

Proposals Due: September 30th, 2013, 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from experts in behavior research, including experts in the cognitive and decision sciences, in partnership with clean energy program implementation parties who are attempting to influence energy-related decisions and/or behaviors.

This solicitation seeks to contract up to \$422,000 (up to \$100,000 per proposal) for Behavior Research Pilots. It seeks innovative pilot proposals that apply psycho-social insights into human behavior to decisions and behaviors regarding energy and water use and recycling/waste disposal. Proposals must use experimental design to evaluate the effect of the behavioral approaches proposed. Proposals must include a lead behavior expert with an advanced degree in the behavior, cognitive and/or decision making social sciences including (but not limited to) behavioral economics, neuro economics, cognitive psychology, social psychology, behavioral psychology, and the decision sciences. Pilot proposals must include an implementation partner and identify the New York State site(s) where the behavior pilot will be conducted. The \$100,000 maximum NYSEDA funding per proposal is expected to cover all costs associated with designing and evaluating the pilot experiments, and may include all or partial funding for implementation costs. Proposers must demonstrate prior experience designing and conducting experimental social science research. NYSEDA intends to award multiple contracts under this solicitation.

New York State residency is not a requirement for eligibility but proposers must demonstrate the ability to work collaboratively with NYSEDA and to closely monitor the pilot implementation activities. The successful proposers will consult with NYSEDA's project manager and implementation partners to review program goals and identify barriers, and further develop and refine the proposed behavioral interventions prior to contracting to achieve the pilot goals and help New York State reach its ambitious energy reduction targets. All pilot proposals must have a theoretical foundation and expected likelihood of success in influencing the targeted decision making and behaviors.

Proposal Submission: Proposers must address program requirements detailed in the complete solicitation and 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. Proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, PON 2631
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Marsha Walton at (518) 862-1090, ext. 3271, or mlw@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507, or vwf@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Marsha Walton (Designated Contact) at (518) 862-1090, ext. 3271 or mlw@nyserda.org. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

*Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned.

Proposals exceeding the budget allowance will not be considered.

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.ny.gov.

I. Introduction

The goal of this solicitation is to fund a series of behavior research pilots that use behavioral insights into human decision making to influence energy-, water-, recycling- and/or waste-related decisions and behaviors in New York State. The results of the behavior pilots will be used to help clean energy designers and administrators in New York State increase the effectiveness of programs designed to promote energy conservation and energy-efficiency (in buildings and transportation), investments in renewable energy sources, and water conservation and recycling/waste reduction in New York State. NYSERDA's Behavior Research Program will publish the results of the research conducted under this solicitation in a series of case studies on its website.

Each proposal shall be for one behavior research pilot and shall propose an experimental design and behavioral treatment(s). Each proposal shall include a behavioral expert/team with experience designing and evaluating pilot experiments with human subjects, an implementation partner/clean energy program administrator, and an identified site(s) where the work will occur. The behavioral expert/team retained under this solicitation will report directly to NYSERDA's Project Manager and will be responsible for achieving the behavior pilot goals. The behavior pilots conducted under this solicitation will be deployed based on the schedule contained in the proposal, not to exceed two years. Proposers may submit multiple behavior pilot proposals but may not include multiple, unrelated pilots in one proposal. Proposals may seek to pilot one or more behavior strategies within a pilot experiment. The results of the pilots will be published in a series of case studies that will be made widely available through NYSERDA's website, published papers, and presentations at professional conferences. **(NYSERDA anticipates funding several behavior pilots for an aggregate maximum of \$422,000, not to exceed \$100,000 per pilot).**

The experts/teams proposing under this solicitation must hold advanced degree(s) in one of the cognitive and decision sciences, including cognitive psychology, social psychology, behavioral economics, neuro economics, and have experience designing, implementing and evaluating behavioral programs. The experts/teams must demonstrate knowledge of the growing body of behavior/decision sciences literature relevant to influencing prosocial and/or proenvironmental decision making; and be able to work with diverse project partners and dynamic programs. Proposals must include a management plan to show how personnel resources will be coordinated and managed.

The goal of this research is to conduct a range of successful pilot experiments that could serve as models for follow-on, larger-scale behavior demonstration programs and full-scale clean energy programs deployed in New York State. The behavior research pilot proposals should be scalable and have the potential to help New York State achieve its ambitious energy reduction targets. Proposers are encouraged to visit NYSERDA's website to gain a full understanding of the breadth of NYSERDA clean energy programs and help identify the appropriate target market (or clean energy program) for the behavior pilot(s) being proposed.

An independent evaluation consultant has been retained by NYSERDA to review and approve the proposed experimental designs and to oversee the assignment of experimental and control group participants for each of the behavior pilots conducted under this solicitation. The independent evaluation consultant also will conduct a desk top review of the behavior pilot evaluations to verify the claimed incremental energy savings are attributable to the behavioral interventions.

II. Background

Examples of pilot projects that are being solicited include pilots intended to reduce energy use in the home and in the workplace, schools, and industrial plants, as well as pilots to influence hotel guests' behaviors to save energy. The pilots may include in-room messaging, registration prompts, behavior strategies in combination with financial (or other) incentives. NYSERDA is also interested in conducting behavior research in the electric transportation sector; including electric mass transit, and truck stop electrification projects. Large commercial offices and multi-family buildings represent significant potential for energy savings, and behavioral strategies that incorporate intra- and inter-company competitions, real-time feedback, message-framing, and personal and group goal-setting are just a few that may prove fruitful in helping New York State achieve its ambitious energy reduction targets.

Proposals may include foundational research, including telephone and/in person surveys, market testing, pre-pilot test trials, focus groups, field implementation, evaluation data collection, and plans to use metering and feedback technologies. Specific requirements are described below.

It is expected that most of the project meetings and progress reports will be provided electronically and via conference calls, with occasional face-to-face meetings scheduled as needed. The pilot implementation partner in New York State may also attend progress meeting/conference calls.

III. Program Requirements

Specific Requirements: The behavior research pilot proposals are expected to use controlled randomized trial designs that include one or more behavioral strategies to improve the efficacy of an existing or planned clean energy program operating in New York State. Research pilots are not required to work with an existing or planned NYSERDA program or activity, but this is desirable for scalability. Behavioral strategies may include, but are not limited to, one or more combinations of cognitive dissonance, goal setting, prompts, social modeling, justifications, commitment, intrinsic motivations, extrinsic motivations, or competitions. The proposals should include background about the theoretical foundation of the proposed behavior strategy and reference the source(s). Proposals must identify a research hypothesis and behavior change goal, and provide a justification for selecting the behavior strategy/ies chosen.

Behavior research pilot proposals must identify (1) the specific clean energy targets; (2) the barriers to achieving clean energy targets; (3) the proposed foundational research (if not already completed) to clarify barriers and opportunities; (4) the proposed behavior strategies and interventions to overcome identified barriers; (5) the proposed pilot experimental design, including proposed methodology for treatment and control group assignment; (6) an oversight plan for field implementation of the behavior pilot to ensure the validity of the research; and (7) a proposed evaluation plan. If a randomized experimental design is not proposed, the proposer must present an alternative design and provide a justification for the deviation. Proposers are encouraged to attempt to isolate the separate effects of behavior strategies included in the intervention(s) in their experimental designs if feasible. Each proposal must identify the behavior expert(s), implementation partner(s), target audience, and clean energy program (existing or new) that will be the focus of the experimental pilot. Proposals must include a letter of support from the clean energy program implementation partner if appropriate. The behavior research pilot designs will be finalized in collaboration with the clean energy program administrators/implementation partner(s), NYSERDA's Project Manager, and the independent evaluation consultant retained by NYSERDA. All behavior research pilot proposals involving educational institutions will be required to include an Internal Review Board (IRB) waiver or approval prior to implementation.

Range/Scope of Services to be provided: The behavior research pilot proposer shall take primary responsibility for managing the team members included in his/her proposal. He/she shall also be responsible for implementing the behavior pilot(s) funded under this solicitation. The behavior research proposer is responsible for the experimental design and behavioral treatment(s) implemented in the pilot, the field implementation of the pilot, and for evaluating the effects of the behavioral treatment(s). The behavior research proposer may subcontract the implementation of the proposed behavior research pilot and/or the evaluation work. Detailed work scopes and plans for coordination will be finalized in collaboration with NYSERDA's Project Manager. Upon the discretion of NYSERDA's Project Manager, program funding may be used for, but may not be limited to, staff time and overhead charges, incentives, metering, feedback devices and software, and development of intervention materials. Depending on the nature of the pilot projects proposed, the budget of the research pilot may be less than, but cannot exceed, the budget cap of \$100,000 per proposal. A final report and case study for each of the behavior research pilots conducted under this solicitation shall be required. The final reports and case studies will be posted on NYSERDA's website.

The behavior pilot designs should be scalable and relevant to New York's clean energy targets and programs, existing programs and/or potential future programs. The lead proposer shall be responsible for implementing (either directly or indirectly through a subcontract) the pilot experimental designs and for collecting critical data needed for evaluation. The lead proposer also will be responsible for adhering to the work scope and for documenting the work performed.

Proposer Qualifications: Proposers should provide sufficient background information for NYSERDA to judge their proficiency in designing and conducting behavioral experiments using human subjects. The successful proposal shall include a team member with expertise in the decision social sciences. Proposers should convey a solid understanding of the different financial and informational tools available to clean energy programs and how information and incentives, individuals' values, beliefs, decision biases, and the social context of decision making can be used to influence individuals', households', and businesses' energy decisions. A track record of working successfully with organizations to influence prosocial and proenvironmental behaviors is highly desirable but not a requirement for eligibility. Qualified proposers must possess the ability to work collaboratively with energy-efficiency program administrators and NYSERDA's Project Manager. Proposals must include examples of at

least two (2) behavioral experiments designed and evaluated by the proposer. Proposers should include references for these projects and indicate whether the research objectives were met and, if not, a brief statement describing the reasons the experiment failed to accomplish the research objectives. Past experience in designing energy-efficiency programs is not a requirement for eligibility.

IV. Proposal Requirements

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

Proposals should not be excessively long or submitted in an elaborate format that includes expensive binders or graphics. Unnecessary attachments beyond those sufficient to present a complete, comprehensive, and effective response will not influence the evaluation of the proposal. Suggested page limits are offered for each of the sections of the proposal. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format:

- **Proposal Checklist**

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

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

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

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

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

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

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

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

Provide examples of two (2) behavioral research experiments involving human subjects that the lead proposer designed and evaluated.

These examples should be summarized briefly and include information about the behavioral intervention(s) designed and the results of the evaluation. Summaries for each should not exceed more than 2 pages. Electronic links to full reports, if available, are encouraged.

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

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

Describe the tasks that you would undertake to design, implement and evaluate the behavior pilot project that you are proposing NYSERDA fund. Describe the behavioral intervention, the theoretical foundation of the proposed research, the foundational research (if any) you will conduct prior to finalizing the proposed behavioral intervention, your targeted participants, and pilot experimental design (including methodology for assigning participants to control groups and treatment groups. Describe the actions you will take to work collaboratively with the New York clean energy program(s) that are part of your team. Identify procedures you will implement to ensure strict oversight of team members' work and maintain quality control during implementation activities. Describe your evaluation plan and activities, including the statistical tests you would use to evaluate the pilot

project. Identify steps you plan to take to ensure that the experiments conducted under this solicitation will produce conclusive and meaningful results. Define what research integrity means to you and how it will be maintained over the course of conducting the work for NYSERDA.

Organize your Statement of Work to address: (1) the specific clean energy targets of the proposed pilot; (2) the barriers to achieving these clean energy targets; (3) the proposed foundational research (if not already completed) to clarify barriers and opportunities; (4) the proposed behavior strategies and treatment interventions to overcome the identified barriers; (5) the proposed pilot experimental design, including proposed methodology for treatment and control group assignment; (6) an oversight plan for field implementation of the behavior pilot to ensure the validity of the research; and (7) a proposed evaluation plan.

Although it is not a requirement of the solicitation to work with an existing clean energy program, it is highly desirable for scalability reasons. If you are not teaming with an existing clean energy program, describe the plan you propose to transfer the results of your research pilot to a broader audience in New York State and to influence this audience to implement the behavioral intervention that your pilot successfully demonstrated.

- **Budget**

Complete and attach the Contract Pricing Proposal Form (CPPF) to show how the total project budget for consulting services will be spent. The budget should state the number of hours of work for each staff person that would be completed under a budget capped at \$100,000.

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

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

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

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

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

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

- **Cost Sharing**

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

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

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

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

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

- **Annual Metrics Reports** – If awarded, the proposer will be required to submit to NYSERDA's Project Manager on an annual basis, a prepared analysis and summary of metrics addressing the anticipated energy, environmental and economic benefits that are realized by the project. All estimates shall reference credible sources and estimating procedures, and all assumptions shall be documented. Reporting shall commence the first calendar year after the contract is executed. Reports shall be submitted by January 31st for the previous calendar years activities (i.e. reporting period). Please see Attachment E: Sample Metrics Reporting Guides for the metrics that you will be expected to provide and the reporting duration. NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

VI. Proposal Evaluation

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

Proposer Qualifications

Does the proposer/team have the relevant and necessary background, understanding of the literature/research to-date, capability to design, implement, and evaluate the proposed pilot?

Proposed Pilot

Does the proposal's statement of work demonstrate creativity, soundness of experimental design and evaluation methodology, and have the potential for success in achieving its goals and potential for being replicated by other clean energy programs in New York State? Is it scalable?

Proposal Value

Does the proposal dedicate appropriate staff, time, and resources at reasonable prices to accomplish the tasks?

Program Coordination

Does the team demonstrate resourcefulness, cooperation and team work, and include adequate field implementation oversight for implementing a pilot in New York State?

VII. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, PON No. 2631

Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to except it from disclosure, including a written statement of the reasons why the information should be excepted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 <http://nyserda.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
625 Broadway
Albany, NY 12207

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

Empire State Development
Minority and Women's Business Development Division
625 Broadway
Albany, NY 12207

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). 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/current_forms/st/st220ca_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 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. 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 (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers approximately eight weeks from the proposal due date whether your proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

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.

VIII. Attachments:

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non-Responsibility
- Attachment C - Contract Pricing Proposal Form
- Attachment D - Sample Agreement
- Attachment E - Sample of Metrics Reporting Guide