Process and Market Evaluation Contractor
Request for Proposal (RFP) 2323
Up to $7.6 million Available

Proposals Due: Tuesday, November 15, 2011 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from organizations or individuals interested in conducting process evaluation, and market characterization and assessment activities (herein referred to as Process and Market Evaluation) to support NYSERDA's evaluation team across the broad range of NYSERDA program offerings. In recent years, NYSERDA's evaluation activities have expanded to meet the distinct reporting requirements for the System Benefits Charge (SBC)/**New York Energy $mart**[SM] Program, Energy Efficiency Portfolio Standard (EEPS), Regional Greenhouse Gas Initiative (RGGI), Green Jobs – Green New York (GJGNY), Statutory Research and Development and other program portfolios. As a result, NYSERDA requests the services of a single contractor, or a lead contractor with a qualified team of subcontractors, to assist its program evaluation staff in the following areas: (1) review Program oversight and operations; (2) gauge customer satisfaction; (3) provide recommendations for program and process improvements and efficiency; (4) characterize markets and specific technology areas, (5) develop program theory and logic models, (6) collect market information as it affects customer response to programs and (7) track progress indicators.

In total, up to $7.6 million will be made available for up to six years of activity. The total funding will support up to $4.6 million for an initial 2-year period, with 2 possible 2-year renewals at up to $3.0 million in total (across four years).

Proposal Submission: Proposers must submit one digital copy in CD-ROM format and ten (10) hard 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 2323
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Tricia Gonzales at (518) 862-1090, ext. 3338 or pmg@nyserda.org. If you have contractual questions concerning this solicitation, contact Elsyda Ahmed at (518) 862-1090, ext. 3232 or ela@nyserda.org.

No communication intended to influence this procurement is permitted except by contacting Tricia Gonzales (Designated Contact) at (518) 862-1090, ext. 3338 or pmg@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 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

NYSERDA has been responsible for conducting evaluation of the System Benefits Charge (SBC) program since 1998 and, over the past thirteen years, has established a highly efficient and effective evaluation process to meet expanding needs. NYSERDA aims to achieve credible evaluations that conform to industry standards and best practices, meet acceptable sampling precision levels while reducing bias, and are transparent in terms of reporting program performance and identifying the methods and approaches used to conduct those analyses. NYSERDA and its specialty evaluation contractors follow the American Evaluation Association's *Guiding Principles for Evaluators*, which calls for systematic inquiry, competence, integrity and honesty, respect for people, and responsibility for general and public welfare.[1]

Since NYSERDA was first directed to evaluate the SBC programs more than a decade ago,[2] internal staff within its Energy Analysis unit have been assigned to conduct analyses and manage external contractor activities related to the evaluation effort. Within NYSERDA, the Energy Analysis unit is organizationally separate from other units whose staffs perform project and program management functions related to implementation and administration of the programs.

NYSERDA has a long history of working closely with expert, independent contractors to conduct evaluations of its programs. NYSERDA has relied upon its evaluation contractors to measure and verify program savings; establish attribution, including assessing free-ridership and spillover/market effects; evaluate the efficiency and effectiveness of program processes; develop program theory and logic models; and conduct market characterization and assessment studies. NYSERDA's evaluation planning process has ensured that the most important and significant metrics have been closely and regularly examined by these independent consultants. Use of independent, external consultants with a reputation for credible, high-quality, and unbiased work has served decision makers and stakeholders well and is expected to continue.

Figure 1 depicts how NYSERDA's evaluation contractor responsibilities will be configured going forward to accomplish these activities for a growing slate of programs. For details on NYSERDA's program areas, please refer to the sources listed in Table 1. As the magnitude of NYSERDA's evaluation activities continues to expand to meet the myriad, yet distinct, reporting requirements for NYSERDA's various program portfolios, the current evaluation structure used by Energy Analysis is being modified and work is being divided into the following five categories as depicted in Figure 1: (1) General Evaluation Assistance, (2) Impact Evaluation, (3) Process and Market Evaluation, (4) Survey Implementation, and (5) Economic and Environmental Impacts. The topic of this RFP is Process and Market Evaluation. NYSERDA intends to separately procure contractor services in the areas of Impact Evaluation and Survey implementation. Contractors for the remaining areas have recently been procured through separate competitive processes.

As depicted in Figure 1, the Survey Contractor is expected to serve survey research needs across the various evaluation categories. Thus, as deemed appropriate by NYSERDA and the selected Process and Market Evaluation Contractor, the Survey Contractor may be used to field telephone or other surveys designed to support process or market evaluation. The separate budget allocated to the Survey Contractor

[1] American Evaluation Association (AEA), Guiding Principles for Evaluators, www.eval.org. See source for a full explanation of these guiding principles.
[2] State of New York Public Service Commission, Opinion No. 98-3, Case 94-E-0952, In the Matter of Competitive Opportunities Regarding Electric Service, Opinion and Order Concerning System Benefits Charge Issues, Issued and Effective January 30, 1998.

shall be used to fund any surveys they conduct to support projects undertaken by NYSERDA's other evaluation contractors. It is expected that the Survey Contractor will deliver, as a result of such efforts, cleaned and coded data files for analysis by the selected Process and Market Evaluation Contractor and inclusion in process/market evaluation reports.

In the past, NYSERDA has contracted separately for process and market evaluation assistance. Under the new evaluation structure, the process and market evaluation contractor role will be combined and this single contractor or team will be responsible for process evaluation, market characterization, market assessment, logic model development, and some market based attribution studies.

The new General Evaluation Assistance contractor will handle overall evaluation management and coordination functions that until now have been under the purview of the Process Assessment and Evaluation Management contractor.

As shown in Figure 2, all of the evaluation contractors report directly to NYSERDA evaluation project managers. The General Evaluation Assistance contractor and Survey Contractor assist NYSERDA with cross cutting work supporting all evaluation areas, whereas the other three contractors focus on their evaluation specialty area (e.g., impact evaluation), but are expected to work together to coordinate their work for the overall benefit of NYSERDA's evaluation effort.

Figure 1. NYSERDA's Evaluation Contractor Responsibilities

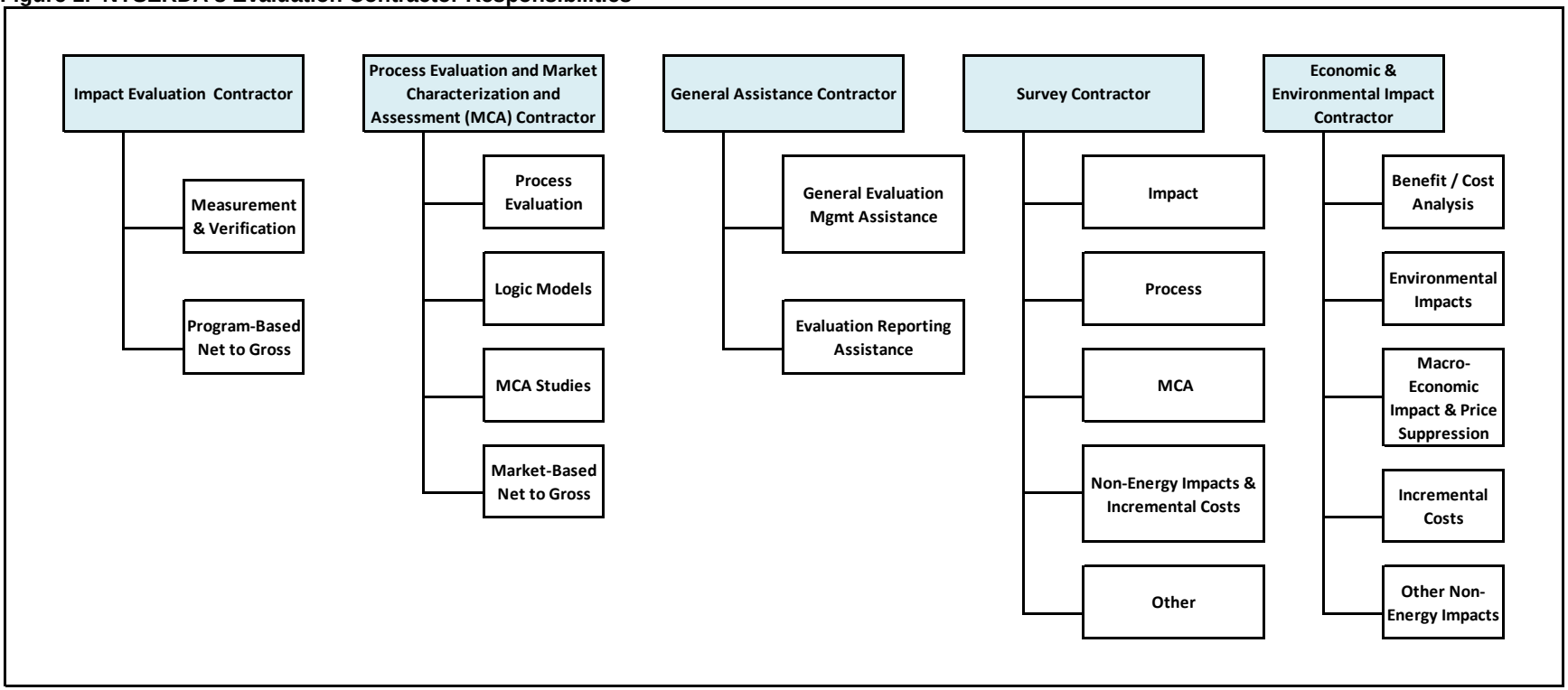
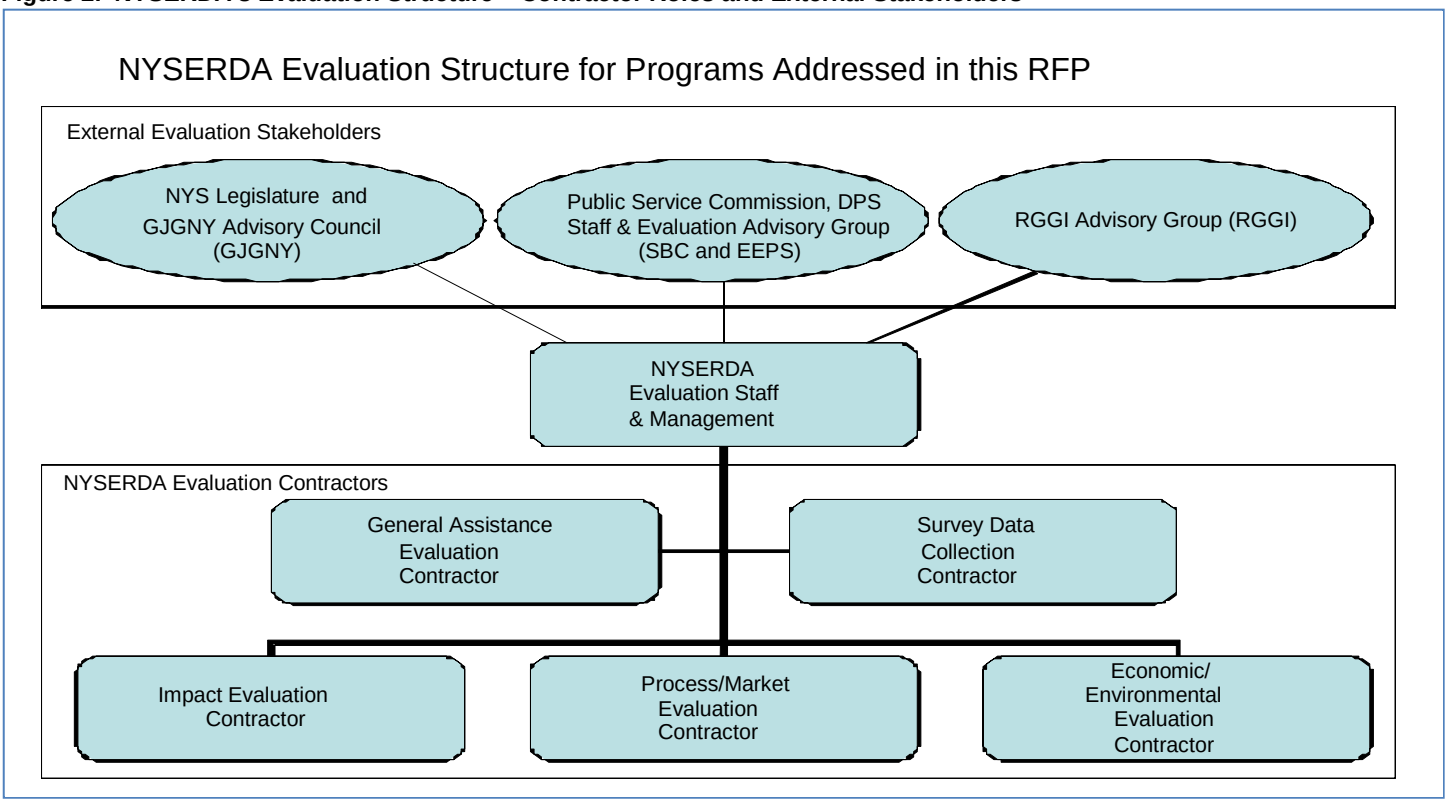


Figure 2. NYSERDA's Evaluation Structure – Contractor Roles and External Stakeholders



The overarching goals of NYSERDA's evaluation efforts are to: (1) conduct credible and transparent evaluations, and (2) provide interested stakeholders with timely and unbiased information regarding program implementation and performance. Evaluation stakeholders include: NYSERDA program staff and managers, the New York State Public Service Commission (PSC), Department of Public Service (DPS) staff[3], the EEPS Evaluation Advisory Group (EAG), the RGGI Advisory Group, the GJGNY Advisory Council, the New York State Legislature and others.

The objectives of this RFP are to procure contractor services to: 1) review Program oversight and operations; (2) gauge customer satisfaction; (3) provide recommendations for program and process improvements and efficiency; (4) characterize markets and specific technology areas, (5) develop program theory and logic models, (6) collect market information as it affects customer response to programs and (7) track progress indicators. It is important to note that similar evaluation activities are currently underway in New York and the number, scope and magnitude of studies pursued by the selected contractor shall be discussed prior to implementing new work.

The selected contractor shall not be precluded from bidding on future NYSERDA evaluation solicitations. However, should the contractor choose to bid on a future NYSERDA evaluation solicitation, the contractor shall describe how conflicts of interest, both actual and perceived, will be resolved.

II. Project Requirements

[3] NYSERDA's evaluation work for SBC and EEPS must be in compliance with the DPS/EAG Evaluation Guidelines and is subject to DPS review.

For purposes of this RFP, the terms process evaluation, market characterization, market assessment, market effects, logic model and design matrix are defined as follows:

Process Evaluation: a systematic assessment of an energy efficiency program for the purposes of evaluating customer response to programs, customer satisfaction, and effectiveness of program strategies and processes with the goal of identifying recommendations for program and process improvements (e.g., program design and operation) and increased program efficiency (e.g., achievement of energy savings and accomplishing program goals).

Market Characterization: Collecting and compiling descriptive data on the markets or technology areas served or targeted, and describing and quantifying the various types of market actors and end-users involved, their roles in the market decision making (e.g., for energy efficiency, peak demand management and renewable energy), types and number of facilities, size of facilities, energy use, energy intensity and demand profiles, key energy-using technologies and energy-related services, etc.

Market Assessment: Setting market progress indicators (e.g., awareness, knowledge, pricing, sales and market share) and time-series measurement of these indicators to determine the effectiveness of market interventions in transforming or developing markets for energy efficiency, energy management and renewable energy products and services.

Market Effects: Determining the impacts of NYSERDA's market transformation programs by establishing a baseline of naturally-occurring adoption and the effect of NYSERDA's programs above and beyond that baseline.

Logic Model: Describes the key inputs, activities, outputs and outcomes and the relationships among these elements in order to logically depict the intended program achievements.

It is anticipated that the selected contractor will review the logic models for the existing NYSERDA programs and update them as necessary and, as new initiatives are developed, complete logic models for those new programs. It is also anticipated that the selected contractor will review previous process and market research and build upon those data collection and analysis approaches to maximize the value of NYSERDA's time-series information while adding new and innovative approaches to address evolving programs and markets.

A. Services Requested

The goal of this RFP is to select a single contractor, or a lead contractor with a qualified team of subcontractors, with the capability to design and implement program and portfolio-level process evaluations, and market characterization and market assessment research and analyses for NYSERDA's SBC3, EEPS, RGGI, GJGNY, and potentially other programs statewide. The selected contractor would be required to plan and conduct process evaluations, and market characterization and assessment research and analyses in a cost-effective and prioritized way that encompasses the needs of NYSERDA's program evaluation and meets with industry best practices and standards for this type of research, including New York State evaluation guidelines for ratepayer funded programs (http://www.dps.state.ny.us/Evaluation_Guidelines.pdf), where applicable. This RFP solicits the expertise of a contractor to provide assistance in determining what programs, technologies or markets would require additional data collection beyond what might already be provided by NYSERDA, its program implementation contractors, or other evaluation assistance contractors. The selected contractor must become familiar with, and address the overall needs of NYSERDA and its ongoing evaluation of its programs.

The selected contractor shall become familiar with the goals and objectives of the program portfolios supported by NYSERDA and gain an understanding for the requirements and timelines for evaluating these program portfolios.

For a description of the program portfolios and individual programs supported by NYSERDA, as well as current evaluation activities, plans and protocols, please refer to the links in Table 1.

Table 1. Links to Key Evaluation Documents

NYSERDA Evaluation Webpage: http://www.nyserda.org/Energy_Information/evaluation.asp
New York Energy $mart[SM]/System Benefits Charge - 2011 SBC Operating Plan (as amended 2-28-11 and revised 4-6-11): http://documents.dps.state.ny.us/public/Common/ViewDoc.aspx?DocRefId={6EBB9B90-C6E2-4C4E-97A5-0AB9A7178965} - Evaluation: http://www.nyserda.org/publications/sbc-final-report-2010.pdf[a]
Energy Efficiency Portfolio Standard - Background: http://www3.dps.state.ny.us/W/PSCWeb.nsf/All/06F2FEE55575BD8A852576E4006F9AF7?OpenDocument - General Evaluation Information (PSC): http://www.dps.state.ny.us/EEPS_Evaluation.html - NYSERDA EEPS Progress Reports: http://www.nyserda.org/publications/sbc-final-report-2010.pdf[a] http://documents.dps.state.ny.us/public/Common/ViewDoc.aspx?DocRefId={D89A9804-B87A-48CE-9801-FBA96424C874} and http://documents.dps.state.ny.us/public/Common/ViewDoc.aspx?DocRefId={D7DC705E-B2CD-4C8F-AADC-ABE95682F5AA}
Regional Greenhouse Gas Initiative - Background: http://www.nyserda.org/RGGI/default.asp - Evaluation: http://www.nyserda.org/RGGI/evaluations.asp
Green Jobs – Green New York - Background: http://www.nyserda.org/GreenNY/ - Evaluation Operating Plan: http://www.nyserda.org/GreenNY/documents/GJGNY_EvalOpPlan_Final_09072010.pdf
[a] This Program Evaluation and Status Annual Report (2010) contains brief program descriptions and progress information on all NYES and EEPS programs.

During the planning and implementation of process and market evaluation activities, the selected contractor must apply a working knowledge of the goals, processes and, if available, results of other relevant studies conducted in New York, regionally or nationally that could be useful to or coordinated with this work. Examples include: New York statewide baseline and potential studies, evaluations undertaken by New York utilities on their energy efficiency programs, studies undertaken by the Northeast Regional Evaluation, Measurement & Verification Forum, efforts by the national State Energy Efficiency Action Network (SEE Action), etc. Such studies may produce outcomes that could be used in lieu of additional NYSERDA-specific primary data collection to accomplish process/market evaluation more cost-effectively.

The separate General Evaluation Assistance contractor shall be responsible for conducting evaluability assessments in an attempt to determine whether a given program has the necessary elements (e.g., tracking system, up-to-date data for essential fields, etc.) to support comprehensive evaluation activities. In particular, among other resources, the General Evaluation Assistance contractor will use the indicators identified in the program's logic model to support this assessment and to ascertain whether the program are adequately prepared for a robust evaluation of the efficiency and effectiveness in achieving its stated goals. The selected Process and Market Evaluation Contractor shall contribute to and use these evaluability assessments in their work, including, but not limited to, the review

and development of program logic models, use of program logic models in evaluation planning and research issue identification, etc.

Tasks and assistance that may be required of the selected contractor include, but are not limited to, the following:

Task 1: Project Kick Off
Within one month of contract signing, the selected contractor shall work with the NYSERDA Project Manager to plan and lead a kick off meeting to discuss overarching goals and objectives, process and market evaluation tasks, project management, project communication and other issues. Deliverables shall include, but not be limited to, draft and final meeting agendas and presentation materials, as well as detailed meeting notes.

Task 2: Process/Market Evaluation Planning
With NYSERDA and a variety of stakeholders, the selected contractor will design and update multi-year process and market evaluation plans for the SBC3, EEPS, RGGI, GJGNY and potentially other programs. Not all of the programs administered by NYSERDA within its SBC3, EEPS, RGGI, and GJGNY portfolios will receive the same amount of attention, and some may not be fully assessed in the initial two-year contract term. The final list of programs that would be assessed will be determined through discussions among NYSERDA staff and the selected contractor after contractor award and during the process of updating and developing the detailed multi-year process and market evaluation plans. Current evaluation plans are provided as reference via the links in Table 1. Given the interrelated nature of NYSERDA's programs across various portfolios – e.g., GJGNY audits and loans supporting implementation of energy efficiency measures using SBC or EEPS incentive programs – the selected contractor must assist NYSERDA in developing effective evaluation plans to assess multiple customer interactions or interventions. Effective and efficient evaluation and sampling designs should collect data to support evaluation of multiple program portfolios where applicable.

At NYSERDA's direction, the selected contractor shall update existing plans, including incorporating any new approaches and schedules, and create new plans for programs that do not yet have a documented evaluation approach. High value will be placed on efforts that ensure continuity of current data collection needs (e.g., time series measurements) but take an innovative, creative approach to the evaluation. NYSERDA expects that all detailed evaluation plan updates and drafting will be completed within four months of contract signing. The contractor shall work with NYSERDA and its other evaluation contractors to discuss preliminary plans during meetings and conference calls, write process/market evaluation plan sections and revise those write ups based on comments from NYSERDA and other stakeholders. Deliverables shall consist of draft and final program-specific or higher level process/market evaluation plans and budgets.

NYSERDA has many different types of market transformation and resource acquisition programs, so the programs should not be evaluated in the same way. The selected contractor shall need to credibly and expertly employ a variety of approaches to evaluate the effectiveness of the program processes and ascertain the key market characteristics and market effects attributable to NYSERDA efforts.

Process/market evaluations may be conducted at the program, sector or portfolio level. Whether any sector or portfolio level evaluations are needed will be determined during the evaluation planning stage. Additionally, process and market studies may be conducted jointly or separately depending on the needs and data collection opportunities identified during the planning stage.

During the course of the contractual agreement, the selected contractor shall remain engaged, as required by NYSERDA in general process/market evaluation planning activities and in further updates to already determined evaluation plans as necessary.

Task 3: Implement Process/Market Evaluation Plans

Process evaluation activities conducted by the selected contractor will include: the implementation of program and portfolio-level process evaluations; tracking of audience awareness of NYSERDA's programs and offerings; evaluation of the overall effectiveness and satisfaction with NYSERDA's solicitation, contracting, accounting, project delivery and project management practices; and reporting and assistance with the use and implementation of process evaluation results and recommendations. More specifically, these activities shall include, but not be limited to:

- Develop necessary analyses, research, or associated activities to cost-effectively, independently, and objectively measure customer satisfaction, behavior, and awareness of the NYSERDA portfolio

- Analysis of internal NYSERDA structure using feedback from process evaluations of program offerings, incentives and initiatives, target audience satisfaction, and program effectiveness

Market characterization and market assessment activities conducted by the selected contractor shall, in general, include collecting, reviewing, analyzing and interpreting primary and secondary data, including market data that will be used to assess market effects associated with market transformation programs. More specifically, these activities shall include, but not be limited to:

- Review and updating existing logic models, as necessary, and developing logic models to reflect new NYSERDA programs

- Assist in determining what programs, technologies or markets require additional market data collection beyond what might already be provided by NYSERDA, its program implementation contractors, or other evaluation assistance contractors

- Develop necessary analyses, research, or associated activities to cost-effectively, independently, and objectively characterize and assess markets in an effort to inform program progress measurement and program direction

Overarching process and market evaluation tasks include, but are not limited to:

- Select target sample and necessary sample size requirements per program, and design and implement program and portfolio-level process and market evaluation surveys and interview protocols (e.g., telephone, Internet, focus groups, site visits, delphi surveys)

- Identify and research program nonparticipants

- Collect and compile data from NYSERDA and its contractors, secondary sources, independent research, and interviews with NYSERDA staff in support of the process and market evaluation

- Conduct statistical analyses, compile date and results into draft and final reports, and present the results, as requested

- Compile and track NYSERDA progress toward implementing process and market evaluation

recommendations and assist with implementing program changes and tracking progress from year to year

- Provide expert interpretation and actionable recommendations of process and market evaluation contractor findings regarding program needs, opportunities to increase efficiency/effectiveness, database issues, etc. based on experience with other evaluations and settings

- Provide process and market evaluation expertise and consultation, including report writing, and presentation of findings, on an as-needed basis for specific projects or targeted programs

- Coordinate with other NYSERDA evaluation contractors to maximize the efficiency of data collection, research and reporting efforts, including sharing market data needed to estimate market effects

Key deliverables to be completed by the selected contractor include:

- Draft and final process evaluation, and market characterization and market assessment research workplans, sampling plans, interview guides, survey instruments and other similar documentation as needed to further define and implement the research approach beyond the detailed evaluation plans developed under Task 2

- Comprehensive process evaluation and market characterization and market assessment reports

- Data files and other back up documentation

- Weekly and monthly status reports

Implementation of the process/market evaluation plans shall begin as soon as final plans are approved by NYSERDA with final reports from process/market evaluation activities conducted in the initial two-year contract completed no later than the end of January 2014. Implementation of process/market evaluation studies will be staggered with some studies completed well in advance of the end of the initial two-year contract period. The selected contractor shall be expected to adhere to agreed upon evaluation project time lines and milestone deadlines since this is essential to coordination with other NYSERDA evaluation contractors and study efforts.

The selected contractor shall coordinate closely and regularly with the other NYSERDA evaluation contractors as required by NYSERDA. The selected contractor shall become fully aware of other data collection efforts planned or underway and consider ways to coordinate with the primary data collection needs of NYSERDA staff, and other NYSERDA contractors, particularly the Impact Evaluation contractor, as requested by NYSERDA. Since some data is required of more than one evaluation contractor to complete analyses, the selected contractor shall keep all other evaluation contractors informed of all data that is delivered as well as the nature of the data. Coordination could include: developing surveys, determining samples to prevent survey fatigue, collecting and exchanging data and analyzing data.

The selected contractor shall be responsible to coordinate with NYSERDA on the design and development of process evaluation, and market characterization and market assessment survey instruments; however, primary data collection (except for field visits and highly specialized smaller-scale studies), should these services be needed, shall be implemented by one or more of NYSERDA's pre-selected survey firm(s) and coordinated by the NYSERDA project manager. The pre-selected survey firm(s) shall be procured by NYSERDA through a separate competitive solicitation process (RFP 2324) and shall provide survey implementation services to NYSERDA and its evaluation contractors. However, the selected Process and Market Evaluation Contractor shall be responsible

for providing expertly designed surveys that are nearly 'field-ready' when shared with the survey firm. The pre-selected survey firm(s) shall supply a cost estimate or cost per complete to NYSERDA for review prior to implementation of the survey. For each individual survey, the survey firm(s) shall provide the evaluation contractor with survey programming, pretesting, sampling assistance, call disposition tracking, regular updates during fielding, budget tracking information, and usable data for analysis. The total funding for these data collection services by the Survey Contractor is up to $3.5 million over six years. This funding is separate and apart from the funding offered in this RFP 2323 and will support surveys by NYSERDA and all of its evaluation contractors, as needed.

In summary, the overall schedule for the work to be completed in the initial term of this RFP is as follows in Table 2:

Table 2.

Task	**Due Date**
Task 1: Project Kick Off Meeting	Occurs within one month of contact signing
Task 2:Process/Market Evaluation Planning	Completed within 4 months from Kick Off Meeting
Task 3: Implement Process/Market Evaluation Plans	All evaluations completed no later than the end of January 2014

In addition to completing the tasks noted above, the selected contractor may also be required to adjust evaluation tasks consistent with overall policy changes as set forth by the Public Service Commission. In the near future, the Commission may issue decisions related to continuation of EEPS and SBC programs. Final decisions may include modifications to policies related to evaluation. NYSERDA will adjust contractor tasks, as necessary, to bring them into alignment with new Commission policies as they affect evaluation.

B. Proposer Qualifications

The use of sub-contractors and or teaming arrangements as needed to fulfill the requirements of this RFP is appropriate. If a team is proposed, respondents to this RFP must be able to demonstrate that they have or can create a teaming arrangement that is directly applicable and consistent with the evaluation needs of NYSERDA's programs and this RFP. The primary contractor of the team shall be responsible for maintaining continuous correspondence with NYSERDA and ensuring all deliverables applicable to the contract are provided to NYSERDA according to an approved time-line line meeting quality standards.

The process and market evaluation work will require the selected contractor to become familiar with and fully understand the breadth and depth of the large portfolio of NYSERDA programs, program and portfolio interaction and relationships, audience bases (contractors, customers, program participants, and nonparticipants), and the processes associated with NYSERDA's programs. The selected contractor should plan on reviewing all evaluation reports that have been conducted for NYSERDA's programs. All available secondary data must be reviewed and analyzed by the selected contractor prior to determining primary data collection needs and budget. In addition, the contractor will be expected to be aware of any other NYSERDA ongoing evaluations, familiar with the evaluation guidelines developed by DPS staff and the EAG, and participate in program evaluation design and coordination activities.

The selected contractor must be capable of thinking critically to interpret findings from data and be able to produce actionable recommendations for use by evaluation and program staff. To put findings into context, the selected contractor shall be responsible for comparing findings from NYSERDA programs to similar programs throughout the country, and must possess and be able to effectively be able to draw upon such experience with other programs.

In addition to the services and expectations described above, the following requirements must also be fulfilled by the selected contractor:

Energy Program/Fuel Type Coverage

- Must demonstrate the expertise or capability to evaluate processes and markets of various types of energy programs including electric, natural gas, fuel oil and propane energy efficiency projects, electric demand reduction projects, on-site generation, as well as programs focused on emission reduction and economic development.

Audience Coverage

- Must have the experience and capability to work with, and conduct analysis for, a wide-variety of energy users including, but not limited to: residential customers (homeowners, renters, lower-income households, etc.), commercial buildings (building owners, property managers, occupants, etc.), decision makers for municipal buildings and facilities, industrial buildings and facilities, etc.

Technical Support Requirements

- Must be able to demonstrate technical expertise and capability to design a process and market evaluation plans and carry out all associated work. Past projects relevant to supporting knowledge and experience in process and market evaluation and field work experience shall be included and summarized in the proposal.
- Must be able to demonstrate technical expertise in survey and interview guide design and development through an understanding and application of survey design principles related to appropriate wording of survey questions, length of survey, survey structure, etc. Past projects relevant to supporting knowledge and experience in survey design and development shall be included and summarized in the proposal.
- Statistical software expertise with SPSS or SAS. Must be able to demonstrate expertise in appropriate statistical analyses and interpretation of various statistical tests associated with survey data.
- Computer software proficiency in MS Excel, MS Access, MS PowerPoint, MS Word, etc.

Reporting Requirements

- Provide weekly and monthly reporting of all activities pertaining to the contract. These status reports shall indicate what specific research efforts are underway, and progress made on those efforts. These reports shall also detail any issues or problems that arise, and the contractor's proposed solution.
- Provide detailed and comprehensive reports on each major research activity/study as it is completed. These reports shall be technical in nature and provide all supporting information that NYSERDA will need to conduct a detailed review of the data, analysis and results. Reports shall also provide sufficient documentation on the data collection and analytical methods so as to allow NYSERDA or another contractor to conduct additional analyses and time-series measurements in the future.
- Provide quarterly reporting of activities, results, analyses for the NYSERDA programs.

C. Contractor's Responsibility

The selected contractor shall be responsible for timely completion of the requirements described in the Services

Requested section of this RFP.

The selected contractor must assume the overall responsibility for: coordinating and developing data collection, analysis and reporting required by this RFP (whether or not done by the contractor or one or more subcontractors); acting as liaison with participating NYSERDA programs and external organizations; and adhering to proposed project budgets and completing the deliverables listed in the Services Requested section of this RFP. Any survey data collection work done by NYSERDA's separate Survey Contractor will be under a separate budget which will be the responsibility of that contractor to manage under NYSERDA's direction.

The selected contractor shall keep NYSERDA informed weekly either by telephone, in-person meetings or e-mail on the progress of the process evaluation and market characterization and market assessment evaluation efforts. The selected contractor shall participate in meetings, as needed, with NYSERDA staff.

In any and all circumstances, evaluation efforts shall be based on the following principles:

- The evaluation process shall ensure objectivity, fairness, and balance in terms of the types of data collected. Only those data deemed necessary for evaluation purposes shall be collected.

- The program evaluation shall be based on sound methodology, credible data and analysis, and adhere to the highest professional standards.

The selected contractor's contribution will allow NYSERDA to assess the program's status and note successes and areas for improvement, as well as help determine the extent to which NYSERDA's programs have achieved its desired objectives. In order to help NYSERDA fully assess achievement of program objectives overall, the selected contractor shall coordinate closely with other NYSERDA evaluation contractors to help present a complete picture of program progress. Where possible, and as requested by NYSERDA, the selected contractor shall conduct joint research efforts with NYSERDA's other evaluation contractors, collect data on behalf of NYSERDA's other evaluation contractors, or use data collected by NYSERDA's other evaluation contractors in order to facilitate a seamless and highly cost effective evaluation function.

D. NYSERDA's Responsibility

The NYSERDA Project Manager will be responsible for overseeing and managing all tasks undertaken by the selected contractor, including but not limited to reviewing, commenting and approving tasks and subsequent deliverables; coordinating with program staff and interested external stakeholders (e.g., when necessary, obtaining approval for deliverables from DPS staff); promoting coordination between the selected contractor and NYSERDA's other evaluation contractors; approving invoices promptly; and reviewing and preparing work products for inclusion in NYSERDA's program evaluation and status reports.

E. Available Funds

In total, up to $7.6 million will be made available for up to six years of activity. The total funding will support up to $4.6 million for an initial 2-year period, with 2 possible 2-year renewals at up to $3.0 million in total (across four years).

The total funding available to support the services requested under this RFP and the program portfolios identified for process evaluation, market characterization and market assessment evaluation, at this time, are subject to

change based on NYSERDA's evolving needs, programmatic responsibilities, and regulatory and legislative requirements.

Note that funds provided to the Survey Contractor, being procured under a separate RFP, can be used to help support process and market evaluation survey work at NYSERDA's discretion. Services provided by the Survey Contractor will come out of that separate contractor budget, not the budget identified above for this solicitation.

III. Proposal Requirements

Proposers must submit one digital copy on a CD-ROM and ten (10) hard copies of the completed proposal to the attention of Roseanne Viscusi at the address on the front of this Request for Proposal. A completed and signed Proposal Checklist must be attached as the front cover of your proposal, one of which must contain an original signature. **Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist may be returned**. Be sure that the individual signing the checklist is authorized to commit the proposer's organization to the proposal as submitted. Proposals that include teaming arrangements must designate one party as the lead contractor. 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. The proposals should not exceed 25 pages, excluding the conflict of interest, cost proposal and appendices. 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 Format

RFP 2323 Proposal Checklist (Attachment A)

Section 1:	Introduction
Section 2:	Statement of Work/Approach
Section 3:	Management Structure
Section 4:	Qualifications, Experience, and References to Similar Projects
Section 5:	Potential Conflict of Interest
Section 6:	Cost Proposal
Section 7:	Process/MCA Evaluation Scenario
Appendices:	Resumes of Key Personnel
	Summaries of Relevant Work Products
	Letters of Commitment

RFP 2323 Proposal Checklist

The checklist is attached to this RFP. It must be attached to all 10 copies of the proposal. At least one copy must contain an original signature.

Section 1: Introduction and General Information (2 pages)
Proposers shall summarize their understanding of the objectives and requirements of this RFP. Proposers shall briefly identify key information about their organization and any other organizations that are part of the proposer's team. Proposers shall describe how the organization or team is qualified to perform and complete the services requested under this RFP.

Section 2: Statement of Work/Approach (8 pages)
The Statement of Work must be consistent with the deliverables and schedule outlined in this RFP. Provide a plan of how you will assist NYSERDA in designing and implementing process and market evaluation plans for NYSERDA's programs and a time-line for completing these activities. Include how you will work with NYSERDA to determine the scope of work for an individual process and market evaluation project, the researchable issues associated with that-project, the appropriate audience coverage, key objectives to be identified in the workplan, the sampling strategies to be used, determination of the proper interview/survey schedule, secondary/market data sources, data collection protocols and analysis strategies, and relevant presentation and reporting requirements. Identify how coordination of data collection and other evaluation efforts with the other evaluation contractors will be achieved and maximized. Describe your approach and methodology, and define your rationale for both. The Statement of Work must be prepared as an ordered set of tasks corresponding to the tasks listed under Section II, Project Requirements, of this RFP. Describe the actions you will take to complete each task.

Section 3: Management Structure (5 pages)
Proposers shall identify all team members, including the Principal or Lead contact, who will be responsible for ensuring that all deliverables and ultimate projects are timely and of good quality, as well as a backup lead person should this need arise. Provide a clear description of the roles and responsibilities of each key person in completing the work plan. Provide the names and addresses of subcontractors. Provide an organization chart. Describe how you plan to coordinate the design and implementation of the process and market evaluation activities among all subcontractors, if applicable, and with NYSERDA. Discuss how you would manage and maintain flexibility to accommodate potentially short notification times, ad hoc assignments and tight deadlines.

Section 4: Qualifications, Experience, and References to Similar Projects (5 pages)
Describe specific experience pertaining to this type of energy process and market evaluation project. Include specific examples of expert survey design, use of secondary/market data, analyses, as well as interpretations and recommendations related to the findings of this work. Discuss proposed teaming arrangements, if applicable. State the team's individual and combined expertise that would enable successful completion of the project. List and briefly describe relevant projects that have been completed by the proposer/proposing team. Indicate which team members were responsible for each project described. Resumes of all team members shall be provided in an appendix. Indicate the name and telephone number of at least three references for whom your organization, or proposed teaming arrangement if appropriate, has recently completed similar relevant projects. Summaries of related work products and other supporting materials that demonstrate your ability to complete the work requested in this RFP may be submitted within the appendix of your proposal.

Section 5: Potential Conflict of Interest
Identify the nature of any potential conflicts of interest among team members in providing services to NYSERDA under this RFP. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connection with performance by team members of the proposed contract. Describe how your firm would resolve conflicts of interest.

In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of a conflict of interest, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work or contractor team assignments to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

Section 6: Cost Proposal

Using the Attachment D Contract Pricing Proposal Form (CPPF) as a template, submit the name, title, and hourly rate or salary range for the initial two-year agreement for each individual proposed to perform the work outlined in Section II Project Requirements, Subsection A, Services Requested (including all subcontractor personnel). Use the CPPF to provide overhead multipliers for the duration of the initial two year agreement. In addition to providing the CPPF for the initial two-year agreement, indicate whether any rate increases would apply to subsequent years after the initial two-year contract period, should NYSERDA elect to renew the contract, and identify the amount of any such increases.

Attach 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 adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

Section 7: Process/MCA Evaluation Scenario (5 pages; scenario cost information is excluded from page limit) Provide a plan for how you would assist NYSERDA in designing and implementing a process and market evaluation of NYSERDA's Home Performance with ENERGY STAR® Program. Include information on how you will work with NYSERDA to determine the scope of work for this program. In addition, outline possible researchable issues associated with this program, the appropriate audience coverage, key objectives to be identified in the workplan, the sampling strategies to be used, interview/survey schedule, secondary/market data sources, data collection protocols and analysis strategies, relevant presentation and reporting requirements, as well as a time-line for completing all of these activities.

Also include a scenario-specific Attachment D Contract Pricing Proposal Form (CPPF) with the name, title, and hourly rate or salary range and proposed number of hours for each individual proposed to perform the work outlined (including all subcontractor personnel). The cost proposal should include direct and indirect costs for each major study component, including (1) design, (2) implementation, (3) analysis, and (4) reporting. Separate from the CPPF form, bidders should provide cost information broken out in each of these four components. The implementation cost component should separately outline data collection activities proposed to be undertaken by the bidder as part of this scenario project and cost of each data collection effort, e.g., in depth interview. Since larger scale data collection, such as Computer-Assisted Telephone Interviewing (CATI) telephone surveys, will be conducted by NYSERDA's Survey Contractor, any proposed larger scale data collection does not need to be included in the scenario cost proposal.

This scenario will be used in the proposal review process to judge bidders' understanding of the project requirements, innovativeness and thoroughness of approach, effective assignment of staffing resources to meet project needs, ability to complete the necessary work in a timely manner, and overall cost effectiveness.

Appendices
Materials to be submitted include:

- Resumes of key personnel that will complete the tasks described in "Section II Project Requirements – Services Requested."
- Summaries of related work products that demonstrate your ability to conduct process evaluations and characterize and assess markets for NYSERDA, and that demonstrate your capability to perform the tasks that would be identified in such a strategy.
- Letters of Commitment from any subcontractors.

IV. Proposal Evaluation

All proposals received by the due date and meeting the requirements established in this RFP will be reviewed and ranked by a Technical Evaluation Panel (TEP) consisting of NYSERDA staff and selected outside reviewers. Final rankings and the contract award will be based on the following Evaluation Criteria:

Responsiveness to the Work Scope of the RFP. Does the proposer present a sound approach for accomplishing the objectives of this proposal? Is there a sound rationale or justification for the proposed approach(es)? Has the proposer demonstrated a clear understanding of the project goals and objectives? Does the proposer appear to have the flexibility to accommodate potentially short notification times and tight deadlines? Has the proposer demonstrated a thorough understanding of NYSERDA's programs? Is there clear evidence that the proposer possesses the capability to evaluate NYSERDA's programs? Is there clear evidence that the proposer possesses the capability to conduct process and market evaluations, including characterize and assess markets and specific technologies, and present this information in clear and concise reports? Is the Statement of Work thorough, specific, and consistent with the stated objectives? Does the response to the scenario demonstrate a complete and thorough understanding of the project requirements?

Relevant Experience and Qualifications. Are key personnel's education and experience relevant to project needs? Is the project staff's overall capability appropriate? Does the proposing team have experience in conducting similar process and market evaluation work? Does the proposing team have the technical expertise in survey and interview guide design as well as statistical software applications? What is the quality of the project staff's performance on past projects or their achievements related to the proposed work? Does the proposer have the technical expertise to understand and synthesize findings generated from technical evaluation contractor reports?

Comprehensiveness of Approach and Management Plan. Does the proposer demonstrate the ability to complete all aspects of the project? Has the proposer demonstrated the ability to institute appropriate data collection and analysis procedures (including statistical analysis software programs)? Are appropriate management and coordination strategies articulated? Are sufficient resources being devoted to the project? Does the proposer demonstrate dedication to this project by key personnel? Is the project organization, including the staffing plan, clear and well-defined? Does the proposer describe a data collection quality control strategy? Is the staffing plan sufficient to provide timely deliverables? Is there one team member designated as the day-to-day NYSERDA contact? Is there a backup lead person designated should the need for this arise? Does the response to the scenario demonstrate effective assignment of staffing resources to meet project needs? Does the proposer's approach to the scenario allow for completion of the necessary work in a timely manner?

Cost. How cost-effective is the proposal? Are hourly rates, overhead rates, indirect cost, other cost multipliers, and total hours reasonable and appropriate for the proposer's and subcontractor's personnel completing the tasks? Are the proposer's and subcontractor's rates cost effective when compared to the cost allocation of comparable

proposals? What is the overall cost-effectiveness of the scenario? Are the scenario cost elements reasonably priced?

Other. Is the proposal well-organized, well-written, and complete? Does the proposal offer economic benefits in New York State? (A local office, while not required, would be considered favorably.) Do appendices include resumes of key personnel and letters of commitment from subcontractors?

V. Procurement Lobbying Requirements

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.

VI. 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 one award under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal. NYSERDA expects to notify proposers in approximately ten (10) 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.

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VII. Attachments

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings of Non-responsibility

Attachment C - Contract Proposal Pricing Form and Instructions

Attachment D - Intent to Propose

Attachment E - Sample Agreement