

Proposals Due: March 31, 2011 by 5:00 PM Eastern Time

The New York State Energy Research and Development Authority (NYSERDA) seeks proposals from qualified organizations to provide Regional Climate Smart Community Coordinator (Coordinator) services under the New York State Climate Smart Communities (CSC) Program in New York State. This is a statewide pilot effort, but will be focused in four main regions. The selected organization(s) (Contractors) will engage and support municipal action through education and outreach to local governments on climate change mitigation and adaptation within the designated regions.

Staff working for Contractors selected through this RFP will act as Coordinators. Coordinators will facilitate municipal adoption and implementation of the New York State CSC pledge and actions to support achievement of the goals expressed in Executive Order 24. These goals include a reduction of New York State greenhouse gas emissions by 80 percent of their 1990 levels by 2050 and preparations to adapt to unavoidable climate change.

A total amount of up to \$1,700,000 will be available over three years. Pending future RGGI auction proceeds, NYSEDA anticipates receiving additional funding, up to a total amount of \$5,525,000, for the services outlined in this solicitation. The term of the initial awards will be one (1) year, with two (2) one-year annual options to renew at NYSEDA's discretion. The anticipated additional funding, as described above, may be added to contracts if and when NYSEDA decides to exercise the options to renew. NYSEDA anticipates awarding one contract for each of four pilot regions: Capital District, Long Island, Lower Hudson Valley, and Central New York. Up to three other contractor(s) will be retained to provide statewide support to the CSC Program outside of the four designated pilot areas, to develop a land-use toolkit, and to provide support for transportation and land-use planning.

A pre-bid question/answer session for interested organizations will be held in NYSEDA's regional offices on Tuesday, March 8, 2011 from 2:00pm-4:00pm. Regional offices are located in Albany, NYC, and Buffalo. Directions can be found on www.nyserda.org/contactinformation.

Proposal Submission:

Proposers must submit three (3) hard copies of the completed proposal with a completed and signed Proposal Checklist attached to the front of each copy, one of which must contain an original signature. Proposers must also submit an exact scanned image of the complete, signed hard copy, including all attachments, in the form of a single .pdf file on a compact disc. Proposals must be clearly labeled and submitted to the following:

**Roseanne Viscusi, RFP 2141
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Jennifer Manierre at (518) 862-1090, ext 3406 or jtm@nyserda.org. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or vwf@nyserda.org

No communication intended to influence this procurement is permitted except by contacting Jennifer Manierre at (518) 862-1090, ext. 3406 or jtm@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 may 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.nyserda.org.

I. INTRODUCTION

Climate change presents the greatest challenge of our time. As a substantial emitter of greenhouse gases, as well as a political, economic and technological leader, New York State has an obligation and opportunity to provide leadership in addressing climate change.

Local governments can play a key role by reducing their own operational emissions, encouraging reduction of community emissions through building code and land use decisions, transportation planning, adoption of smart-growth principles, and facilitating local adaptation. Local government actions are amplified as they are often adopted by residents, businesses and other organizations within the community, and local governments can be effective in actively encouraging behavioral change in residents. However, many local governments lack the financial means, mechanisms, personnel or expertise to undertake many climate actions.

The vision of the CSC Program is to provide technical support and guidance, and to facilitate selection, development, and implementation of local climate action programs most likely to be successful in New York State. With the CSC pledge as a roadmap, the Contractors will serve as credible strategic planning agents to inspire and empower local governments, connecting them with useful financial and technical programs, and with each other, offering practical assistance and consistent tracking and reporting of successes and barriers.

Contractors are responsible for promoting the CSC Program, recruiting local governments to the CSC Program, coaching communities as they develop and implement plans, referring participating communities to agency and non-governmental programs, coordinating local resources for climate and energy efficiency projects, and coordinating educational opportunities relevant to their regions. They provide local access to technical, financial, and informational resources that will be useful in reducing municipal and community greenhouse gas emissions and adapting to climate change.

Terminology

For the purpose of this solicitation, terminology related to the CSC Program is defined as follows:

- Anchor Project refers to a large scale, highly visible project that would benefit from a climate-action component. Anchor Projects serve as models to surrounding communities.
- CSC Community refers to a New York State county, city, village or town whose legislative body has adopted the CSC Program pledge and provided a copy of the certified resolution to the Office of Climate Change. The CSC Program is an interagency effort of NYSERDA, the New York State Department of Environmental Conservation (DEC), the New York State Department of State (DOS) and the New York State Public Service Commission (PSC). Local governments initiate participation in the program by passage of a resolution to adopt the CSC pledge. The pledge describes ten areas of climate mitigation and adaptation action. Climate Smart Communities are free to develop their own specific programs within the ten action areas. For information on the CSC Program go to <http://www.dec.ny.gov/energy/50845.html>.
- Transportation Climate Initiative (TCI) refers to an initiative of eleven northeastern and Mid-Atlantic states, and the District of Columbia that will work to reduce greenhouse gas emissions, minimize the transportation system's reliance on high-carbon fuels, promote sustainable growth and address the challenges of reducing vehicle-miles-traveled. The effort will build upon ongoing federal, state and regional collaborations to reduce greenhouse gas emissions, and will seek to coordinate with metropolitan planning organization partners already engaged in similar efforts in their roles as metropolitan transportation planning agencies. See <http://www.georgetownclimate.org/state/index.php#tci> for additional information on TCI.
- CSC Region refers to a multi-county region that has been assigned to a Contractor.
- Direct Support refers to assistance provided in the form of in-person technical advice and assistance, and completion of specific tasks.
- Implementation Contractors refers to the group of private-sector contractors competitively selected by NYSERDA through various solicitations to promote or administer specific NYSERDA programs. Upon award of the contract(s) pursuant to this RFP, NYSERDA will provide a list of current Implementation Contractors to the Contractor(s).

- Focus on Local Government refers to the NYSERDA program that assists local governments with accessing funding available through NYSERDA and offers a range of services that include providing assistance related to inventorying energy use, developing and implementing energy reduction strategies, and monitoring progress.
- Indirect support refers to technical advice and assistance provided via telephone, e-mail or written correspondence.
- Mid-Stream Partners refers to builders, contractors, designers, engineers, retailers, manufacturers and others who participate in programs such as, but not limited to, Home Performance with ENERGY STAR[®], New York ENERGY STAR Homes, Multifamily Performance Program and other NYSERDA programs.
- Office of Climate Change refers to the New York State Office of Climate Change housed at the New York State Department of Environmental Conservation, 625 Broadway, Albany
- Project refers to, but is not limited to, the use of applicable state programming by a regional partnership, community, business or individual to accomplish energy efficiency or renewable energy tasks in an Anchor Project, or an individual instance that produces measureable climate mitigation and/or adaptation as a goal.
- Project Managers refers to members of DEC and NYSERDA staff designated to oversee the Regional Climate Smart Communities Contractors. The Project Managers will work with the Regional Climate Smart Communities Contractors to define regional goals.
- Region refers to the area covered by the Contractor.

Qualifications of Contractors

The Contractor(s) shall be located or demonstrably able to operate within the region that it is proposing to serve for the term of the contract to ensure maximum accessibility by, and interaction with, the communities within the region. Proposers should include strategies to maximize both coverage and services throughout the entire targeted region. It is anticipated that a new contract period will start as soon as the Statement of Work and other contract documents are accepted and an official start date is acceptable to all parties. NYSERDA anticipates awarding at least one, but no more than seven, contracts pursuant to this RFP:

- One for CSC support in each of four regions (maximum of four contracts)
- One for statewide CSC support
- One for support in land-use and transportation planning
- One for development of a land-use toolkit

However, NYSERDA reserves the right to not award a contract if no qualified and responsible organizations respond to this RFP, for convenience to NYSERDA, or to award a contract covering more than one region or task to a single Contractor for convenience to NYSERDA.

Capital District Climate Smart Community Region

Region will include the following counties: Albany, Columbia, Greene, Rensselaer, Saratoga and Schenectady

Long Island Climate Smart Community Region

Region will include the following counties: Nassau and Suffolk

Lower Hudson Valley Climate Smart Community Region

Region will include the following counties: Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster and Westchester.

Central NY Climate Smart Community Region

Region will include the following counties: Cayuga, Cortland, Madison, Onondaga and Oswego

Eligible proposers include the following:

- County, regional or metropolitan planning organizations
- County or regional conservation and environmental organizations
- Academic institutions
- Not-for-profit organizations

- Private businesses

Proposers must demonstrate the following:

- Record of providing information, training and assistance to local governments
- Record of effective strategic planning, stakeholder engagement and communication
- Record of providing training and of building capacity within local governments
- Ability to provide technical assistance in the fields of greenhouse gas management, energy management, strategic planning, climate adaptation, land-use and transportation planning, watershed planning, smart growth and economic development
- Effectiveness at engaging local governments in environmental management
- Record of effective program management in facilitating municipal involvement in environmental management programs
- Contact and credibility with local governments, and transportation and planning organizations throughout the CSC region
- Grant and program administration
- Expertise in land-use and transportation planning
- Demonstrated ability to conduct regional and municipal greenhouse gas inventories
- Demonstrated successful working relationships with municipal officials, engineers architects and planners

What is the Role of the Climate Smart Communities Contractors?

Contractors will be secured to provide services in the following areas:

Task 1. Regional Coordinator Services

Subtask 1a. Develop regional greenhouse gas inventory.

Each Contractor will develop a regional greenhouse gas inventory for the entire region it serves according to guidance provided by the U.S. Environmental Protection Agency's (EPA) Draft Regional Greenhouse Gas Inventory Guidance document published in January of 2009. The regional greenhouse gas inventory must include estimates of greenhouse gas (GHG) emissions from the following sources:

- Direct fuel use and electricity
- Transportation
- Industrial processes
- Agricultural
- Waste
- Land use, land-use change, and forestry

The regional inventory must include an allocation of the inventory to each county and all incorporated villages, cities and towns within the region, and an assessment of the potential for more accurate estimates of emissions at the municipal level. For guidance, see the Delaware Valley Regional Planning Commission's Regional Greenhouse Gas Emissions Report, which can be accessed at <http://www.dvrpc.org/reports/09038.pdf>.

Subtask 1b. Develop Regional CSC Plan.

Each Contractor will develop a regional plan to engage with local governments on climate action within its region and to recruit local governments to the Program. The strategic plan will include the following elements:

- Identification of and engagement with key partners, including Focus on Local Government implementation contractors and regional entities, to identify common goals,
- Methods to provide information, guidance and training to Climate Smart Communities,
- Recruitment, training and supervision of Coordinators to provide direct assistance to local governments,
- Development of marketing materials,
- Event planning

- Recommendations for allocation of funds budgeted for outreach and support services (Task 3) to provide direct financial support to Climate Smart Communities conducting operational and community GHG inventories, action planning or other climate-related activities, and
- A system for measuring and tracking progress and for recognition of successful local programs.

Contractors will begin implementation of their respective regional plans upon approval by the NYSERDA Project Manager. Contractors will participate in bimonthly conference calls or meetings with the Project Managers to ensure an appropriate level of consistency in programs among the four regions. At the conclusion of the pilot, the Contractors, under the guidance of the NYSERDA Project Manager, will develop a final report that describes elements of a model regional plan for implementation throughout New York State.

Subtask 1c. Provide Regional CSC Outreach and Support.

It is the intent of the participating agencies to support four regional pilot programs. Experience gained in implementing the model strategic plan in the four regions will inform development of a program to engage local governments throughout New York State. The Contractors will assume a pivotal role in these pilot programs, taking on primary responsibility for achieving the goals of the program within their regions of responsibility. The Contractors are the program’s primary contacts with the local governments, particularly Climate Smart Communities, within their respective regions and will be identified as such in marketing and outreach materials. Contractors must have excellent communication and organizational skills, knowledge of the local governments in their regions, knowledge of socio-economic conditions within the communities, a working knowledge of the communities’ leadership, and ability to provide technical support for GHG inventories, emission reduction planning, and adaptation planning.

Contractors will use their knowledge of CSC within their regions to identify those Climate Smart Communities most likely to implement successful climate action programs or that could provide important case studies and models due to economic, social, and/or other local circumstances. Contractors will provide direct and indirect support to CSC planning and implementing climate actions. Contractors will also use their knowledge of the region and work to identify, as high-priority recruitment targets, local governments that have not yet taken the CSC pledge.

Each Contractor shall maintain lists of current Climate Smart Communities in its region and work to increase the number of pledges throughout its region, encouraging local governments to commit to active engagement in CSC projects and to share resources on the local level. The Contractor shall request and maintain copies of local government CSC resolutions passed in their regions during the contract term and shall submit copies of such agreements to the Office of Climate Change. The Contractors shall prepare annual updates to their regional plans and submit updated schedules to the Project Manager as appropriate.

Outreach and Support should include, but not be limited to, the following activities:

Subtask 1c.a. Recruit Climate Smart Communities.

The Contractors shall schedule seminars, make cold calls, and solicit referrals for recruiting Climate Smart Communities. The Contractors shall coordinate with the Project Managers 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 Climate Smart Communities for scheduled training, make recruitment presentations to legislative bodies and organizations of local officials and stakeholders, facilitate the passage of CSC resolutions, distribute program partnership packages, and otherwise assist in bringing potential Climate Smart Communities to a point of active participation.

Subtask 1c.b. Market CSC Program.

The Contractor shall actively market all statewide CSC programs and events to appropriately targeted audiences. The primary marketing focus will be on raising visibility of CSC and CSC successes with municipalities; however, the Project Managers will identify other commercial, industrial, and research and development entities that shall be included in marketing activities. Marketing shall be accomplished by identifying and participating in events such as workshops, seminars, meetings, and other events that would likely result in interest from local officials and concerned citizens.

All materials developed by the Contractor pursuant to a contract established in response to this RFP will become the property of NYSERDA, which may, at its sole discretion, make them available for use by other entities, including other Contractors, without further obligation.

Subtask 1c.c. Define and Support Local Climate Action.

The Contractors shall meet with representatives of all CSC communities in their regions, particularly CSC task forces and other community leaders, to assess status of climate actions in the individual CSC and to assist in planning climate actions appropriate to the CSC. Contractors will provide training, information, guidance and direct assistance as resources permit. They will recruit, train and supervise interns or other volunteers to support climate actions within the Climate Smart Communities. They will track status of CSC projects within each CSC from start to finish and report accomplishments and barriers to the Project Managers. They will assist Climate Smart Communities in identifying and overcoming barriers that prevent implementation of climate actions.

Subtask 1c.d. Facilitate and Assist Local Greenhouse Gas Inventories.

The Contractor shall assess progress toward that goal of all Climate Smart Communities within its region, identify barriers and work with individual CSC to overcome them. The Contractors shall provide direct assistance to Climate Smart Communities conducting greenhouse gas inventories and indirect assistance in the form of training and response to inquiries.

Subtask 1c.e. Facilitate Local Climate Action Planning.

Action Plans are important in identifying, prioritizing and integrating climate mitigation and adaptation objectives and strategies. Action Plans can include stand-alone, comprehensive plans, or descriptions of how climate action will be incorporated into other planning and management programs. It is a goal of the CSC Program that all Climate Smart Communities have completed climate action plans or are in the planning process by their second year of program participation. The Contractors shall assess progress toward that goal of all Climate Smart Communities within their regions, identify barriers and work with individual Climate Smart Communities to overcome them. The Contractors shall provide direct assistance to Climate Smart Communities developing Climate Action Plans.

Subtask 1c.f. Identify and Support Anchor Projects.

Anchor Projects are highly visible projects with public appeal and the potential to attract news media coverage. Such projects generally involve individual projects or initiatives that are pursued in collaboration with other organizations. Anchor Projects should be demonstrative of potential projects for other communities within the region. The Contractor shall, in cooperation with the Project Manager, identify Anchor Projects that would demonstrate how climate action can be used as a sustainability strategy for economic development, community growth, and environmental stewardship. The Contractor shall facilitate movement of the Anchor Projects to implementation by gathering resources and planning support, and matching projects with appropriate resources available through DEC, NYSERDA, and other sources. The Contractor will also provide detailed, illustrated case-study reports to encourage similar projects throughout the region and state.

Subtask 1c.g. Provide Education and Training.

The Contractor shall seek or create opportunities to provide training and education, as appropriate, to the Climate Smart Communities and the community at large.

Subtask 1c.h. Reporting.

The Contractors shall participate in regular quarterly conference calls, and additional conference calls or meetings as needed and convened by the Project Managers. The purpose of these meetings and calls is to share information among regions including, but not limited to, success stories, lessons learned and inter-regional opportunities. Contractor shall submit, within 30 days of the end of each full year of the contract period of performance, a report summarizing the success and challenges of the CSC Program to date and recommendations for modifications in the coming year. The Contractor shall submit a final report summarizing the success and challenges of the CSC Program and participate, along with the other Regional Coordinators and the Statewide Coordinator, in preparing recommendations for a statewide program.

Task 2. Statewide Climate Smart Community Support.

There are a significant number of Climate Smart Communities outside the four regions proposed for pilot programs in this RFP. It is a goal of this program to provide some level of support for these communities. One Contractor will be retained to provide statewide outreach and support services to Climate Smart Communities not located in one of the four pilot regions. The Contractor shall request and maintain copies of local government CSC resolutions passed in their regions during the contract term and shall submit copies of such agreements to the Office of Climate Change. In collaboration with DEC, NYSERDA Focus on Local Government points-of-contact, CSC Regional Coordinators, and other regional entities, the Contractor shall prepare annual updates to its statewide plan and shall submit updated schedules to the Project Managers as appropriate.

The Contractor secured for services under Task 4 will perform subtasks similar to those outlined in Tasks 3b through 3h based on demand and available funding.

Task 3. Support for Local Land Use and Transportation Planning.

One Contractor will be retained to assist CSC Contractors with implementation of TCI policies that foster land-use, housing, transportation and infrastructure planning and practices intended to reduce energy use and GHG emissions related to transportation. This Contractor will also support development of TCI policies as they relate to local governments by providing services to TCI staff. This Contractor will share results up to two times per year with the other Contractors selected through this solicitation.

Task 3a. Assess transportation and land use policy needs.

Working with TCI staff, the Contractor will examine federal and state transportation and land-use policies, particularly those recommended by the state climate action plan, to identify goals, objectives and programs that will facilitate implementation of local programs consistent with these policies.

Task 3b. Develop funding and policy metrics.

Working with TCI staff, the Contractor will develop a system of metrics for use in determining effect of transportation and land-use policy and funding in overall reduction of GHG emissions.

Task 3c. Build capacity among CSC and Metropolitan Planning Organizations (MPOs) to adopt and implement policies of the TCI and other applicable state policies and to participate in TCI program development.

The Contractor will monitor developments in national and regional land-use and transportation policy, and develop communication products to inform CSC of opportunities and requirements. The Contractor will notify Climate Smart Communities and MPOs of opportunities to participate in the TCI stakeholder process.

Task 3d. Provide ongoing technical support on land-use, zoning and transportation planning.

The Contractor will provide technical consultation on matters related to land-use and transportation planning, and building codes on an as-requested basis.

Task 4. Land-use, Zoning, Transportation and Building Code Guidance.

The Contractor will develop guidance (toolkit) on local land-use, zoning and transportation planning; and building codes to achieve emissions reductions and to adapt to effects of climate change. This guidance shall include analysis and summarization of existing land-use, smart-growth, transportation and building-code guidance available from other jurisdictions; summaries of laws, regulations and policies applicable to the topic; case studies; best management practices; and specific recommendations for local governments within the state. This guidance will be incorporated into guidance being prepared under the CSC Program and must be written and organized in a way to facilitate such incorporation. This Contractor is expected to coordinate with other New York State entities dealing with building code issues, such as NYSERDA and DOS.

II. PROGRAM GOALS

Purpose: To create and implement a strategic plan for engaging local governments in the CSC Program, producing measurable results for climate protection and adaptation within each region, and to develop important elements of guidance for local governments. This current RFP is for a pilot effort; expertise gained will be used to develop a model plan for use throughout all regions of the state.

The primary goals of this effort are to enhance and increase the effectiveness of the CSC Program and to encourage communities to use climate action tools to improve their economic and environmental sustainability. Specific objectives include the following:

- Development of regional and municipal greenhouse gas inventories
- Development of a regional model for transfer of technical information to local governments
- Recruitment of local governments to the CSC Program

- Promotion of federal, state and other applicable programs, with an emphasis on municipal programs that result in significant reductions in greenhouse gas emissions and fossil energy consumption and increases in carbon sequestration, climate-change preparedness and “green” economic development
- Development of appropriate metrics, and tracking and reporting tools
- Identification and reporting of Anchor Projects that can be used to demonstrate program effectiveness
- Indirect support of CSC outside the areas covered by the pilot projects
- Development of strategies to document successful program elements and ensure their penetration in other regions
- Integration of national and regional concepts of land-use and transportation planning into local decision making.

Available Funding

A total amount of up to \$1,700,000 will be available over three years. Pending future RGGI auction proceeds, NYSERDA anticipates receiving additional funding, up to a total amount of \$5,525,000, for the services outlined in this solicitation. The term of the initial awards will be one (1) year, with two (2) one-year annual options to renew at NYSERDA’s discretion. The anticipated additional funding, as described above, may be added to contracts if and when NYSERDA decides to exercise the options to renew. Because the project is expected to substantially benefit the regions, cost-sharing by the proposer or other entities within the region is encouraged. Cost-sharing may be in the form of cash, in-kind services, facilities, resources or administrative support. The overall value of the proposal, including cost-sharing, will be a factor in proposal evaluation. NYSERDA reserves the right to vary the terms of contracts, including the scopes of work and contract amounts among the four regions.

The Statement of Work includes four tasks. The approximate funding available for each of the four tasks over the three years of this program is as follows:

Task 1.	Regional Coordinator Services	
	Subtask 1a. Regional Greenhouse Gas Inventory Development	10%
	Subtask 1b. Regional CSC Plan Development	10%
	Subtask 1c. Regional CSC Outreach and Support	60%
Task 2.	Statewide Climate Smart Community Support	5%
Task 3.	Land Use and Transportation Planning Support	5%
Task 4.	Land Use Toolkit Development	10%

Total available: \$1,700,000

Potential Task Combinations:

Bidders may submit proposals to perform all of tasks 1, 2, 3, and 4, or any combination thereof. Proposers must be explicit as to which tasks they are proposing to perform. Bids should include price proposals for individual tasks as well as a price proposal for the entire suite of project elements included in the bidder’s proposal. NYSERDA reserves the right to award a contract(s) for any combination of tasks with an individual bidder(s).

Funding for task 1 will be distributed among the contractors chosen for each of the four pilot regions. NYSERDA anticipates making single awards for each of tasks 2, 3, and 4. NYSERDA reserves the right to adjust funding levels according to program needs and funding limitations. The percentage allocations are also subject to change as the program develops.

III. PROPOSAL REQUIREMENTS

Proposal Checklist - Proposers must submit three (3) hard copies of the completed proposal to the address on the front page of this RFP. Proposers must also submit an exact scanned image of the complete, signed hard copy, including all attachments, in the form of a single .pdf file on a compact disc. 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 2141 become the property of NYSERDA. Proposers will not be reimbursed for any costs associated with preparation of their proposals.

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. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation will disqualify your proposal.

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

(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.

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 based on office locations
- Why the proposers believe they are qualified to perform and complete the services requested under this RFP (summary only)
- Description of 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 CSC effort. CSC projects and the Regional Coordinator position(s) 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 reserves the right to 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 CSC 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 Statement of Work (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 must be no more than 1 page.

Section 3. Statement of Work (15 pages maximum for Task 1. Maximum of 3 pages each for Tasks 2, 3, and 4)-
A specific approach explaining how the proposing organization shall address the following tasks, as applicable:

The proposer should customize the Statement of Work (SOW) in the proposal to explicitly reflect the needs of the region being addressed. However, the SOW must fulfill the goals and objectives of the program as outlined in Section I of this RFP, subsection labeled, "What is the Role of the Climate Smart Communities Contractors?". It is anticipated that the tasks below will be accomplished by the Contractors:

Task 1. Regional Coordinator Services

- 1a. Development of regional greenhouse gas inventories
- 1b. Development of regional plans to engage and support local governments in actions to address climate change
- 1c. Provide regional CSC outreach and support services

- Task 2. Provide statewide CSC outreach and support services
- Task 3. Provide specialized support to CSC in land-use and transportation planning.
- Task 4. Development of a land-use, codes and transportation toolkit for use by local governments in New York State.

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 CSC effort. Cost-sharing 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 CSC. 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 contributions 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 one page each.) 3) Letters of support and other supporting documents.

IV. EVALUATION CRITERIA

Proposals will be evaluated 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 the RFP: To what extent has the proposer demonstrated a thorough understanding of program goals? To what extent does the proposer present a sound, detailed approach for accomplishing the objectives of this proposal? To what extent does the proposer present a sound rationale for the proposed approach? To what extent does the proposer demonstrate ability to accomplish the tasks? To what extent 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 customers? To what extent has the proposer demonstrated previous climate-related experience and community-based experience? What experience has the proposer had with NYSERDA programs? To what extent does the proposer demonstrate familiarity with the different types of NYSERDA programs? To what extent 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 different tasks? Has the proposer disclosed any conflict of interest and if so, to what extent is the conflict likely to affect the proposer's ability to complete the work?

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)? To what extent has the proposer 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? Did the Proposer provide documentation to support indirect cost rates and are such costs retainable?

Comprehensiveness of Approach and Management Plan: To what extent does the proposer demonstrate the ability to complete all aspects of the program? To what extent has the proposer demonstrated the ability to reach the targeted market? Are sufficient resources being devoted to the program? To what extent does the management plan include a strategy for coordination and interaction with all of the relevant parties, including NYSERDA and other organizations?

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?

V. 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 exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 www.nyserda.org/about/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

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.state.ny.us/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.state.ny.us/pdf/2007/fillin/st/st220td_507_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.state.ny.us/pdf/2006/fillin/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.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. A total amount of up to \$1,700,000 will be available over three years. Pending future RGGI auction proceeds, NYSERDA anticipates receiving additional funding, up to a total amount of \$5,525,000, for the services outlined in this solicitation. The term of the initial awards will be one (1) year, with two (2) one-year annual options to renew at NYSERDA's discretion. The anticipated additional funding, as described above, may be added to contracts if and when NYSERDA decides to exercise the options to renew. 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. NYSERDA expects to notify proposers 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. 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.

VI. ATTACHMENTS

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