

**Summary of Revision to RFP 1188**  
**The RFP is extended from February 28, 2008 to March 24, 2008**  
**by 5:00 P.M. Eastern Time\***

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from qualified organizations to provide Regional Coordinator services under the **New York Energy Smart<sup>SM</sup> Communities (E\$C)** Program in three regions of New York State including the counties of New York City and Westchester. The organizations will provide energy education and outreach services to the residents and businesses in these regions.

The E\$C Program is designed to strengthen and enhance NYSEDA's outreach at the community level. The E\$C Regional Coordinators provide local access to energy efficiency programs. They also provide a forum for engaging communities in energy, environmental, and economic development issues and opportunities. Many of these efforts are concentrated in Energy Target Zones, where Regional Coordinators develop local partnerships to match local needs and resources with NYSEDA programs.

An E\$C Regional Coordinator is responsible for promoting **New York Energy Smart<sup>SM</sup>** programs, recruiting partners (builders, contractors, retailers, designers, engineers, etc.) for NYSEDA's residential programs, referring projects to NYSEDA programs, coordinating local resources for energy efficiency projects, and coordinating educational opportunities relevant to their region.

An annual amount of up to \$150,000 will be available. As the project is expected to substantially benefit the region, cost-sharing from the Proposer or the regional Partnership is encouraged and will be considered in the evaluation of proposals. The term of the initial award will be one (1) year with NYSEDA having the option to renew annually for up to four (4) additional years. NYSEDA anticipates awarding one contract per region.

**Proposal Submission:** Proposers must submit twelve (12) copies of the proposal with a completed and signed Proposal Checklist attached to the front of each copy, one of which must contain an original signature.\* Proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 1188**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Sharon Griffith at (212) 971-5342, ext.3010 or [smg@nyseda.org](mailto:smg@nyseda.org). If you have contractual questions concerning this solicitation, contact Doreen Darling at (518) 862-1090, ext 3216 or [djd@nyseda.org](mailto:djd@nyseda.org).

No communication intended to influence this procurement is permitted except by contacting Sharon Griffith (Designated Contact) at (212) 971-5342, ext. 3010 or [smg@nyseda.org](mailto:smg@nyseda.org). 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 NYSEDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEDA's Web site at [www.nyseda.org](http://www.nyseda.org).

## I. INTRODUCTION

NYSERDA is a public benefit corporation established pursuant to Title 9 of Article 8 of the Public Authorities Law of the State of New York (State). NYSERDA's principal mission is to develop innovative solutions to some of the State's most difficult energy and environmental problems.

Pursuant to a January 30, 1998 order of the New York State Public Service Commission (PSC), NYSERDA became the administrator of statewide public benefit programs funded by the system benefits charge (SBC). In Opinion No. 98-3, the PSC established a system for funding public benefit programs for energy efficiency, research, demonstration and development, low-income services, and environmental protection. The PSC issued an *Order Continuing and Expanding the System Benefits Charge for Public Benefits Programs* on January 26, 2001. On December 21, 2005, the PSC issued the *Order Continuing the System Benefits Charge (SBC) and the SBC-Funded Public Benefits Programs*. NYSERDA's SBC-funded programs are known collectively as the **New York Energy \$mart<sup>SM</sup>** program, currently scheduled to continue through June 30, 2011.

The E\$C program is designed to bring community resources together in an effort to increase the economic and environmental sustainability of a region by addressing needs through a more holistic fashion. The E\$C program builds partnerships within the community, identifies or develops champions of energy efficiency, and works to encourage community leaders to include energy efficiency and clean energy resources as part of their local agendas. Originally established under DOE's Rebuild America program, there are nine E\$C regions across the state that were competitively selected and are under direct contract to NYSERDA. This solicitation pertains specifically to the New York City (NYC) Region. Currently, New York is divided into two E\$C regions and is served by two Energy \$mart Coordinators. To better serve New Yorkers, NYSERDA has created three regions serving in the New York City area - Bronx/Westchester region, Manhattan/Staten Island region, Brooklyn/Queens region. This solicitation seeks to identify an Energy \$mart Coordinator in each of the three regions. The re-alignment of regions through this solicitation will result in a total of 10 E\$C regions statewide.

### Terminology

For the purpose of this solicitation, terminology related to E\$C is defined as follows:

- REAP – refers to Residential Efficiency and Affordability Programs, NYSERDA's residential unit.
- Contractor refers to the proposing organization that is selected for funding.
- Regional Coordinator refers to the individual(s) appointed by the Contractor to manage the regional E\$C program and perform the tasks defined in Section IV, Statement of Work.
- Project Manager refers to the NYSERDA staff person designated to oversee the E\$C Program contracts.
- Regional Partnership and Members refers to the stakeholders who contribute to E\$C projects or otherwise commit to participate in achieving E\$C goals in the Region. Potential Members may include: community-based organizations, municipalities, economic development organizations, chambers of commerce, housing authorities, businesses, institutions, schools, energy service providers, building performance contractors, consumer groups, lending institutions, investors, product manufacturers, vendors, etc.
- Mid-Stream Partners refers to builders, contractors, designers, engineers, retailers, manufacturers and others who participate in the Home Performance with ENERGY STAR<sup>®</sup>, New York ENERGY STAR Labeled Homes, and Multifamily Building Performance or other NYSERDA programs.
- Region refers to the area represented by the E\$C Regional Partnership.
- E\$C Services and Support Contractor (E\$C S&S Contractor) refers to the Contractor selected under RFP 1012 who will provide training, materials, and other technical assistance to the E\$C Regional Coordinators. The E\$C Regional Coordinator will work with the E\$C S&S Contractor to define regional goals and provide reporting on Regional Partnership activities. The proposers are not expected to define the coordination with the E\$C S&S Contractor in this proposal.

- Energy Target Zone (ETZ) refers to a specified area with five or more businesses or homeowners that will implement energy efficiency measures through NYSERDA programs and will be used to model and showcase the positive impact of energy efficiency on the economic and environmental sustainability of the area.
- Anchor Projects refers to large scale, highly visible projects that would benefit from an energy component. The project serves as a model to surrounding building owners. Anchor Projects may or may not be located within ETZs.

### **Qualifications of Contractors**

To better serve the Region, during the term of the Contract, NYSERDA expects the Contractor, or, at a minimum, the Regional Coordinator, to maintain its headquarters/offices in the Region which they serve. This requirement is designed to ensure maximum interaction and accessibility with the communities in the region. Proposers should include strategies to maximize coverage and services throughout the entire Region. Proposals that target low to moderate income and blackout-prone areas will be favored over those that do not. Proposers are responsible for defining these areas themselves. The Regions are designated as:

- 1) Bronx/Westchester region
- 2) Manhattan/Staten Island region
- 3) Brooklyn/Queens region

It is anticipated that the proposer that is awarded a contract will begin work on or about June 1, 2008.

### **What is the Role of the Regional Coordinator?**

The Regional Coordinator assumes a pivotal role in this program, taking on primary responsibility for achieving the goals of the program and the Regional Partnerships. The Regional Coordinator is also the primary contact with the communities and individuals within the Region and will be identified as such in marketing and outreach materials distributed locally, and NYSERDA's [www.GetEnergySmart.org](http://www.GetEnergySmart.org) Web site. The Regional Coordinator must have excellent communication and organizational skills, knowledge of the business communities in the Region, knowledge of socio-economic conditions within the communities, and a working knowledge of the community's leadership.

### **What are New York Energy \$mart<sup>SM</sup> Communities?**

The E\$C Program under the lead of the E\$C Regional Coordinator is responsible for promoting **New York Energy \$mart<sup>SM</sup>** programs, recruiting Mid-Stream Partners for residential programs, referring projects to NYSERDA programs, coordinating local resources for energy efficiency projects, and for organizing and delivering educational opportunities on energy topics relevant to the Region. E\$C developed the concept of "Energy Target Zones" and "Anchor Projects," that are used by the Regional Coordinators to showcase the impact that energy efficiency projects can have on the Region.

To learn more about NYSERDA programs, please visit [www.GetEnergySmart.org](http://www.GetEnergySmart.org) (residential, consumer, and retail programs), [www.nyserda.org](http://www.nyserda.org) (commercial and industrial programs) or [www.powernaturally.org](http://www.powernaturally.org) (renewable energy programs).

### **Where are E\$C Projects Located?**

E\$C pursues some of its projects in ETZs, specific neighborhoods within the Region that could substantially benefit from energy efficiency due to economic, social, and other local circumstances. E\$C uses facilitation techniques to empower local groups to reach out to neighbors and spread the energy-efficiency message. E\$C also provides one-on-one assistance to building owners, matching them with financial and technical assistance available through NYSERDA and other agencies. By bringing such collaborations to communities that need them most, E\$C intends to set a precedent that encourages community leaders and building owners to adopt energy efficiency and sustainable practices. E\$C also pursues individual building projects outside the ETZs.

## **What is the Role of E\$C Project Manager and the E\$C S&S Contractor?**

The E\$C Project Manager is the NYSERDA staff person designated to oversee the **New York Energy \$mart<sup>SM</sup>** Communities Program contracts, and as such participates in regional meetings and conference calls. The Project Manager is the point-of-contact for contractual matters.

The E\$C S&S Contractor will take an active role in all of the Regional Partnerships and Members. Regional goals and other forms of assistance will be detailed in an agreement between the E\$C S&S Contractor and the E\$C Contractor. The E\$C S&S Contractor will help train the Regional Coordinators and keep them up-to-date on program changes, track goals across regions, centralize reporting to NYSERDA, provide assistance accessing NYSERDA programs, facilitate peer exchange between all of the Regional Coordinators, answer the Regional Coordinators' questions on a day-to-day basis, and work with NYSERDA's Marketing and Community Support Unit to develop marketing materials and events for the Region.

## **Who Contributes to E\$C Projects?**

The Regional Coordinator organizes individuals and organizations committed to economic growth, community development, and environmental responsibility within the Region. Working together, this group constitutes the Regional Partnership and Members. Regional Partnership Members collaborate to identify community needs and E\$C projects that meet those needs. Members also contribute resources and planning assistance to E\$C projects. Members can also share NYSERDA program information and other local resources with their clients, thus helping E\$C reach a larger audience.

Potential Regional Partnership Members may include, but are not limited to, community-based organizations, municipalities, economic development organizations, chambers of commerce, housing authorities, businesses, institutions, schools, energy service providers, building performance contractors, consumer groups, lending institutions, investors, product manufacturers, and vendors.

## **Sharing E\$C Projects with the Community.**

During project development and once projects are completed, the Regional Coordinator shares these projects with the Region to 1) increase regional awareness of the projects; 2) help people understand the multifaceted benefits of energy efficiency by seeing these benefits close to home; and 3) help people associate these projects with NYSERDA programs and other resources that can be used to accomplish additional energy-related projects. With the Regional Coordinator's input, NYSERDA will develop marketing materials, press releases, and articles to share these projects. The Regional Coordinator will also distribute NYSERDA-developed program information and marketing materials.

## **II. PROGRAM GOALS**

The primary goals of this effort are to enhance and increase the effectiveness of NYSERDA programs within the Region, and to encourage communities to use energy efficiency as a tool to improve their economic and environmental sustainability. Specific objectives include the following:

- Promoting NYSERDA programs, with an emphasis on residential programs, resulting in significant increases in participation by consumers and building owners in NYSERDA programs, and increases in sales of ENERGY STAR<sup>®</sup> products and energy efficiency services within the Region.
- Recruiting Mid-Stream Partners for residential programs, including builders, contractors, designers, teachers, retailers, and others. This is particularly important in underserved regions identified by NYSERDA, and will result in a balance between supply and demand of services within the Region.
- Making referrals of projects to NYSERDA programs and coordinating other local resources to facilitate the completion of projects.
- Organizing and promoting educational opportunities for the purpose of increasing consumer understanding and adoption of energy efficiency and renewable energy resource opportunities.
- Establishing ETZs within the Region and working with the community to complete projects showcasing energy efficiency, environmental stewardship, and community sustainability.
- Identifying Anchor Projects that can be used as case studies to promote education.

### III. AVAILABLE FUNDING

NYSERDA has allocated up to \$150,000 annually per region for a period of five years for this program. The initial contract period is a one-year term. NYSERDA has the option to renew annually for up to four additional years. Because the project is expected to substantially benefit the Region, cost sharing by the Proposer or Members of the Regional Partnership is encouraged, with a desired cost-sharing goal of 50%. Cost-sharing may be in the form of cash, or in-kind services, facilities, resources or administrative support. The overall value of the proposal, including cost-sharing, will be a factor in proposal evaluation.

### IV. STATEMENT OF WORK

A draft Statement of Work (SOW) is provided below. The proposer may expand or customize the SOW in the proposal to more explicitly reflect needs of the Region. However, the revised SOW must fulfill the goals and objectives of the program (see **Section V, Proposal Requirements**). It is anticipated that the tasks below will be accomplished by the Regional Coordinator, with support from other members of the Contractor team or Regional Partnership.

**Task 1. Regional Partnership Development.** The Contractor shall maintain a list of current Regional Partnership Members, and work to increase the size of the Regional Partnerships throughout the Region, encouraging potential partners to commit to active engagement in **New York Energy Smart<sup>SM</sup>** Communities projects and to share resources on the local level. The Contractor shall maintain E\$C Partnership agreements (template to be provided by the NYSERDA Project Manager) and shall submit copies of such agreements to NYSERDA. In collaboration with the Regional Partnership Members and the E\$C S&S Contractor, the Contractor shall update the regional plan identifying regional goals, potential ETZs, potential Anchor Projects, and strategies for achieving the goals. The Contractor shall include in the plan a schedule of Regional Partnership meetings and other significant milestones and events, and shall submit an updated schedule as appropriate.

#### **Deliverables:**

- Submit to the NYSERDA Project Manager and the E\$C S&S Contractor a list of Regional Partnership Members within two months of contract award.
- Submit to the NYSERDA Project Manager and the E\$C S&S Contractor an updated regional plan, including schedule, no later than two months after contract award.
- Submit to the E\$C S&S Contractor updated schedules as appropriate.
- Submit to the E\$C S&S Contractor copies of sign-in sheets for membership meetings, within three days of meeting.

**Task 2. Program Recruiting.** The Contractor shall schedule seminars, work with trade organizations, make cold calls, and solicit referrals for recruiting contractors, builders, teachers, trade organizations, and other mid-stream players in the energy efficiency market, into the appropriate **New York Energy Smart<sup>SM</sup>** programs. The Contractor shall coordinate with the E\$C S&S Contractor to obtain support for recruitment seminars as needed, to ensure program questions can be adequately addressed. During recruitment activities, the Contractor shall sign-up potential Mid-Stream Partners for scheduled training, facilitate the signing of appropriate program partnership agreements, distribute program partnership packages, and otherwise assist in bringing potential Mid-Stream Partners to a point of active participation.

#### **Deliverable:**

- Submit to the E\$C S&S Contractor a monthly report of recruitment efforts, solicited groups, listing of newly-signed Mid-Stream Partners, and progress toward regional recruitment goals.

**Task 3. Defining and Managing the Energy Target Zones (ETZ).** The Regional Coordinator shall conduct meetings involving business improvement districts, community leaders, and building owners, in coordination with the Regional Partnership Members and the E\$C S&S Contractor, to obtain buy-in to the ETZ concept. The Contractor shall define and document the location of ETZs.

Once identified, the Contractor shall 1) elicit Regional Partnership Members' and community members' input and participation to spread the energy efficiency message in the ETZs; 2) meet with building owners working on projects that may benefit from an energy component; 3) move projects to implementation by sharing with building owners the value of energy efficiency, and matching projects with appropriate resources available through NYSERDA; 4)

provide one-on-one assistance to building owners within the ETZs to complete NYSERDA program applications as needed; 5) track status on the project from start to finish, ensuring efficiency improvements are implemented in targeted buildings; and 6) report accomplishments and hurdles to the Members and the E\$C S&S Contractor.

**Deliverables:**

- Submit to the NYSERDA Project Manager and the E\$C S&S Contractor a map designating ETZs (Geographic Information System-based map is preferred), within three months of contract award.
- Submit monthly updates on all projects and activities occurring in an ETZ to the E\$C S&S Contractor.

**Task 4. Identifying and Managing Anchor Projects.** Anchor Projects are highly visible projects with public appeal and the potential to attract press coverage. Such projects generally involve individual building projects or initiatives that are pursued in collaboration with other organizations. Anchor Projects may or may not be located within ETZs, but should be representative of other potential projects within the Region to support replicability.

The Contractor shall, in cooperation with the Regional Partnership Members, identify Anchor Projects that would demonstrate how energy efficiency can be used as a sustainability strategy for economic development, community growth, and environmental stewardship. The Contractor shall move the Anchor Projects to implementation by gathering resources and planning support from Regional Partnership Members, sharing with building owners the value of energy efficiency, and matching projects with appropriate resources available through NYSERDA and other sources. The Contractor shall closely monitor progress of the project and work with the E\$C S&S Contractor to obtain energy and dollar savings information about the project, as well as other benefits to the community or building residents. The Contractor shall work with the E\$C S&S Contractor to develop a case study about the project, and use that case study to encourage other similar projects throughout the Region.

**Deliverables:**

- Submit to the NYSERDA Project Manager and the E\$C S&S Contractor a description of at least one Anchor Project, within four months of contract award.
- Submit to the E\$C S&S Contractor a case study on the Anchor Project identified, within one month of project completion.

**Task 5. Marketing and Education.** The Contractor shall actively market all targeted **New York Energy \$mart<sup>SM</sup>** programs, program opportunity notices, and events within the Region. Primary focus will be on residential programs, however the NYSERDA Project Manager will identify other commercial, industrial, and research and development programs that shall be included in marketing activities. This shall be accomplished by identifying and working events in the Region, such as home shows, workshops, seminars, meetings, and other events that would likely result in consumers focusing on and taking home information on energy topics. The Contractor shall also work specific events in the Region as requested by NYSERDA or the E\$C S&S Contractor. Although NYSERDA staff attends many such events, there will be times that NYSERDA will need the Contractor or the E\$C S&S Contractor to work events. Occasionally, these requests may be given on short notice due to competing priorities. In addition, some events may occur at night or on the weekends.

The Contractor shall help consumers understand the multifaceted benefits of energy efficiency by seeing these benefits close to home, and helping consumers associate these projects with NYSERDA programs and Mid-Stream Partners, as well as other resources that they could use to accomplish other energy-related projects.

The Contractor shall use existing NYSERDA marketing materials and templates. However, if needed to increase the awareness and understanding of energy topics, **New York Energy \$mart<sup>SM</sup>** programs, and NYSERDA, within its Region, the Contractor shall work with the E\$C S&S Contractor to develop new marketing material, including, but not limited to: articles, press releases, success stories, case studies, brochures, posters, and advertisements. The Contractor shall obtain approval of the NYSERDA Project Manager, through the E\$C S&S Contractor, on all new marketing materials prior to distribution.

**Deliverable:**

- Copy of new marketing materials, including those developed for mass printing, shall be submitted to the E\$C S&S Contractor, no less than three weeks prior to the publication/print date, for approval.

**Task 6. Training and Development.** The Contractor shall participate in on going training provided by the E\$C S&S Contractor and NYSERDA to ensure the Contractor remains current on NYSERDA program information and to learn about emerging technologies and practices in energy efficiency. Likewise, the Contractor shall seek or create

opportunities to provide education, as appropriate, to Regional Partnership Members and the community at large. To the extent possible, these opportunities shall be scheduled by the Contractor to coincide with home shows or other community gatherings to reduce associated costs. Where costs will need to be incurred to provide educational opportunities, the Contractor shall submit a proposed budget to NYSERDA for approval, and those approved costs will be funded directly by NYSERDA.

Training by the E\$C S&S Contractor or NYSERDA is expected to take place at least two, but no more than four, times per year. In addition, the Contractor shall participate in monthly or quarterly Coordinator Conference Calls, as established by the E\$C S&S Contractor. The purpose of these calls is to share information between regions, including, but not limited to, success stories, lessons learned, cross-regional opportunities, and issues. (Travel costs associated with quarterly trainings or meetings at NYSERDA's Albany office or some other central location should be included in the proposal budget.)

The Contractor shall develop and maintain familiarity with NYSERDA's Web sites, [www.GetEnergySmart.org](http://www.GetEnergySmart.org), [www.nyserda.org](http://www.nyserda.org), and [www.powernaturally.org](http://www.powernaturally.org), and encourage others to use the sites as resources for program information, energy efficiency tips, and other energy-related information. The Contractor shall also use the Partner Portal on [www.GetEnergySmart.org](http://www.GetEnergySmart.org), a password protected area, to obtain current program information and provide data and reporting to NYSERDA and the E\$C S&S Contractor.

**Task 7. Special Initiatives.** From time to time, NYSERDA may make funding available to support special initiatives related to community energy planning or data collection. It is anticipated that funding would be distributed to Regions on a competitive basis. When appropriate, the Contractor shall work with Regional Partnership Members to develop and propose initiatives that meet the needs of their Region. Each proposed initiative shall include a description of the planning, implementation, evaluation and analyzes process.

**Deliverable:**

- Submit proposals for special initiatives to the NYSERDA Project Manager.

**Task 8. Reporting.** The Contractor shall keep the E\$C S&S Contractor up to date monthly on projects and progress toward regional goals. It is anticipated that most reporting shall be done through the Partner Portal password protected area of the [www.GetEnergySmart.org](http://www.GetEnergySmart.org) site. The Contractor shall provide narrative and metrics to the E\$C S&S Contractor that includes, but is not limited to, recruitment of mid-stream partners (builders, contractors, architects and engineering firms, etc), partnership activities, project updates, successes and failures, recruitment of new projects, new partnerships and members, a calendar of worked events and number of attendees, and reporting on other indicators as determined by NYSERDA. The calendar of events narrative shall include, but shall not be limited to, the number of training sessions and people trained, number of presentations, and number of workshops and attendees at each workshop. Attendees at classes, workshops, and other events shall complete a NYSERDA-provided evaluation form for each event through which they can measure the adequacy of the programs presented. The Contractor shall also include the number of media outlets receiving press materials with gross media impressions, and submit copies that appear in newspapers, tapes of television appearances, and pictures taken at events to the E\$C S&S Contractor. Project metrics may include, but are not limited to, square footage and anticipated energy savings.

Within 90 days of the completion of the contract period of performance, the Contractor shall submit a final report summarizing the success and challenges of the Regional Partnership.

**Deliverables:**

- Monthly reports - due by the 5<sup>th</sup> day of the following month.
- Final reports.

## **V. PROPOSAL REQUIREMENTS**

Proposal must submit twelve (12) copies of the proposal with a completed and signed Proposal Checklist attached to the front of each copy, one of which must contain an original signature.\*

**Proposal Checklist** - Proposers must submit twelve (12) copies of the completed proposal, per the address on the front page of this RFP. A completed and signed Proposal Checklist must be attached as the front cover of your

proposal, one copy of which must contain an original signature. Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned. Faxed or e-mailed copies will not be accepted.

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support proposals.

All proposals submitted as part of RFP 1188 become the property of NYSERDA. Proposers will not be reimbursed for any costs associated with preparation of their proposals.

The proposal shall be in the following format (numbers in parentheses represent the estimated maximum number of pages expected for this section of the proposal):

**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 is 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, an additional form (or 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.

**Section 1. Introduction and General Information (2 pages maximum)** - Identify key information about the proposing organization. The proposal shall include a brief narrative about:

- Organizational purpose and day-to-day functions.
- Organizational structure including location of main office and any other offices in the state.
- How the proposer plans to provide regional coverage.
- Why the proposers believe they are qualified to perform and complete the services requested under this RFP (summary only).
- Identify what familiarity staff has with NYSERDA programs including any past relationship with NYSERDA or NYSERDA contracts.
- If the organization is a for-profit firm, please discuss strategies or mechanisms that will be implemented to ensure the integrity of the E\$C outreach effort. E\$C projects and the Regional Coordinator position shall not be used as an opportunity to direct business to the host organization. In the event that NYSERDA determines that the proposing organization or a team member has a conflict of interest or the appearance of a conflict of interest, NYSERDA may take this into consideration in the evaluation of the proposal.

**Section 2. Qualifications (3 pages maximum)** - Clearly demonstrate the experience, skills, and abilities necessary to effectively develop and implement this E\$C Program. Describe relevant qualifications of current staff or description of qualifications of staff to be hired, including a clear description of the roles and responsibilities for each key person in addressing the SOW. Describe any previous experience with, or exposure to NYSERDA programs, or the means by which the proposer will develop (or has developed) a good understanding of the programs. Proposals should include examples of relevant projects and programs that have been completed by the proposer and that would demonstrate their qualifications to support this Program. Proposers should include names and contact information for references, including those for related or similar projects. Resumes of key individuals should be included in an Appendix. Each resume should be limited to no more than 2 pages.

**Regional Coordinator**

Success of this project rests largely in the hands of the Regional Coordinator. Please include the number of hours per week the Regional Coordinator will commit to E\$C. If the Regional Coordinator position will be augmented by additional staff, please describe their tasks and hours per week commitment. Explain the role of the Regional Coordinator's supervisor, if there is one, and how the supervisor will support E\$C activities. There must be no less than one full-time equivalent Regional Coordinator dedicated to the program.

If the organization intends to assign a current staff person to the Regional Coordinator position, or if the organization

can identify the proposed Regional Coordinator, the following background information on the individual is required: experience in community organizing, program development, management, marketing services, energy efficiency, and outreach, and role in the proposed Region.

If the proposer does not identify a Regional Coordinator in the proposal, please describe the recruiting effort to be undertaken to assure the position is filled within a timely manner. If the proposing organization is selected for a contract award, the award is contingent upon the hiring of a Regional Coordinator within 30 days after the contract execution. NYSERDA reserves the right to approve the individual selected for the position, or to request the Contractor continue the search.

### **Section 3. Outreach and Partnership Development (8 pages maximum)**

Outline. A specific approach explaining how the proposing organization shall elicit resources, planning support, outreach assistance from prospective Partnership Members, and potential Partnership Members.

ETZ Strategy. A large part of engaging ETZ building owners is through group facilitation to empower organizations within ETZs to reach out to their neighbors. These organizations teach building owners about energy efficiency and encourage them to apply for resources. Describe how your organization would approach this task. Also describe potential ETZs in the Region and associated projects.

Anchor Projects. Describe potential Anchor Projects that may be pursued or the types of Anchor Projects that may benefit the Region. Describe how your organization would approach these groups and offer assistance.

Regional Impact. Describe how your organization will influence the Region and make a noticeable impact to increase energy efficiency, given the target population of the Region. Indicate whether or not efforts will be focused in low to moderate income neighborhoods or blackout-prone areas.

Marketing. Describe marketing strategies and how your organization will reach a broad segment of the Region.

Proposed Changes to the Statement of Work. Include a complete SOW, and highlight any suggestions for modifications and addition of specific deliverables.

Schedule. Include a detailed schedule of activities based on the SOW.

**Section 4. Staff Plan (1 page maximum)** - Include a staffing plan that identifies the key personnel, including any subcontractors or other resources, responsible for completing each task and major subtask. Provide a table showing the number of hours each key person or subcontractor will spend on each task and the total hours per task.

**Section 5. Cost Proposal and Budget** - Complete the attached Contract Pricing Proposal Form (CPPF) (Attachment D), detailing labor costs (including labor rate and total hours) and operating costs to support the E\$C effort. Cost Share is not required but is encouraged and will be reviewed favorably in the proposal evaluation. Please describe the source and amount of any in-kind support or matching funds that directly relate to E\$C. Cost sharing should be documented in the format below, and letters of commitment for any third parties providing cost sharing must be included in an appendix.

All in-kind must be detailed on the supporting documentation page.

Labor costs must be consistent with the staffing plan presented in Section 4.

Attach supporting documentation to support indirect cost (overhead) rates included in your proposal as follows:

1. Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently approved rates).
2. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.

3. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

	Cash	In-Kind Contribution	Total
NYSERDA	\$	\$	\$
Proposer	\$	\$	\$
Others (list individually)	\$	\$	\$
Total	\$	\$	\$

**Section 6. Appendices (Required)** - 1) If a team is submitting a proposal, each member organization of the team must submit a letter ensuring the organization’s participation in the proposed activities. 2) Resumes of key personnel (limit of two pages each.) Letters of support and other supporting documents.

**VI. EVALUATION CRITERIA**

Proposals will be evaluated by Region, by a Technical Evaluation Panel consisting of NYSERDA staff and selected outside reviewers. Proposals will be evaluated based on the criteria below, presented in order of importance.

**Responsiveness to the Scope of Work of the RFP:** Does the proposer present a sound approach for accomplishing the objectives of this proposal? Is there sound rationale for the proposed approach? Does the proposer demonstrate an ability and plan to work throughout the Region? Does the proposer demonstrate ability to perform direct outreach, training, and recruitment of Mid-Stream Partners in the Region? Does the proposer appear to have the flexibility to accommodate potentially short notification times and tight deadlines? Is the SOW thorough, specific, and consistent with the stated objectives?

**Relevant Experience and Qualifications:** Does the proposer have the necessary background and experience to support a wide range of outreach to end-users, particularly residential sectors and entities? Has the proposer demonstrated previous energy-related experience and community-based experience? What experience has the proposer had with NYSERDA programs? Does the proposer demonstrate familiarity with the different types of NYSERDA programs? Does the proposer demonstrate recent experience in similar type projects and will there be a main contact who will handle the project? Is the project staff’s overall capability appropriate? Are there adequate resources to support all of the Region and the different types of tasks?

**Cost:** How cost-effective is the proposal (i.e., what type of program and what level of results will be achieved with the available funds)? Are there any leveraged resources or cost sharing? Are hourly rates and total hours reasonable and appropriate? Is the proposer’s cost allocation appropriate and efficient when compared to the cost allocation of other comparable proposals in that Region? Did the Proposer provide documentation to support indirect cost rate(s) and are such costs retainable?

**Comprehensiveness of Approach and Management Plan:** Does the proposer demonstrate the ability to complete all aspects of the program? Has the proposer demonstrated the ability to reach the targeted market? Are sufficient resources being devoted to the program? Does it include a strategy for coordination and interaction with all of the relevant parties, including NYSERDA and regional organizations involved in energy efficiency? Does the proposer represent and reach out to the entire Region; address the potential impact of the initiative on the Region; and whether or not efforts will target low to moderate income neighborhoods and/or blackout prone areas?

**Other:** Does the proposal clearly define the economic benefit to New York State? Are there any suggestions that broaden or deepen the scope of this RFP that might not have been requested?

**VII. 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 accepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 [www.nyserda.org/nyserda.regulations.pdf](http://www.nyserda.org/nyserda.regulations.pdf). However, NYSERDA cannot guarantee the confidentiality of any information submitted.

**Omnibus 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  
30 South Pearl Street  
Albany, NY 12245

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

Empire State Development  
Minority and Women's Business Development Division  
30 South Pearl Street  
Albany, NY 12245  
[www.empire.state.ny.us](http://www.empire.state.ny.us)

**State Finance Law sections 139-j and 139-k** - NYSERDA is required to comply with State Finance Law sections 139-j & 139-k. State Finance Law §139-j(6) requires that NYSERDA incorporate a summary of its policy and prohibitions regarding permissible communications during a covered procurement.

Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between NYSERDA and a Proposer/Offerer during the procurement process. A Proposer/Offerer is restricted from making contacts from the earliest notice of intent to solicit offers [such as a "Program Opportunity Notice", "Invitation for Bid" or "Request for Proposal", etc.] through final award of the Procurement Contract (the "restricted period") to other than Designated Staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j(3)(a). Designated Staff, as of the date hereof, are identified on the first page of this solicitation.

NYSERDA employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Proposer/Offerer pursuant to this law. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a 4 year period, the Proposer/Offerer is debarred from obtaining governmental Procurement Contracts.

Additional guidance regarding these procurement lobbying requirements and can be found at <http://www.ogs.state.ny.us/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>.

**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.state.ny.us/pdf/2006/killin/st/st220td\\_606\\_fill\\_in.pdf](http://www.tax.state.ny.us/pdf/2006/killin/st/st220td_606_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 perspective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.state.ny.us/pdf/2006/killin/st/st220ca\\_606\\_fill\\_in.pdf](http://www.tax.state.ny.us/pdf/2006/killin/st/st220ca_606_fill_in.pdf) ). The Department has developed guidance for contractors, which is available at [http://www.tax.state.ny.us/pdf/publications/sales/pub223\\_606.pdf](http://www.tax.state.ny.us/pdf/publications/sales/pub223_606.pdf).

**Contract Award** - NYSERDA anticipates making six awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. 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 expects to notify the proposer in approximately 8 weeks from the proposal due date whether your proposal has been selected to receive an award.

**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.

**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.

## **VIII. ATTACHMENTS**

- Attachment A – Proposal Checklist (mandatory)
- Attachment B – Disclosure of Prior Findings of Non-responsibility (mandatory)
- Attachment C – Intent to Propose (optional, but encouraged)
- Attachment D – Contract Pricing Proposal Form (CPPF - mandatory) & Instructions
- Attachment E – Sample Agreement