the Toolkit will integrate with cleantechnyconnect.com, which is a professional networking platform developed and launched by NYSERDA's Innovation and Business Development group. All proposers should register and explore this site in order to prepare that section of the proposal.

Other Considerations

A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements of Section IV, or the General Conditions of Section VI. Prior to an award or contracting with a successful proposer, potential contractors may be required to demonstrate: access to financial resources

sufficient to perform the proposed work, technical experience and adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.

5.0 Proposal Requirements

The proposal **MUST** be limited to 20 pages or less plus letters of interest or commitment or other relevant and necessary background information in an appendix. If you believe proprietary information must be submitted to present an adequate proposal, comply with the instructions in Section 7 for submitting proprietary material. **Do not use** rigid bindings or other elaborate presentation materials – a staple in the upper left corner is required. Your goal as a proposer should be to concisely present the information needed to fully address the evaluation criteria (see Section 6).

Proposers must submit **one paper hard copy of the completed proposal and one electronic (CD or DVD) version** to the attention of Roseanne Viscusi at the address on the front of this RFP. The CD or DVD must contain the proposal in both PDF and MS Word (.doc) formats. A completed and signed Proposal Checklist must be attached as the front cover of your proposal and must contain an original signature.

Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will not be accepted. Faxed or e-mailed copies will not be accepted.

Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal.

Intent to Propose Form

Proposing teams are encouraged, but not required, to submit a Letter of Intent (LOI) to the address below no later than **January 3rd, 2014**. To the extent known, identify in the LOI the members of the proposing team. The LOI should be signed by an individual in the position to commit the lead organization of the proposing team. Refer to Attachment E.

Roseanne Viscusi, RFP 2573 – LOI
New York State Energy Research and Development Authority
17 Columbia Circle
Albany, New York 12203-6399

PROPOSALS THAT EXCEED THE PAGE LIMIT OR FAIL TO FOLLOW THE FORMAT GUIDELINES WILL BE REJECTED AS NON-RESPONSIVE.

Proposal Checklist

Complete the specific Proposal Checklist attached as part of this PON, and include it as the front cover of the hard copy of the proposal. The signed checklist should also be scanned and included as the first page of the digital version of the proposal. Please note the following:

- Indicate whether you accept the standard terms and conditions as contained in the attached Sample Agreement. If you do not accept the standard terms and conditions, provide alternate terms with justification based on the risk and benefit to NYSERDA and New York State. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion.
- Indicate whether you accept the terms as contained in the attached Contract Web Addendum. If you do not accept those terms, provide alternate terms with justification based on the risk and benefit to NYSERDA and New York State. NYSERDA reserves the right to consider only exceptions to terms that are specifically included with the proposal. Any negotiation of terms will be at NYSERDA's sole discretion.
- Be sure the individual who is signing the Proposal Checklist is authorized to commit the proposer's organization to the proposal as submitted.

Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k

Procurement lobbying requirements contained in State Finance Law sections 139-j and 139-k became effective on January 1, 2006. (The text of the laws are available at: <http://www.ogs.state.ny.us/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>). In compliance with §139-j and §139-k of the State Finance Law, for proposals submitted in response to this solicitation that could result in agreements with an annual estimated value in excess of \$15,000, additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation will disqualify your proposal.

Proposal Format and Sections

Proposers MUST include all sections and requested information listed below:

Executive Summary – Briefly summarize the major elements of your proposal by providing:

- A two to three sentence description of your company, its expertise, and what products and/or services it provides.
- A one to two sentence description of your qualifications and identification of any pertinent project teaming arrangements, if applicable.
- A three to four sentence summary of the scope and objectives of the proposed project and what activities it will include. Major tasks or activities involved in achieving the objectives should be summarized.
- Performance metrics and methods to track those metrics must be identified such as toolkit users, number and depth of interaction with users, “graduates”, etc.
- Total project costs and the funds requested of NYSERDA.

Section 1: Background - Describe the company, background, and expertise necessary to develop and manage the toolkit.

- **Company/Organization Description:** Provide a description of your company or organization, its business model, the type(s) of activities, products and/or services you currently provide or are engaged in, number of employees or team members, and sales and other sources of funds.
- **Organizational Fit:** Describe how this effort complements your corporate mission and how development and management of the toolkit will strengthen your organization or company.
- **Market Description and Philosophy:** Provide an assessment of the cleantech market segment, trends, unique characteristics, and strategies that should be employed that would result in positive outcomes during and after a product is launched (e.g. methods to raise capital, customer development, product management, etc.). Describe in general terms the commercialization process and how early stage ventures navigate this process. Identify common pitfalls and barriers to entry for cleantech products, and how those barriers can be overcome through the addition of capabilities that would be facilitated through use of the toolkit.
- **Background and Expertise:** Provide a description of the company’s past experience guiding, consulting, or managing the commercialization process for cleantech (or other) products. If available, provide specific examples of the company’s or project team’s interactions with early stage ventures and describe the outcomes of these interactions.

Section 2: Methodology – Describe the commercialization model to be used and how the toolkit will be disseminated once developed. Describe the plan for engaging and collaborating users of the toolkit.

- **Commercialization Framework:** Describe, as specific as possible, the phases and steps necessary for successful commercialization of cleantech technologies, products, and services. Describe any interactions between phases and how a user of the model would navigate the process. Describe how the toolkit will not only guide product development, but would facilitate *customer development* as well. Identify and address any characteristics unique to the cleantech market segment. Cite existing models

and how the toolkit will integrate best practices. Identify how a company and technology would be screened/assessed during each phase.

- **Development of Toolkit Materials:** Describe in as much detail as possible the worksheets, resources, templates, instructions, and other materials that will be used by the toolkit users. Key examples of these materials may be included in the appendices of the proposal and will not count towards the page limit.
- **Development of Online Platform:** Describe in detail how the toolkit will be disseminated to the public through an online platform. Describe how and where the platform will be hosted and what method or software will be used to build it. Describe how platform performance and effectiveness will be tracked. Include any prior web development or web management experience and articulate any best practices that will facilitate success.
 - **Mobility Plan:** Describe how, if deemed necessary, the toolkit and the associated website will be ported to an alternative host.
 - **Integration with cleantechnyconnect.com or other NYSERDA technology and/or business related initiatives:** Describe how the toolkit and the resulting online platform will integrate with cleantechnyconnect.com.
 - **Collaboration with or between users:** Describe what methods the platform will utilize to allow for the interaction with or between users. This feature must enable the users to pose questions and receive feedback on the use of the platform and the individual activities. Direct engagement by the Contractor with users is not required assuming other methods are identified.
 - **Performance Metrics:** Describe what metrics will be used to track the utility and effectiveness of the toolkit and the online platform. Describe how these metrics will be tracked and reported.
- **Communication/Outreach Strategy:** Describe how the team will promote the toolkit once developed and launched. This could include in-person training or seminars or web-based outreach such as webinars or ads or other content (e.g. blog posts, discussion forum topics, etc.) placed on complementary web-sites (such as cleantechnyconnect.com). Also describe plans for marketing and branding of the toolkit.

Section 3: Management Plan: Describe how the toolkit will be managed on an ongoing basis and what method or model will be used to ensure availability of the toolkit during its operation. Describe how the toolkit will be maintained, managed, and updated to respond to any changes in the markets that the toolkit addresses. Identify who will be responsible for management of the toolkit and the interactions between the users and the host. Describe how the toolkit complements the existing capabilities of the company or organization.

Section 4: Project Plan (Statement of Work), Schedule, and Budget – Identify and describe in detail the tasks necessary to develop, launch, and manage the toolkit. Describe the schedule and budget.

- **Project Plan/Task List:** Using a detailed task list, describe each step or task necessary for the successful completion of this effort. The scope of work should be separated into three phases (framework development, reference material development, website development plan). For proposals that include teaming arrangements, responsibilities of each team member must be clearly identified.
- **Deliverables:** For each task, provide the list of associated deliverables that will demonstrate completion of the task.
- **Schedule:** Provide an overall schedule of the project and timing of major tasks and deliverables. Each task identified in the Project Plan should be included in the schedule. It is expected that the development and launch of the toolkit will be completed within 12 months from contract execution.

Section 5: Budget – Identify how the available funds will be disbursed over the course of the project. Allocation of funding during the 3-year engagement should be articulated in the proposal.

Budget: Provide a budget for the overall effort that associates milestone payments with the deliverables identified in the scope of work. Include information that justifies the overall cost of the proposed project. If possible, include subcontractor quotes in the appendix of this proposal. This budget will be used as the basis for calculating final negotiated project milestone payments.

Section 6: Proposer, Team, Vendor, or Consultant Qualifications & Experience:

- Identify proposer and any other team members with a clear description of the roles and responsibilities of each team member in completing the work plan. (Note: Subcontracts of \$50,000 or more are subject to competitive bid procedures except where the proposal identifies a specific subcontractor as an integral participant in the proposed work; see Sample Agreement). How the project team will be structured and managed must be identified.
- Project Manager and other key individuals.
- Relevant qualifications, abilities, and experience of all individuals named above. Brief summary resumes of key individuals should be included in the Appendices. Note, prior to an award being made, potential contractors may be required to demonstrate: access to financial resources sufficient to perform the proposed work, pertinent technical experience, adequate facilities (or the ability to access them), a good performance record, and the ability to qualify for an award under applicable laws and regulations.
- The level of involvement of each team member in relevant past projects, with specific roles and responsibilities identified, along with the deliverables/key results of those project(s).

Appendices – As an attachment to the proposal, include any resumes, company qualifications, financial statements, or ancillary information which is deemed necessary to support your proposal. These attachments should be as brief as possible and relate directly and succinctly to the information provided in this proposal. Superfluous and unnecessary information will be discarded and may result in the proposal being deemed non-responsive. If appropriate, also include:

- **Letters of Interest or Commitment** – If you are relying on any other organization to do some of the work, provide services or equipment, or share in the non-NYSERDA cost, include a letter from that organization describing their planned participation and signed by a person authorized to contractually obligate the organization. Also include letters of interest or commitment from businesses or other organizations critical to the future commercialization, demonstration, or implementation of the project. Absence of letters of interest or commitment will be interpreted as the proposer not having support from the identified parties.
- **Exceptions to the Terms and Conditions and/or exceptions to the Web Addendum** – If you do not accept the standard terms and conditions as contained in the attached Sample Agreement or the Contract Web Addendum, provide alternate terms with justification based on the risk and benefit to NYSERDA and New York State.
- **Potential Conflicts of Interest** – Identify the nature of any potential conflicts of interest among team members in providing services to NYSERDA under this PON. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connection with performance by team members of the proposed contract. Describe how your firm would resolve conflicts of interest. In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of such, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

6.0 Proposal Evaluation

Proposals that meet the Proposal requirements will be reviewed by a Technical Evaluation Panel (TEP) using the Evaluation Criteria below.

Background

- Does the proposer adequately describe their company or organization?
- Does the proposed project fit the strategic goals of the company or team?

- Does the proposer present information that demonstrates an understanding of the cleantech market segment?
- Does the proposer have a strong understanding and have experience navigating and guiding the commercialization process?
- Does the proposer present a clear philosophy for helping early stage ventures become successful? Are the strategies presented likely to result in positive outcomes?
- Are performance metrics and a means for collection identified?

Methodology

- Commercialization Framework
 - Does the proposer present a clear and effective framework that describes the product development and commercialization process?
 - Will the model that is presented inform and guide product/technology development and customer development?
 - Are characteristics unique to the cleantech segment identified?
 - Are the activities and/or phases of the process clearly identified?
 - Are the dependencies between activities and phases articulated?
 - Are methods to assess the business readiness of a company presented?
 - Are methods to identify predecessors presented?
 - Are methods to screen/assess the completeness of activities presented? Will the methods be effective at determining the appropriateness of advances to subsequent activities/phases?
- Toolkit Materials
 - Are the toolkit materials that are identified likely to result in accurate and effective completion of required activities?
 - Are methods to assess deficiencies presented?
- Platform
 - Will the online platform that is proposed be an effective dissemination tool? Does the platform allow for easy download/upload of toolkit materials?
 - Does it allow for easy access and progress tracking?
 - Is the platform development, hosting, and management plan effective? Will the plan allow for performance tracking?
 - Does the proposer present a plan for integrating the toolkit and the platform with other NYSERDA IBD initiatives, particularly cleantechnyconnect.com?
 - Is the communication and outreach strategy likely to attract users of the toolkit? Is the marketing and branding plan sound?
 - Will the collaboration and feedback function proposed allow for communication between users and/or the toolkit manager? Will this provide a mechanism for users to receive feedback or allow questions to be asked and answered?
 - Will the toolkit and the website be portable to an alternate host?

Management Plan

- Does the proposer present a strong management plan?
- Are the resources and expertise required for effective management identified?
- Is it likely that the toolkit and platform will be maintained such that it remains relevant and effective?
- Does the proposer describe how management of the toolkit complements the ongoing operations of their company or organization?

Project Plan (Statement of Work), Schedule, and Budget

- Project Plan
 - Is the project plan presented likely to result in deliverables that meet the objectives of this PON?
 - Is the project plan well organized and properly phased?

- Are responsibilities and dependencies between team members clearly described?
- Are the project deliverables identified, relevant, and realistic?
- Is the schedule that is presented realistic? Is it likely, given the project plan and deliverables, that the Phase I objectives will be met within 12 months of project start?
- Budget
 - Does the budget describe clearly how the available funds will be disbursed?
 - Are payments associated with the identified deliverables presented?
 - Is the plan for allocation and disbursement of the funding likely to result in achievement of PON objectives and ongoing operation and management of the toolkit?
 - Is the overall project cost justified and reasonable based on the level of effort proposed and the expected outcome and benefits?

Proposer, Team, Vendor, or Consultant Qualifications & Experience

- Does the proposing company or organization have the expertise necessary to achieve the objectives of the PON?
- Does the project manager (Principal Investigator) have the necessary expertise and management skills required for execution of the project plan?
- Are the team members and roles clearly identified?
- Is the team structure and management plan described?

Other Considerations

- What is the overall quality of the proposal? Is the information presented clear and relevant?
- Taken together, will the proposer, project team, and project plan likely result in a toolkit that meets all objectives of this PON?

7.0 General Conditions

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://nysesda.ny.gov/~media/Files/About/Contact/NYSERDARegulations.ashx>

. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

yOmnibus Procurement Act of 1992 - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

A directory of certified minority- and women-owned business enterprises is available from:

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect

New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).

Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

Contract Award - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately 8 weeks from the solicitation due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation - This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement.

Disclosure Requirement - The proposer 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 proposer 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 NYSERDA after the award of a contract, NYSERDA 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. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

8.0 Attachments:

Attachment A – Proposal Checklist

Attachment B – Disclosure of Prior Findings of Non-responsibility Form

Attachment C – NYSERDA Web Addendum

Attachment D – Intent to Propose Form

Attachment E – Sample Agreement

