



Multifamily Deep Energy Retrofit Competition Planning Consultant  
Request for Proposal (RFP) 2438  
**\$50,000 Available**

Proposals Due: March 15th, 2012 by 5:00 PM Eastern Time\*

Program Summary:

The New York State Energy Research and Development Authority (NYSERDA) is seeking a qualified research and planning consultant or consultant team to provide evaluation and analysis of the potential for using a prize competition framework to demonstrate deep energy reductions in the New York City multifamily sector. This analysis will include an initial feasibility assessment along with additional tasks depending upon the results of the feasibility assessment.

Applicants will demonstrate an ability to think critically about the multifamily sector and its energy use. The selected applicant will evaluate the appropriateness of a prize competition framework to achieve deep energy savings, and if deemed appropriate, conduct a review of sector segmentation analysis, interview specific New York City multifamily market leaders, determine the barriers preventing those leaders from realizing deep energy reductions through retrofits in this sector, and selecting and designing appropriate messaging/inducements/other motivational techniques intended to overcome identified barriers. If a prize competition framework is *not* deemed appropriate, the selected applicant will evaluate and suggest alternative, behavioral-based methods for inducing deep energy reductions within the same building stock.

RFP 2438 is intended to result in an award of one contract to the most-qualified applicant. The selected applicant will complete a significant portion of all work within a four month period.

**Proposal Submission:** Proposers must submit eight (8) 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 along with one (1) electronic copy on a standard compact disk (CD). Faxed or emailed copies will not be accepted. Proposals must be clearly labeled and submitted to any of the following locations:

**Roseanne Viscusi, RFP 2438**  
NYSERDA  
17 Columbia Circle  
Albany, NY 12203-6399

**Teresa Cobena, RFP 2438**  
NYSERDA  
485 Seventh Ave, Suite 1006  
New York, NY 10009

**Ivy Johnson, RFP 2438**  
NYSERDA  
726 Exchange St, Suite 821  
Buffalo, NY 14210

If you have technical questions concerning this solicitation, contact Cameron Bard at (212) 971-5342, ext. 3024 or [chb@nyserda.org](mailto:chb@nyserda.org). If you have contractual questions concerning this solicitation, contact Elsyda Ahmed at (518) 862-1090, ext. 3232, or [ela@nyserda.org](mailto:ela@nyserda.org).

No communication intended to influence this procurement is permitted except by contacting Cameron Bard at (212) 971-5342 ext. 3024, or [chb@nyserda.org](mailto:chb@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 will be returned. Incomplete proposals may be subject to disqualification. It is the bidder's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any location other than the addresses above. If changes are made to this solicitation, notification will be posted on NYSEDA's web site at [www.nyserda.org](http://www.nyserda.org).*

## **I. Introduction**

Competition-based frameworks utilizing prizes, whether through recognition, monetary rewards, or other possibilities, have the power to greatly benefit society. Challenges and competitions that do not define solutions allow participants to create and demonstrate new and revolutionary practices that can help to change the behavior of whole groups of people and markets. For the purpose of this initiative, NYSERDA is seeking to evaluate whether a prize competition could potentially help to demonstrate extreme energy savings through the retrofit of existing, New York City multifamily buildings.

The 2009 McKinsey & Company Report “*And the winner is...* Capturing the Promise of Philanthropic Prizes” regarding the development of prize competitions has stressed the importance of examining their potential feasibility and marketability well before the actual competition is implemented. This RFP would allow NYSERDA to select a consultant to help research and determine the feasibility for a deep energy retrofit prize competition in the multifamily sector. If proven to be an appropriate strategy, the consultant would then provide pre-planning and market research intended to assist in the design and deployment of the prize competition. If the results of the initial evaluation result in the determination that a prize competition would not be effective, other strategies for achieving similar deep energy reductions will be assessed, researched, and proposed.

Prize competitions, such as the American Institute of Architects’ New Housing New York Design Ideas Competition, have previously shown success in affecting buildings and their energy use as well as spurring innovative design in the sector that would not have occurred otherwise. While new designs have been implemented in new construction, a first-level review of the research has shown a dearth of competitions being applied to the existing building market. While ongoing efforts like the United States Department of Energy’s Better Building Challenge have encouraged buildings to improve operations and make retrofits, they do not have a singular target for participants to aim for. In contrast, the Metropolitan Magazine and the General Services Administration’s recent Next Generation Design Competition had bold goals but did not actually require the implementation retrofit to actually be implemented. The goal of this RFP is to procure the pre-planning analysis to determine if the best of these approaches can be used in affecting NYC’s multifamily building stock.

The primary responsibilities of this consultant would be to assess the feasibility of deep energy savings in existing multifamily New York City building stock, the appropriateness of a prize competition in the New York City multifamily sector to encourage or promote deep energy savings, develop and produce an understanding of the stakeholders involved, including potential participants; refine the aspirations and goals of the competition; and identify the barriers to implementing a Deep Energy Retrofit prize competition.

## **II. Requirements**

### **A. Services Requested**

NYSERDA’s decision on whether to develop and launch a prize competition will depend on its ability to fully understand the potential problem-solvers and participants and what strategy best addresses their motivations to overcome known barriers. An approach based on such thinking is necessary to make informed decisions about award size, participants, design criteria, and evaluation. The selected consultant will be able to address the following tasks:

#### Determining the Feasibility of a Prize Competition

The primary objective of this project will be to determine whether a prize competition framework is an appropriate vehicle to achieve deep energy savings (defined for this solicitation to be on the order of 60-80% reduction in whole-building, fuel neutral energy use) in an existing multifamily building. The first task of this project will be to identify and understand the existing barriers to deep energy savings. Once those barriers are identified, the selected consultant will need to determine whether or not a prize competition framework would effectively overcome those barriers. This analysis will include a review of materials provided by NYSERDA concerning the

technical demonstration of ways a multifamily building could achieve 60-80% energy savings and whether it is feasible for broader adoption.

If a prize competition is deemed feasible, the contractor should continue to review and adhere to the subsequent services. If a prize competition is *not* deemed effective and/or feasible, the contractor would follow tasks laid out in the “Exploring Alternatives” section.

### Understanding Stakeholders

Emphasis should be placed on not only identifying potential participants of a prize competition, but also how they would compete in this initiative, i.e. individually, teams, partnerships with manufacturers, etc.

The contractor will begin this analysis with four questions:

1. Who might participate directly in the competition?
2. Who might directly or indirectly influence participants to get involved?
3. Who might be willing to be a co-sponsor of competitors, the process, the award, or follow-on effort?
4. Who might directly or indirectly benefit from the winning solution(s)?

Additionally, which motives matter most, and in what mix, will vary depending on the problem – or barrier – and the problem solver. A portion of this task is to study potential participants and what would motivate them to compete in a deep energy retrofit competition. The most basic approach to this research is interviews with representative stakeholders or those that influence them. However, any number of methodologies could achieve the same understanding of defining the barriers and motivations of specific groups of potential participants.

### Choosing an Inducement

If NYSERDA and the consultant are able to establish a clear objective and an understanding of its stakeholders, the type of prize or inducement that best fits the problem and motivates the problem-solvers will then be selected. The consultant should examine motivations both in monetary and non-monetary forms, as well as various recognition mechanisms to induce successful participation in the challenge.

### Exploring Alternatives

If the situation analysis of the efficacy of a prize competition results in the recommendation for NYSERDA not to undertake designing such a competition, the contractor should evaluate alternative, behavioral-based methods for inducing deep energy reductions within the same building stock. Barriers identified in the first task of this RFP should influence what the contractor proposes in this section. For example, if the contractor deems New York City unfit to host such a competition, is there an alternative location where it could work? In addition to location, variables building types should be taken into coordination

### B. Project Schedule

All work identified in this RFP must be substantially completed within a four month period. Applicants should include a detailed schedule, including dates by which the following major study milestones will be completed in relation to contract execution:

- Kick-off Meeting
- Review of Existing Market Sector Analysis
- Objectives and Goals Setting
- Stakeholder Research and Understanding
- Segmentation, Barriers, and Motivations

- Draft Report
- Final Report and Recommended Next Steps

### C. Proposer Qualifications

This analysis and evaluation will require the contractor to be familiar with programs to encourage energy efficiency outside of traditional rebate and incentive programs, specifically behavioral programs and other non-financial motivations. Any previous experience in the evaluation or implementation of these types of programs should be highlighted. Special consideration will be given during proposal evaluation if the proposer has already demonstrated an understanding of New York City stakeholders specific to the energy industry.

A Technical Evaluation Panel (TEP) consisting of NYSERDA staff and external reviewers will review proposals that meet requirements laid out in this RFP.

Prior experience in the following areas shall be used when reviewing proposals:

1. Market research and segmentation;
2. Behavioral initiatives, specifically competitions;
3. Energy efficiency;
4. Incentives, financial and otherwise;
5. Experience pertaining to conducting feasibility analysis

### D. NYSERDA 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 the project collaborators on such reviews and decision-making; promoting coordination between the selected contractor and various project stakeholders, as needed; and approving invoices promptly. The NYSERDA project manager's role will include facilitating input from other project collaborators and resolving any divergent opinions or input received

## III. Proposal Requirements

The checklist is attached to this RFP. It must be attached to all eight (8) copies of the application. At least one copy must contain an original signature.

### **Section 1: Introduction and General Information (2 pages)**

Applicants shall summarize their understanding of the objectives and requirements of this RFP. Applicants shall briefly identify key information about their organization and any other organizations that are part of the applicant's team. Applicants shall describe how the organization or team is qualified to perform and complete the services requested under this RFP.

### **Section 2: Qualifications, Experience, and References to Similar Projects (2-4 pages)**

Describe specific qualifications and experience evaluating competition-based strategies to achieve a specific goal, preferably in the energy sector. List and briefly describe relevant projects that have been completed by the applicant/applying team. Include specific examples of prior work involving: behavioral initiatives, data analysis, New York City based energy efficiency projects, and reporting of findings as well as interpretations and recommendations related to this work. 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 applying 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 as attachments to your application.

### **Section 3: Statement of Work/Approach (2-3 pages)**

The Statement of Work must be consistent with the services requested in this RFP. Provide a plan of how you will determine the feasibility of a competition framework and what activities will be conducted if deemed feasible as well as what activities will be conducted if not deemed feasible. Provide a general description of how you will assess potential stakeholders and participants, as well as barriers to success. Describe the actions you will take to complete each task and provide a schedule for these activities and tasks.

### **Section 4: Management Structure (1-2 pages)**

Applicants 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 an organization chart and discuss how you would structure the team to efficiently and effectively meet the needs of NYSERDA and other project collaborators. Discuss how you would manage and maintain flexibility to accommodate potentially short notification times and tight deadlines.

### **Section 5: Potential Conflict of Interest (1 page)**

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 application; (2) exclude the applicant from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

### **Section 6: Cost Proposal**

Using the Attachment C Contract Pricing Proposal Form (CPPF) as a template, submit the name, title, and hourly rate for the project 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 project.

Applicants must submit eight (8) copies of the completed application to the attention of Roseanne Viscusi at the address on the front of this Request for Proposals. A completed and signed Proposal Checklist must be attached as the front cover of your application, one of which must contain an original signature. **Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist may be returned.** Faxed or e-mailed copies will not be accepted.

### **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.ny.gov/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.

Applications 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 application. Each page of the application should state the name of the applicant, the RFP number, and the page number.

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

1. Describe the basis for the rates proposed (i.e., based on prior period actual results; based on projections; based on federal government or other independently-approved rates).
2. If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
3. If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for NYSERDA to evaluate and confirm that the rate(s) are consistent with generally accepted accounting principles for indirect costs.

NYSERDA reserves the right to audit any indirect rate presented in the proposal and to make adjustment for such difference. Requests for financial statements or other needed financial information may be made if deemed necessary.

### **V. Proposal Evaluation**

Proposals that meet Proposal requirements will be reviewed by a Technical Evaluation Panel (TEP) and will be ranked according to the following criteria:

- **Proposer Qualifications**
  - How available, qualified, experienced and accomplished are the key team members including collaborating partners?
  - Does the team demonstrate an understanding of and familiarity with the relevant market in New York State?
  - How clearly organized is the team, including partner organizations?
  - How appropriate is the organizational structure for the accomplishment of the objectives?
  - How good is the track record of the proposing team members in performing on NYSERDA contracts, if applicable?
  - Is the organization qualified to conduct the requested analysis?
  - Are Letters of intent or support from proposer's collaborative partners included?
- **Budget and Costs**
  - Has the proposer submitted complete budget details?

- Are the financials clearly disclosed and explained?
- Do the proposed project economics show a good value for the proposed cost?
- **Scope of Work**
  - Does the proposer understand the goals of this RFP?
  - Is the proposer's plan to analyze the market and its barriers sound?
  - Does the team have the required technical skills to do a technical assessment of the potential for deep energy savings?
  - Has the proposer laid out a clear plan to conduct research and report results?
  - Are the sources and methodologies presented to collect data reasonable, widely acceptable and universal?
  - Does the proposal represent a clear plan to evaluate data to create meaningful and useful results?
  - How will proposer's plan assist in future activities?
  -
- **Schedule, Tracking, Reporting**
  - Is the proposer's project schedule practical for the work proposed?
  - Are adequate project tracking metrics and reporting mechanisms in place to ensure that the program is achieving specified outcomes?
- **Innovation**
  - Does the proposal include elements that are unique, innovative, or add value beyond what is requested in this RFP?

## 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 <http://nyscrda.ny.gov/~media/Files/About/Contact/NYSERDARegulations.ashx>. 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.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

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

**Tax Law Section 5-a** - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220td\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf)).

Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/2006/illin/st/st220ca\\_606\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/2006/illin/st/st220ca_606_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making 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 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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**VI. Attachments:**

Attachment A - Proposal Checklist - (mandatory)

Attachment B - Disclosure of Prior Findings of Non-responsibility (mandatory)

Attachment C - Contract Pricing Form and Instructions (mandatory)

Attachment D – Sample Agreement