

Proposals Due: October 13, 2009, 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from experts in behavioral research, including sociologists, psychologists, social psychologists, and behavioral economists.

The objective of this solicitation is to contract with a behavioral expert to design experimental pilots to test behavioral approaches for influencing energy-related behaviors and investments. The consultant retained under this solicitation will report to NYSERDA and work collaboratively with energy-efficiency program administrators referred to the consultant by NYSERDA. The consultant will be asked to develop experimental pilots for New York energy-efficiency programs. The pilots will be run concurrently with the New York energy-efficiency programs (from which random samples will be selected to serve as the controls). The \$400,000 budget is expected to cover all costs associated with designing the pilots (including preliminary market research as may be required), but does not include implementation or evaluation costs. All pilot experiments developed under this RFP will be implemented by the New York energy-efficiency program administrators. The pilot experiments will be evaluated by an independent evaluator under a separate NYSERDA contract. Proposers must have prior experience in designing and conducting experimental research in the social sciences. NYSERDA intends to award one contract under this solicitation.

NYSERDA requests proposals stating qualifications, experience, and ideas for experimental pilots that could be run in parallel with existing energy-efficiency programs in New York State. New York State residency is not a requirement for eligibility but proposers must demonstrate the ability to work collaboratively with energy-efficiency program administrators in New York State. The successful proposer will consult with NYSERDA's project manager and energy-efficiency program administrators in New York State to review energy-efficiency program goals and identify program barriers, and conduct research to design experimental pilots to test innovative, behavioral science-based, approaches for achieving New York State energy-efficiency reduction targets

It is estimated that the budget will support the research and design services required to develop pilot experiments for 5 to 7 program referrals. **Proposals exceeding the budget allowance will not be considered.**

Proposal Submission: Proposers must address program requirements detailed in the complete solicitation and submit nine (9) 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 1192
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Marsha Walton at (518) 862-1090, ext. 3271, or mlw@nyserda.org. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335, or nsm@nyserda.org.

No communication intended to influence this procurement is permitted except by contacting Marsha Walton (Designated Contact) at (518) 862-1090, ext. 3271 or mlw@nyserda.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 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.org.

I. Introduction

The goal of this solicitation is to help Energy-Efficiency Program Administrators in New York State conduct controlled experiments to test various alternatives for designing, marketing, and delivering energy-efficiency and renewable programs administered in New York State on behalf of the New York State Public Service Commission.

This solicitation will obtain the services of a behavioral expert to design a variety of pilot experiments intended to identify potentially more successful and cost-effective, behavioral-based approaches to meet New York State's energy reduction and renewable targets across all sectors. Energy-efficiency program administrators interested in running experimental pilots will be referred by NYSERDA's project manager to receive technical design services from the behavioral expert hired under this RFP. The behavioral expert retained under this solicitation will report directly to NYSERDA's project manager.

The primary goal of this research is to identify a variety of successful pilot experiments that could serve as models for the design, marketing, and delivery of full-scale energy-efficiency and renewable programs deployed in New York State.

NYSERDA will enter into a separate contract with an independent evaluation consultant to verify the incremental energy savings (if any) that can be conclusively attributed to the experimental pilots. The evaluation consultant will evaluate the net impact of the pilot experiments and report the results to NYSERDA. The results of this research will be made widely available.

II. Background

Examples of energy-efficiency programs for which successful proposers may be asked to develop alternative approaches include, but are not limited to, sustainable transportation and alternative fuels programs, including GreenRide vanpool and CarShare demonstrations; energy audit programs for residential/commercial/industrial/institutional customers; and energy-efficiency programs for existing facilities and/or new construction. The programs will be referred by NYSERDA's project manager. It is expected that most of the consulting services will be provided electronically and via conference calls, with occasional face-to-face meetings scheduled as needed. For each program referred for services by NYSERDA, the behavioral expert will develop a proposed scope of services for the experimental research in collaboration with the energy-efficiency program administrator and NYSERDA's project manager. The behavioral expert may suggest innovative ways of structuring and delivering energy-efficiency and renewable programs that, based on empirical findings in the behavioral sciences, would be expected to be more effective than conventional approaches. The behavioral expert shall identify the market research tasks, program design work, and pre-testing requirements, along with a corresponding budget, for NYSERDA's review and approval. The New York energy-efficiency program administrators receiving consulting services will be responsible for implementing the pilot experiments and for collecting critical energy consumption data needed for evaluation. NYSERDA's project manager will make all the referrals for consulting services and shall have overall program oversight responsibility.

III. Program Requirements

Expert Behavioral Consulting Services (\$400,000)

Specific Requirements: The behavioral expert will be expected to develop a variety of alternative approaches that are designed to accomplish the energy-efficiency program administrators' program goals. The specific work scopes will be developed in collaboration with the energy-efficiency program administrators and NYSERDA's project manager.

Range/Scope of Services to be provided: Expert behavioral consulting services will take a comprehensive approach and consider how the multiple effects of information, framing, financial incentives, and delivery methods work together to influence energy-related decisions at the customer/business level. The scope of services could range from minimal to in-depth depending upon level of interest and commitment by the New York State energy-efficiency program administrators. Expert consulting services may include, but are not limited to, identification of barriers to program participation and program success and developing innovative alternatives to (1) energy-efficiency program delivery mechanisms, (2) energy-efficiency program designs, (3) market segmentation approaches, (4) message framing and norming, and marketing campaigns. It is expected that the successful proposer will be assigned and complete a minimum of 5 to 7 consulting referrals under the allocated budget of

\$400,000. The services will be provided in stages. An initial consultation, wherein background information on the existing program and its target audience(s) is provided, would be followed by market research/problem scoping services to characterize the attitudes, behaviors, and decision-making constraints/barriers of the targeted program participants. The behavioral expert may use NYSERDA evaluation and market characterization reports and other secondary information, and/or conduct focus groups, surveys, and/or interviews with energy-efficiency program administrators to identify and prioritize barriers to program participation and program success, and pre-test the pilot experiments on sample groups. Market research would be followed by program design services to develop a variety of experimental pilots to overcome the major barriers to achieving program goals. Specific work scopes will be developed on a project- by-project basis in collaboration with NYSERDA's project manager and the energy-efficiency program administrators. The consultant will be responsible for adhering to the work scope defined for each project and for documenting the work performed. The work will be administered on a milestone basis.

Proposer Qualifications: Proposers should provide sufficient background information for NYSERDA to judge their proficiency in conducting behavioral experiments using human subjects that provide conclusive results. The successful proposer will be a recognized expert in designing and implementing behavioral research. Proposers should convey a solid understanding of the different financial and informational tools available to energy-efficiency program administrators and how information and incentives, individuals' values, beliefs, bounded rationality, and the social context of decision making can be used to influence individuals', households', and businesses' energy decisions. A track record of working successfully with organizations to influence pro-social behaviors is highly desirable but not a requirement for eligibility. Qualified proposers must possess the ability to work collaboratively with energy-efficiency program administrators and NYSERDA's project manager. Proposals must include brief examples of at least two (2) behavioral experiments designed by the proposer. Proposers should include references for these projects and indicate whether the research objectives were met and, if not, a brief statement describing the reasons the experiment was not able to accomplish the research objectives. Past experience in designing energy-efficiency programs is not a requirement for eligibility. Co-funding is desirable but not a requirement for eligibility.

Budget: \$400,000

IV. Proposal Requirements

Proposers must submit nine (9) copies of the completed proposal to the attention of Roseanne Viscusi at the address on the front of this RFP. A completed and signed Proposal Checklist (Attachment A) must be attached as the front cover of each proposal, one 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. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Suggested page limits are offered for each of the sections of the proposal. Each page of the proposal should state the name of the proposer, the RFP number, and the page number. The proposal must be in the following format:

- **Proposal Checklist**

A completed Proposal Checklist with the project title and name, address, and telephone/fax number(s) of the principal contact person must be attached to the front of all copies of the proposals. At least one copy of the Proposal Checklist must contain an original signature.

- **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.

- **Proposer Background, Qualifications and Experience (2 pages maximum including short biographical summaries and business/academic information)**

What type of organization are you (e.g., not-for-profit, for-profit, marketing, evaluation, educational/ academic, and/or other (specify).

Describe the business activity, approximate size and experience of your organization.

Describe how the proposed project fits into your business goals and portfolio of ongoing work.

List key personnel and areas of expertise (include 1-page resumes for key personnel as an appendix).

Selected business and/or academic background information (courses taught and Ph.D. project supervised, if applicable) may be included as Appendices.

- **Examples of Experience and References (2 pages maximum)**

Provide examples of two (2) behavioral research experiments that you designed (and preferably directed). These examples should be summarized briefly and the summaries for both should not exceed more than 2 pages. Electronic links to full reports, if available, are encouraged.

Provide references; names, email address, and phone numbers, for each of the projects listed.

- **Statement of Work (5 pages maximum)**

Describe the actions you would take to work collaboratively with New York energy-efficiency program administrators and NYSERDA's project manager over the course of the work. Identify procedures you plan to use to ensure strict oversight of team members' work and quality control. Identify steps you plan to take to ensure that the experiments conducted under this RFP will produce conclusive and meaningful results. Define what research integrity means to you and how it will be maintained over the course of providing consulting services to NYSERDA.

Experimental Pilots

Describe two (2) hypothetical experimental pilots you would like to help New York energy-efficiency program administrators implement. Briefly describe the subtasks you propose in conducting the experimental design consulting services. Please select one or more of the programs listed under the Background section of this RFP to serve as the conventional approach/control group for your hypothetical experimental pilot. (Many of the programs referenced in the Background section are described on NYSERDA's website). This exercise is intended to show your ability to develop innovative and practical alternative approaches to achieving energy-efficiency program goals and is not intended to evaluate your inside knowledge of NYSERDA's programs and potential barriers to achieving NYSERDA's program goals. For example, you may describe in detail the subtasks you would undertake to identify individuals who are most likely to participate in rideshare programs, and propose a marketing campaign and program design you would use to encourage program participation. Your second example may be a NYSERDA residential single-home (or commercial/industrial) audit program, where the goals are increasing program participation and achieving more comprehensive energy-efficiency investments. Or, the second example may be an existing energy-efficiency program being deployed in another region of the United States with which you are familiar.

- **Budget**

Complete and attach the Contract Pricing Proposal Form (CPPF) to show how the total project budget for consulting services will be spent. The budget should state the number of hours of work for each staff person that would be completed under a budget capped at \$400,000.

Overhead rates should be provided. A justification for the overhead rate should also be provided.

Travel budgets should be identified, with number of roundtrips listed.

For each subcontractor receiving more than \$10,000 in expected costs, a separate CPPF should be included.

Indicate project cost-sharing (if appropriate) by the proposer.

Describe in-kind contributions (if appropriate) and any funding from other organizations.

Provide a Task/Hour matrix that estimates the labor hours for each consultation and subtask by each individual.

Summarize cost-sharing by the proposer and from other organizations in a Cost-Sharing Chart in the following format (expand chart as needed to show each co-funding entity). The budgets allocated for each activity reflect the estimated cost to deliver the specific services.

• **Cost Sharing**

Cost Sharing - Cost sharing is not a requirement for eligibility, but cost-sharing can be from the proposer, other team members, or government, institutional or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

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

Attach supporting documentation to support indirect cost (overhead) rate(s) 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.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustments for such differences between actual and projected indirect rates. Requests for financial statements or other needed financial information may be made if deemed necessary.

The following language requesting indirect cost supporting documentation is REQUIRED:

V. Recoupment is not required under this solicitation.

VI. Proposal Evaluation

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

	<i>Maximum number of points</i>
Proposer Qualifications	
Does the proposer have the relevant and necessary background, understanding of the literature/research to-date, and experience?	50
Proposer Creativity	
Does the proposer(s) demonstrate the creativity to develop innovative social marketing/behavioral change pilot programs?	30
Proposal Value	
Does the proposal dedicate appropriate staff, time, and resources at reasonable prices to accomplish the tasks?	10
Program Coordination	
Does the team demonstrate resourcefulness, cooperation and team work?	10
TOTAL MAXIMUM POINTS	100

VII. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSEDA 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 NYSEDA 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 NYSEDA 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 www.nyserda.org/nyserda.regulations.pdf. However, NYSEDA 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

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.

Tax Law Section 5-a - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA 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.nystax.gov/pdf/2007/fillin/st/st220td_507_fill_in.pdf). Prior to contracting with NYSEDA, the prospective contractor must also certify to NYSEDA 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 NYSEDA. See, ST-220-CA (available at http://www.nystax.gov/pdf/2007/fillin/st/st220ca_507_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.

Contract Award - NYSEDA anticipates making one (1) award 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 terms. The budget that has been allocated represents NYSEDA's best estimate of the cost to deliver the specified activities. Proposals will not receive points for offering to deliver the specified activities under the

budget amount allocated. NYSERDA may request additional data or material to support proposals. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA expects to notify proposers in approximately 8 weeks from the October 13th, 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
- Attachment B - Disclosure of Prior Findings of Non-Responsibility
- Attachment C - Contract Pricing Proposal Form
- Attachment D - Sample Agreement