



Impact, Market, and Process Evaluation Contractor
for Technology and Market Development Programs
Request for Proposal (RFP) 2636
Up to \$14.9 million Available

Proposals Due: March 20, 2013 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSEERDA) requests proposals from a single contractor, or a lead contractor with a qualified team of subcontractors, interested in conducting impact, market, and process evaluation activities to support NYSEERDA's evaluation of its Technology and Market Development (T&MD) and selected Regional Greenhouse Gas Initiative (RGGI) programs, as well as the New York Battery & Energy Storage Technology (NY-BEST) Consortium funded by the Clean Air Interstate Rule (CAIR). The selected contractor will assist NYSEERDA in: (1) developing program theory and logic models; (2) planning, designing, and developing program or portfolio-level evaluations; (3) conducting impact and market evaluation to characterize markets and technology areas; track and analyze changes in key progress indicators/metrics over time; identify and verify program outcomes including advancement of new technologies, knowledge transfer, energy savings and other benefits; and provide evidence of causal linkages between program activities and outcomes; (4) conducting process evaluations that examine program oversight and operations, gauge customer and stakeholder satisfaction, and provide recommendations for program and process improvements; and (5) performing other evaluation tasks as directed by NYSEERDA.

The initial term of this contract will be for up to three years up to a maximum amount of \$7.45 million. After the initial three-year term, the contract may be renewed for an additional three-year term at NYSEERDA's discretion for up to another \$7.45 million.

Proposal Submission: Proposers must submit one digital copy in CD 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 2636
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Brian Peter at (518) 862-1090, ext. 3615 or bwp@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elsyda Ahmed at (518) 862-1090, ext. 3232 or ela@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Brian Peter (Designated Contact) at (518) 862-1090, ext. 3615 or bwp@nyserda.ny.gov. 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 NYSEERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSEERDA's web site at www.nyserda.ny.gov.

I. Introduction

NYSERDA has been responsible for evaluation of the System Benefits Charge (SBC) program since 1998. Since that time, other program portfolios have been added, along with associated program evaluation responsibilities, including the Renewable Portfolio Standard (RPS), the Energy Efficiency Portfolio Standard (EEPS), RGGI, CAIR, and the T&MD programs. During this time, NYSERDA 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 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,² internal staff within its Performance Management & Evaluation Systems³ (PMES) department have been assigned to conduct evaluation planning, analyses, reporting, and management of external contractor activities related to the evaluation effort. Within NYSERDA, PMES is organizationally separate from other departments whose staff perform project and program management functions related to implementation and administration of the programs. 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 will continue.

NYSERDA has a long history of working closely with expert, independent contractors to conduct evaluations of its programs. Typically, NYSERDA's evaluation studies have focused on energy efficiency deployment programs which focus on expanding standard practice. In comparison to deployment programs, the technology and market development programs covered by this RFP will require a different set of evaluator skills and tools. The technology and market development programs place more emphasis on research and market analysis, technology development and demonstration, business and market development, and market adoption and expansion.

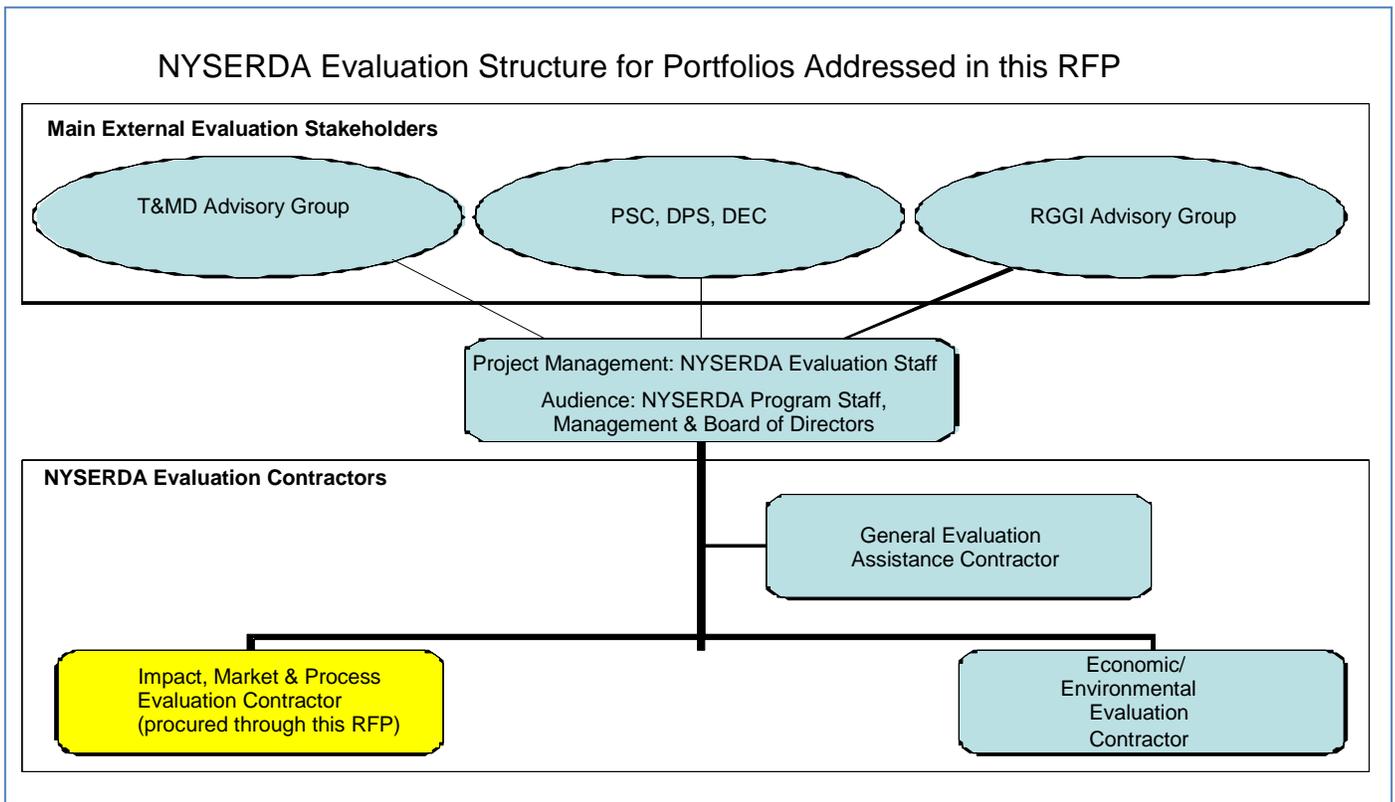
The overarching goals of NYSERDA's evaluation efforts are to: (1) conduct credible and transparent evaluations, and (2) provide interested stakeholders with timely and unbiased information regarding program implementation and performance. Evaluation stakeholders for the portfolios covered by this solicitation include: NYSERDA program staff, management, and Board of Directors, the New York State Public Service Commission (PSC), Department of Public Service (DPS) staff, the New York State Department of Environmental Conservation (DEC), the T&MD Advisory Group, the RGGI Advisory Group, and others. Figure 1 depicts the evaluation structure for portfolios addressed in this RFP.

¹ American Evaluation Association (AEA), *Guiding Principles for Evaluators*, <http://www.eval.org/Publications/GuidingPrinciples.asp>. 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.

³ NYSERDA's evaluation team, formerly within NYSERDA's Energy Analysis department, became part of the new Performance Management & Evaluation Systems department in April 2012.

Figure 1. NYSERDA's Evaluation Structure – Contractor Roles and External Stakeholders



The objectives of this RFP are to procure contractor services to conduct impact, market, and process evaluation activities on the T&MD portfolio, selected RGGI programs⁴, and CAIR. The program portfolios identified for impact, market, and process evaluation, at this time are subject to change based on NYSERDA’s evolving needs, programmatic responsibilities, and regulatory and legislative requirements.⁵ Evaluation activities ultimately pursued by the selected contractor will assess the extent T&MD, selected RGGI, and CAIR programs have addressed objectives specific to each of these funding areas.

Specifically, T&MD objectives that will be assessed include: (1) Moving new/underused technologies and services into the marketplace to help achieve Energy Efficiency Portfolio Standard (EEPS) and Renewable Portfolio Standard (RPS) goals⁶; (2) Validating emerging energy efficiency, renewable, and smart grid technologies/strategies and accelerating market readiness in New York; (3) Stimulating technology and business innovation to provide more clean energy options and lower cost solutions while growing New York’s clean energy economy and (4) Spurring actions and investments to achieve results distinct from incentive-based approaches.

⁴ These programs currently include: Industrial Process Improvement, Transportation Research, Advanced Power Technology, Clean Technology and Industrial development and Climate Research and Analysis. All other RGGI-funded programs will be evaluated by other contractors procured to address deployment programs. As the RGGI portfolio evolves, so might the list of programs evaluated by the selected contractor.

⁵ For example, in its December 17, 2012 *Order Modifying Budgets and Targets for Energy Efficiency Portfolio Standard Programs and Providing Funding for Combined Heat and Power and Workforce Development Initiatives*, Case 07-M-0548 and Case 07-M-0457, the New York Public Service Commission incorporated workforce development initiatives into the T&MD portfolio.

⁶ Per NYS PSC Order, New York’s EEPS goal is to reduce electricity use 15% from forecasted 2015 levels and New York’s RPS goal is to obtain 30% of the State’s electricity from renewable sources by 2015.

Objectives expected to be assessed through evaluating the selected RGGI programs include:⁷ (1) Providing substantial consumer benefits through a range of energy efficiency and renewable initiatives; (2) Stimulating a clean energy economy and economic competitiveness through support of clean energy industrial development, workforce development, and the development of regional priority initiatives to reduce greenhouse gases (GHGs) and grow businesses in New York; (3) Building capacity for action, partnering with municipalities, schools, communities, institutions, and businesses through a variety of programs; (4) planning for climate change through regional sustainability planning and grants, and climate change adaptation and mitigation research; and (5) employing an innovative power sector GHG reduction pilot to identify the most cost-effective, market-ready mitigation options for New York while reducing and avoiding GHG and co-pollutant emissions, demonstrate New York's commitment to its environmental goals, and support a national, multi-sector GHG reduction program.

Related to CAIR funding, evaluation activities will attempt to show progress of NY-BEST in⁸ (1) Accelerating the commercial introduction of energy storage technology in New York; (2) Building the human capital and expertise to sustain a vibrant commercial energy storage industry in New York; and (3) Leveraging seed resources of approximately \$25 million to create a sustainable organization that provides value to its members and to New York State.

Impact and market evaluation will identify and verify how programs are affecting targeted technologies and markets, and leading to advancement of new technologies, knowledge transfer, energy savings, and other benefits. Given the market-based, technology and business development nature of these programs, the impact and market evaluation goals and approaches are expected to be different than for deployment programs. The selected contractor will be expected to rely on cutting edge, innovative approaches to effectively evaluate the impacts of technology and market development programs.

Key process evaluation activities planned to support measurement of these portfolios' objectives and to assess the efficiency and effectiveness of program implementation and administration include, but are not limited to: reviewing program oversight and operations; gauging customer and stakeholder satisfaction; and providing recommendations for program and process improvements and efficiency.

As depicted in Figure 1, three different NYSERDA evaluation contractors are expected to play a role in evaluating the technology and market development programs covered by this RFP. Responsibilities for impact, market, and process evaluation will lie with the contractor selected as a result of this solicitation, and will constitute the majority of the effort. NYSERDA's existing Economic/Environmental Evaluation Contractor is expected to take the lead on analyzing cost effectiveness and macroeconomic impacts, environmental impacts, and certain non-energy benefits for the T&MD, RGGI, and CAIR programs. Although the Economic/Environmental Evaluation Contractor is expected to do most of the analytical work, the contractor selected through this RFP may need to assist in data collection to support these tasks. The General Evaluation Assistance contractor will help NYSERDA staff with oversight and coordination of the T&MD, RGGI, and CAIR evaluation activities to the extent necessary.

⁷ See New York State Energy Research and Development Authority Operating Plan for Investments in New York Under the CO₂ Budget Trading Program and the CO₂ Allowance Auction Program, November 2012 (<http://www.nyserda.ny.gov/Energy-and-the-Environment/~media/Files/EDPPP/Energy%20and%20Environmental%20Markets/RGGI/2012-rggi-operating-plan.pdf>)

⁸ See New York State Energy Research and Development Authority, Program Plan for the Energy Efficiency and Renewable Energy Technology Account Under New York's Clean Air Interstate Rule (CAIR), revised September 2012 (<http://www.nyserda.ny.gov/Research-and-Development/Advanced-Clean-Power/~media/Files/EIBD/Research/Power%20Systems/CAIR%20Plan.ashx>)

II. Project Requirements

For purposes of this RFP, key terms are defined as follows:

Outputs/Leading Indicators: Important program progress milestones. Tracking on these milestones will illustrate progress made by Initiatives, mostly in the near term.

Outcomes/Impacts: Market progress and technology innovation milestones, as well as lasting energy and economic benefits to New York State. Some program outcomes/impacts will occur early in the program cycle, (*e.g.*, energy savings from installed demonstration projects), while others will occur later in the out-years, *e.g.*, energy savings from demonstration project replications, or sales and potential energy benefits of products developed. Program evaluation will be integral to accurately assessing the stated program outcomes/impacts.

Evaluability Assessment: An assessment of each major program to determine readiness for future evaluation. This helps ensure early on that the necessary program tracking or other data is being collected and recorded in a manner that will support examination, through a robust evaluation, of the ultimate outcomes and indicators identified for each program.

Program Theory and Logic Model: Identifies and documents the key inputs, activities, outputs, and outcomes as well as the relationships among these elements, in order to logically depict the intended program achievements and causal mechanisms. Program theory and logic models help guide program implementation and evaluation.

Process Evaluation: A systematic assessment of programs for the purposes of evaluating customer response to programs, customer satisfaction, and efficiency and effectiveness of program strategies and processes. Process evaluation is largely formative in nature, with a primary goal of identifying recommendations for program and process improvements (*e.g.*, program design and operation) and increased program efficiency (*e.g.*, achievement of program goals).

Impact and Market Evaluation: A systematic assessment of technology and market development programs for the purposes of evaluating how the programs have contributed to the objectives described previously for T&MD, RGGI, and CAIR and the extent to which the programs have achieved identified metrics and expected outcomes.

Comprehensive Evaluation Plan: A multi-year strategic plan for all evaluation work proposed for programs within a particular portfolio, including a description of the evaluation goals, activities, and purpose of each proposed evaluation activity, as well as evaluation strategy, budgets, and timelines.⁹

Work Plan: Developed upon approval of the Comprehensive Evaluation Plan, Work Plans will focus on a specific evaluation study being undertaken for a specific program or area. Each work plan includes the goals and objectives of the evaluation, research questions, data sources and collection, sampling methodology, stratification and weighting, surveys and supporting documents, budget, timelines, and deliverables. Additional information is included depending on the needs of a particular evaluation.

⁹ The following document, Appendix A Checklist for an Evaluation Plan and Report, contains a list of elements for evaluation plans which NYSERDA expects to reference as a general format for the Comprehensive Evaluation Plans developed by the selected contractor: Evaluation Plan Guidance for EEPs Program Administrators, November, 2012 ([http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/766a83dce56eca35852576da006d79a7/\\$FILE/EVALGUIDE.11.12.pdf](http://www3.dps.ny.gov/W/PSCWeb.nsf/96f0fec0b45a3c6485257688006a701a/766a83dce56eca35852576da006d79a7/$FILE/EVALGUIDE.11.12.pdf)). NYSERDA will be open to modifications and other formats as needed.

A. Services Requested

The goal of this RFP is to hire a contractor, or a team of contractors, with expertise in evaluating technology and market development programs. The selected contractor will conduct impact, market, and process evaluation activities to assess the portfolio and program level metrics and projected goals outlined in the T&MD Operating Plan, and for selected programs described in the RGGI Operating Plan, and CAIR Program Plan. The selected contractor will apply its expertise to assist NYSERDA in determining what additional data is needed to assess programs, technologies, or markets beyond what might already be provided by NYSERDA, its program implementation contractors, or other evaluation 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 covered by this RFP and gain an understanding of the requirements 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 the list below.

Links to Key Documents

NYSERDA Evaluation Webpage: <http://www.nyserdera.ny.gov/Energy-Data-and-Prices-Planning-and-Policy/Program-Evaluation.aspx>

Technology and Market Development

- 2012-2016 T&MD Operating Plan Revised November 2012 (includes key outputs/outcomes to be assessed by evaluation): [www.nyserdera.ny.gov/~media/Files/General/System Benefits Charge/final-tmd-operating-plan.pdf](http://www.nyserdera.ny.gov/~media/Files/General/System%20Benefits%20Charge/final-tmd-operating-plan.pdf).¹⁰ **Note that in its December 17, 2012 Order Modifying Budgets and Targets for Energy Efficiency Portfolio Standard Programs and Providing Funding for Combined Heat and Power and Workforce Development Initiatives, Case 07-M-0548 and Case 07-M-0457, the New York Public Service Commission incorporated increased funding for Combined Heat and Power and added workforce development initiatives into the T&MD portfolio. This Order also requires NYSERDA to file a supplemental revision to its Operating Plan on February 15, 2013. Please check the website for updates.**
- 2012 Semi-Annual Report through June 30, 2012: <http://www.nyserdera.ny.gov/Publications/Program-Planning-Status-and-Evaluation-Reports/~media/Files/General/System%20Benefits%20Charge/SBC%204%20semiannual%20Report-web.pdf>

Regional Greenhouse Gas Initiative

- Background: <http://www.nyserdera.ny.gov/Program-Areas/Energy-and-the-Environment/Regional-Greenhouse-Gas-Incentive.aspx>
- Evaluation: http://www.nyserdera.ny.gov/Regional-Greenhouse-Gas-Incentive/Evaluations-of-Funds.aspx?sc_database=web

¹⁰ The November 2012 Operating Plan can also be accessed at the Public Service Commission website: <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={C2295387-3A72-408C-BD59-6072CB8EBE27}>.

- Quarter 2 report through June 30, 2012: http://www.nyseda.ny.gov/en/Regional-Greenhouse-Gas-Incentive/~media/Files/EDPPP/Energy%20and%20Environmental%20Markets/RGGI/EA-RGGI-2012%20v%201_FINAL-acc.pdf.

Clean Air Interstate Rule

- Program Plan: http://www.nyserdera.ny.gov/~media/Files/EIBD/Research/Power%20Systems/CAIR%20Plan.ashx?sc_database=web
- 2011-2012 Annual Report: www.nyserdera.ny.gov/~media/2011-12-CAIR-NY-BEST-Annual-Report.pdf

During the planning and implementation of impact, market, and process evaluation activities, the selected contractor must apply a working knowledge of the goals, processes and, if available, results of other relevant studies that could be useful to or coordinated with this work.

Tasks and assistance required of the selected contractor include, but may not be 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, impact, market, and process 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 and identification of follow up tasks.

Task 2: Impact, Market, and Process Evaluation Planning¹¹

The impact, market, and process evaluation work will require the selected contractor to become familiar with and fully understand the breadth and depth of the large portfolio of NYSERDA T&MD, selected RGGI and CAIR programs, audience bases, program strategies, technologies/measures and processes associated with those programs. The selected contractor should plan on reviewing all applicable evaluation reports that have been conducted for the programs covered in this solicitation and similar programs implemented elsewhere. 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, to be familiar with the evaluation guidelines as described in applicable program documents and to participate in program evaluation design and coordination activities.

With NYSERDA and a variety of stakeholders, the selected contractor will design and update a comprehensive multi-year impact, market, and process evaluation plan for each of the T&MD, RGGI, and CAIR portfolios and individual programs within those portfolios. Each plan will focus strategically on higher-level activities for each portfolio, but will include, by program, a description of how the proposed evaluation activities will be implemented.¹² For example, key aspects of these comprehensive plans will be to identify the approach and schedule for evaluating a program with the proposed funding levels to support each evaluation activity.

¹¹ It is recommended that the selected contractor refer to the [DPS Energy Efficiency Portfolio Standard Evaluation Guidelines](#). While these guidelines were written for energy efficiency resource acquisition and deployment programs, they are considered best practice strategies for conducting evaluation and several components of these guidelines are expected to apply to the portfolios covered under this RFP (e.g., components of detailed evaluation plans, statistical standards and sampling, process evaluation protocols, etc.). Additional aspects of these guidelines may be reviewed at a later date for applicability to the portfolios covered under this RFP.

¹² It is anticipated a separate workplan will outline the more in-depth details related to these plans (e.g., sampling strategies, etc).

Not all of the programs administered by NYSERDA within these portfolios will receive the same amount of attention, and some may not be fully assessed in the initial three-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 contract award and during the process of developing and updating the detailed multi-year impact, market and process evaluation plans.

Although many evaluations will likely be completed at the individual program level, NYSERDA has successfully conducted some portfolio level and other high-level/cross-cutting evaluation studies in the past and would encourage this type of study in the future for this portfolio. These non-program specific evaluations are especially desirable if they would be more comprehensive, rational, or cost-effective than traditional individual program evaluations. The selected contractor shall proactively identify opportunities for non-program specific evaluations. Any portfolio-level evaluation plans should identify areas where high level or cross-cutting evaluations are recommended.

Some of the initial steps in evaluation planning will be development of program theory and logic models and conducting of evaluability assessments. At present, another NYSERDA evaluation contractor has been tasked with conducting program logic modeling and evaluability assessments on selected programs covered under this RFP. It is anticipated that the contractor selected under this RFP will review recently developed program theory and logic models, update them as necessary and, as new initiatives are developed, complete new program theory and logic models. It is also anticipated that the selected contractor will review previous impact, market and process evaluation research and build upon those data collection and analysis approaches, as applicable, to maximize the value of NYSERDA's time-series information while adding new and innovative approaches to address evolving programs and markets.

Evaluability assessments will determine the extent to which a given program has the necessary elements (e.g., tracking system, up-to-date data for essential fields, etc.) to support comprehensive evaluation activities. Indicators identified in the program's logic model will support this assessment and ascertain whether the program is adequately prepared for a robust impact, market and process evaluation. The selected impact, market and process evaluation contractor shall create and use evaluability assessments in their work. The contractor selected through this RFP will assume responsibility for conducting and updating evaluability assessments as requested and in consultation with NYSERDA's General Evaluation Assistance Contractor.

As noted previously, the type of technology and market development programs covered by this solicitation typically do not lend themselves to the same level of evaluative accuracy as energy efficiency deployment/resource acquisition programs given the generally more dispersed and longer term nature of benefits. The evaluation plan and subsequent evaluation activities shall reference national best practices for technology and market development, research and development, and market transformation program evaluation and make the best assessment possible given available funding. Evaluation plans and the resultant evaluation reports shall clearly explain the estimated level of accuracy expected and ultimately achieved for each evaluation activity.

NYSERDA expects that all evaluation plan updates and drafting will be completed within four months of contract signing. The contractor shall work with NYSERDA to discuss preliminary plans during meetings and conference calls, draft comprehensive multi-year impact, market and process evaluation plans for each of the T&MD, RGGI and CAIR portfolios and revise them based on comments from NYSERDA and other stakeholders. In addition, other key deliverables associated with this task include reviewing existing program theory and logic models and evaluability assessments and developing new program theory and logic models and associated evaluability assessments as requested by NYSERDA and in consultation with NYSERDA's General Evaluation Assistance contractor.

During the course of the contractual agreement, the selected contractor shall remain engaged in evaluation planning activities and in providing updates to evaluation plans as required by NYSERDA or as brought by NYSERDA's attention by the contractor and approved by NYSERDA.

Task 3: Implement Impact, Market, and Process Evaluation Plans

Upon NYSERDA approval of the evaluation plans, the selected contractor will implement the approved plans in accordance with the high level goals and objectives outlined in Section I, Introduction and in alignment with the outputs, outcomes, and metrics defined in the program operating plans.

Impact and Market Evaluation

Early Impact/Market evaluation activities conducted by the selected contractor will involve collecting baseline information to identify the program effects on the number and knowledge base of market participants and whether barriers to more widespread technology adoption are being effectively addressed. Later evaluation activities will examine technology commercialization and replication, and other effects that take longer to occur. Specifically, Table 1 includes a detailed list of potential market and impact evaluation questions and possible evaluation approaches that are expected to be investigated as part of this T&MD portfolio and program evaluations. Similar questions and approaches, or subsets of these, are expected to apply to the selected RGGI and CAIR programs covered by this RFP. Approaches to address these key evaluation questions will include surveys and interviews with program participants and nonparticipants, case studies, on-site measurement and verification of energy savings for certain technologies, technology commercialization tracking, technology transfer, bibliometric tracking and citation analysis. Other best practice approaches to evaluating technology and market development programs will be identified and implemented by the selected contractor working with NYSERDA and DPS.

The evaluation approaches listed in Table 1 are not exhaustive; NYSERDA will encourage the selected contractor to provide feedback on this list, including relevant experience and lessons learned in implementing these approaches. Further, NYSERDA may consider additional new, innovative approaches not already included on this list, as warranted, to demonstrate progress toward goals. Proposals should address, at least initially, how these and other approaches will be applied to the portfolios and programs covered by this RFP. Proposers should also discuss their experience using these approaches as well as any approaches they would recommend potentially adding or removing from the list and why.

It is important to note that methods typically used in resource acquisition programs to assess attribution of program impacts will likely not be applicable to the portfolios covered under this RFP. That said, the selected contractor will be responsible for identifying causal mechanisms and evidence that program activities are contributing to progress toward goals and key outcomes. Proposers should describe their understanding of causal mechanisms and how they would go about showing how program activities are contributing to the desired outcomes given the challenges present in evaluating technology and market development programs, including but not limited to: long term and multi-phased program/project support, leveraged support from other entities, dispersed impacts, etc.

Table 1. Market and Impact Evaluation Questions and Approaches

Objective: Move new/under-used technologies and services into the marketplace to help achieve EEPS and RPS goals	
Key Evaluation Questions to Assess Program Outcomes and Impacts	Evaluation Approaches
<ul style="list-style-type: none"> • Is the program effectively targeting and reducing barriers to more widespread adoption of the energy efficiency, renewable or smart grid technology or strategy? • Is the program increasing the number and knowledge base of market participants involved with the technology or strategy? 	<p>Surveys and interviews with program participants and non-participants</p> <p>Case studies on funded projects</p> <p>Review of project tracking data and engineering analyses</p>
<ul style="list-style-type: none"> • To what extent have funded projects spurred additional implementation of the technology/strategy, and what are the realized energy benefits from this spillover? • How many technologies have been transferred to deployment programs or adopted by the market, and what is their potential in terms of market penetration and energy benefits? 	<p>On-site measurement and verification of energy savings from funded demonstration projects</p> <p>Technology commercialization tracking, including examination of the number of technologies commercialized and extent of commercialization</p>
Objective: Validate emerging energy efficiency, renewable and smart grid technologies/strategies and accelerate market readiness in NY	
Key Evaluation Questions to Assess Program Outcomes and Impacts	Evaluation Approaches
<ul style="list-style-type: none"> • Is the project achieving its technical and economic milestones? • Has any intellectual property been developed? • Have the factors influencing the industry’s adoption/lack of adoption of the energy efficiency, renewable or smart grid technology been clearly identified, and effectively addressed by the program? • How many technologies have reached commercial availability as a result of the programs? To what extent has commercialization been achieved? • What is the dollar value of commercial sales of supported technologies? How long does it take to generate the technology’s first sales? • To what extent have the outputs supported further development or commercialization of the energy efficiency, renewable or smart grid technology? • What are the potential benefits and costs of the technology at different levels of market penetration? • What are the energy benefits realized in NY for new technologies reaching the marketplace? • What evidence is there of spillover or replication from the funded technologies/projects? 	<p>Surveys and interviews with program participants and non-participants</p> <p>Case studies on funded projects</p> <p>Review of project tracking data and engineering analyses</p> <p>On-site measurement and verification of energy savings from funded demonstration projects</p> <p>Technology commercialization tracking, including examination of the number of technologies commercialized and extent of commercialization</p> <p>Historical tracing, including linking downstream innovation to upstream R&D efforts</p>

<ul style="list-style-type: none"> • For demonstration projects, what are the energy savings and other benefits and costs, including benefits to the utility ratepayer, associated with funded projects and replications?¹³ • What are the overall macroeconomic effects on NY’s economy?¹⁴ • Did the project influence subsequent investment in utility infrastructure? 	
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Objective: Stimulate technology and business innovation to provide more clean energy options and lower cost solutions, while growing NY’s clean energy economy

Key Evaluation Questions to Assess Program Outcomes and Impacts	Evaluation Approaches
<ul style="list-style-type: none"> • Has the program increased the knowledge base of energy efficiency, renewable energy, and smart grid opportunities in New York State? How has the development of partnerships and clusters affected this? • Have new business models and/or practices developed to advance energy efficiency, renewable energy, and smart grid in the state? • Has the program increased the number of clean energy businesses in NY? How have these programs impacted the CleanTech market in New York State? • To what extent has the program played a role in leveraging private capital and other investments in clean energy businesses? • Has the program increased the overall extent of energy efficiency, renewable energy, and smart grid development and investment in New York State? • To what extent are program funding recipients “standing on their own” following SBC funding? 	<p>Surveys with market actors</p> <p>Case studies</p> <p>Collection and analysis of available longitudinal market data, e.g., clean energy businesses active in the market; sales and market share of energy efficient supported products/technologies</p>

Objective: Spur actions and investments to achieve results distinct from incentive-based programs

Key Evaluation Questions to Assess Program Outcomes and Impacts	Evaluation Approaches
<ul style="list-style-type: none"> • What role did the program play in initiating research in this area? • To what extent has the target audience been reached and has the information been used? • How noteworthy are the results? • Have additional project relationships developed among researchers, businesses, and end users of the work? 	<p>Bibliometrics</p> <p>Citation analysis, including frequency</p> <p>Network analysis, including examination of connections established among related research entities</p> <p>Technology commercialization tracking, including</p>

¹³ Note that benefit-cost analysis, specifically, is the responsibility of another contractor and is not part of the services requested in this RFP. The contractor selected under this RFP may be required to coordinate with the contractor conducting benefit-cost analysis or provide inputs to that analysis.

¹⁴ Note that macroeconomic effects analysis is the responsibility of another contractor and is not part of the services requested in this RFP. The contractor selected under this RFP may be required to coordinate with the contractor conducting macroeconomic effects analysis or provide inputs to that analysis.

<ul style="list-style-type: none"> • To what extent have the outputs supported further development or commercialization of the technology? • To what extent have the outputs of research supported policy decisions? • To what extent has the program supported energy efficiency actions, investments and savings separate and apart from incentive programs? 	<p>examination of the number of technologies commercialized and extent of commercialization</p> <p>Surveys with policy makers and other users of the program supported research and analysis</p> <p>Use of baseline and follow up studies on code compliance rates, along with surveys of market actors to determine program attribution¹⁵</p>
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Process Evaluation

Process evaluation activities conducted by the selected contractor will include reviewing program oversight and operations, gauging customer and stakeholder satisfaction, and providing recommendations for program process improvements and efficiency.

Process evaluation studies will mainly be conducted through in-depth, qualitative primary research, and will be supported by secondary research, such as review of program documents as appropriate. Evaluations of NYSERDA’S internal processes, (e.g., solicitation and contracting) may also be conducted. Early process evaluation and logic modeling activities are currently being conducted by NYSERDA’s existing process/market evaluation contractor given the near-term need for this information. Subsequent logic modeling and process evaluation work will be conducted by the contractor selected through this solicitation. The work conducted by each evaluation contractor will be closely coordinated such that data is collected from market actors in the most efficient and least burdensome manner and findings from formative evaluation are incorporated into subsequent studies. Out-year process evaluation activities include follow-ups to the early formative process evaluations or targeted studies to assess certain questions that might arise or issues related to program implementation and audience response.

Important Project Requirements and Considerations

Programs supported by T&MD, RGGI, and CAIR are largely new, requiring a creative evaluation approach. Innovative methods to evaluating these programs will be emphasized with a focus on how program logic models inform evaluation design. Evaluation methods typically conducted on resource acquisition programs may be largely not applicable for these programs, so expertise in the areas of R&D, market transformation, and business development program evaluation is paramount.

The type of programs covered by this RFP typically do not lend themselves to the same level of evaluative accuracy as resource acquisition programs given the generally more dispersed and longer term nature of benefits. For example: information from private sector entities, such as business revenue, may be difficult to obtain because of the proprietary nature of the information; replication of technology demonstrations may be difficult to identify and characterize; and effective networks or relationships between people and ideas may be difficult to identify early in the development of a product or project. NYSERDA is seeking innovative solutions to these types of problems from the selected contractor and will endeavor to use national best practices for technology and market development evaluation and make the best assessment possible given available funding. The evaluation approach for these “next generation” initiatives has been and will continue to be informed by strategies developed by best-

¹⁵ Note that baseline and follow up studies on code compliance levels are expected to be performed by another contractor and are not part of this RFP.

practice resources, such as the U.S. Department of Energy Office of Energy Efficiency and Renewable Energy¹⁶, as well as by the expert input of third party evaluation contractors. Evaluation objectives and approaches will be designed based on the nature of the program and developed by the selected contractor, with input from NYSERDA and other stakeholders, at the onset of the evaluation.

It is expected that evaluation activities will be designed, reviewed and implemented by the selected contractor with input and feedback from NYSERDA and, as necessary, certain stakeholders such as the DPS.

Deliverables

Key deliverables for Task 3 to be completed by the selected contractor include:

- Draft and final research workplans, sampling plans, interview guides, survey instruments, and other applicable documentation as needed to further define and implement the research approach beyond the detailed evaluation plans developed in Task 2
- Deliver Preliminary Results Presentations on completed studies, prior to delivering a draft report. These presentations shall be in Power Point format and shall be delivered in person or by phone for NYSERDA staff and management as well as invited outside stakeholders. These presentations shall provide an opportunity for the contractor to present the research goals and objectives, methods, preliminary findings and recommendations and engage in discussion with meeting attendees to provide context for the written draft report.
- Produce Draft and Final Comprehensive Evaluation Results Reports on the completed studies. Comprehensive Evaluation Results Reports will provide detailed information 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 NYSERDA with data files and other back up documentation. Data files should be cleaned and encoded, as applicable, and provided to NYSERDA evaluation staff in a manner that enables their full review and possible future use for time series analysis.

Implementation of the impact, market, and process evaluation plans shall begin as soon as final plans are approved by NYSERDA with final reports from impact, market, and process evaluation activities conducted in the initial three-year contract completed no later than the end of January 2016. Implementation of impact, market, and process evaluation studies will be staggered with some studies completed well in advance of the end of the initial three-year contract period. The selected contractor shall be expected to adhere to agreed upon evaluation project timelines, milestone deadlines, and budgets, and shall inform NYSERDA, routinely and in advance of making any changes, of any possible deviations from these timelines, deadlines, and budgets.

¹⁶See U.S. Department of Energy Office of Energy Efficiency and Renewable Energy, Overview of Evaluation Methods for R&D Programs: A Directory of Evaluation Methods Relevant to Technology Development Programs, March 2007.

Primary data collection necessary to evaluate the programs covered by this RFP shall be conducted by the selected contractor's team members. The selected contractor shall be responsible for all aspects of impact, market, and process evaluation data collection including, but not limited to:

- Designing and developing survey instruments that are "field ready", including in-depth interviews and other specialized survey efforts
- Primary data collection (including field visits and highly specialized smaller-scale studies)
- Survey preparation and programming, as applicable, as well as survey pretesting to ensure understanding of questions and appropriate flow and make any necessary revisions
- Defining population frames and sample frames, identifying sources of these frames, and designing an efficient and effective sampling strategy to meet the evaluation objectives
- Call disposition tracking, and providing regular updates to NYSERDA during the period of field data collection
- Monitoring budgets and expenditures for all survey work and notifying NYSERDA if costs are different than estimated
- Ensuring quality data for analysis by monitoring data collection progress and implementing data QA/QC processes

Although NYSERDA has procured a separate survey data collection contractor to conduct large scale surveys for its deployment program evaluation activities, any primary data collection necessary to evaluate the T&MD, selected RGGI and CAIR programs (e.g., surveys, interviews, focus groups, site visits) is the responsibility of the contractor selected through this RFP; thus, proposers must include strong primary data collection capabilities within their proposals.

Task 4: Other Reporting

In addition to the comprehensive evaluation results reports outlined in Task 3, the selected contractor shall provide reporting during the duration of the contract term to inform NYSERDA about progress on projects underway, document and justify expenditures, and provide support for required quarterly, semi-annual, and annual reports on the portfolios covered by this solicitation. Each type of report is outlined below.

Project Progress Reports shall consist of 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.

Monthly Expenditure Back-Up Reports shall consist of a spreadsheet file detailing and supporting each of the charges in monthly invoices. The format of this spreadsheet file will be determined in coordination with NYSERDA at the outset of the contract.

Support for Required Quarterly, Semi-Annual and Annual Reports shall provide NYSERDA with analysis, draft sections and other input, as requested, for required T&MD semi-annual, RGGI quarterly and annual, and CAIR annual reports. Such analysis, draft sections and other input are expected to be based on the detailed work performed by the selected contractor in implementing their scope of work and will be assigned to the selected contractor as needed.

Task 5: Coordination

The selected contractor will coordinate with NYSERDA’s General Evaluation Assistance and Economic/Environmental contractors as required by NYSERDA. Coordination with other evaluation contractors or entities may also be necessary.

NYSERDA’s existing General Evaluation Assistance contractor is also expected to assist NYSERDA with oversight, coordination, and high level reporting on the T&MD, RGGI, and CAIR evaluation activities to the extent necessary. As applicable, and with the assistance of NYSERDA’s General Evaluation Assistance contractor, the selected contractor shall become aware of other NYSERDA data collection efforts planned or underway and consider ways to coordinate with the primary data collection needs of NYSERDA staff, and other NYSERDA contractors as needed. Since some data may inform the needs of more than one NYSERDA evaluation contractor, the selected contractor shall keep the General Evaluation Assistance contractor aware 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.

NYSERDA’s current Economic/Environmental Evaluation Contractor is expected to assist with analysis for the T&MD, selected RGGI, and CAIR programs as needed. Activities which the Economic/Environmental Evaluation Contractor is responsible for include: cost effectiveness analysis, macroeconomic impact analysis, analysis of environmental impacts and assessment of certain non-energy impacts. Although the Economic/Environmental Evaluation Contractor is expected to do most of the analytical work in these areas, the contractor selected through this RFP may need to assist in data collection to support these tasks (e.g., adding questions to already planned surveys or interviews to collect input data needed for economic and environmental analyses).

Schedule

The overall schedule for the work to be completed in the initial term of this RFP is as follows in Table 2.

Table 2. Schedule

Task	Due Date
Task 1: Project Kick Off Meeting	Occurs within one month of contract signing
Task 2: Impact/Market/Process Evaluation Planning	Completed within 4 months from contract signing
Task 3: Implement Impact/Market/Process Evaluation Plans	All planned evaluations completed no later than the end of January 2016. It is expected that several of the planned evaluations will be completed prior to this date.
Task 4: Other Reporting	Commences with contract signing and as prescribed for the duration of the contract
Task 5: Coordination	Commences with contract signing and as prescribed for the duration of the contract

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 and other stakeholders. 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 to and consistent with the evaluation needs of NYSERDA and this RFP. The lead 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 and meeting quality standards.

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's T&MD, selected RGGI, and CAIR programs to similar programs throughout the country, and must possess and be able to effectively 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:

Audience Coverage

- Experience and capability to work with, and conduct analysis for, a wide-variety of entities and end use sectors including, but not limited to:
 - Inventors, researchers, entrepreneurs, and investors;
 - Federal, state and local government officials;
 - Training program developers and students;
 - Trade allies, such as manufacturers, retailers and installers;
 - Residential, commercial, municipal, institutional and industrial end-use customers and associated decision makers; and
 - System planners and utility representatives.

Technical Support Requirements

- Must be able to demonstrate technical expertise and capability to design impact, market, and process evaluation plans and carry out all associated work. Past projects relevant to supporting knowledge and experience in impact, market, and process evaluation and field work experience should be included and summarized in the proposal.
- Must be able to demonstrate technical expertise in survey and interview guides and other applicable primary data collection design and development methods. Must exhibit thorough understanding and successful 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.
- Must be able to demonstrate expertise in appropriate statistical analyses and interpretation of various statistical tests associated with survey and other data. Proposers should possess statistical software expertise with SPSS or SAS.
- Computer software proficiency in MS Excel, MS PowerPoint, MS Word, etc.

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 developing, implementing, and coordinating data collection efforts (including fieldwork and surveys); providing the analysis and reporting required by this RFP (whether or not done by the contractor or one or more subcontractors); and completing the deliverables listed in the Services Requested section of this RFP.

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

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

The selected contractor's work products will allow NYSERDA to assess the program's progress, noting successes and areas for improvement, as well as help determine the extent to which NYSERDA's T&MD, selected RGGI, and CAIR programs have achieved their desired objectives. Where possible, and as requested by NYSERDA, the selected contractor shall coordinate closely with other NYSERDA evaluation contractors to help present a complete picture of program and portfolio level progress. In addition, as applicable, 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.

The selected contractor shall employ best-practice data documentation procedures to ensure that NYSERDA can conduct time series measurements in the future. In addition the selected contractor shall provide all data sets from data collection activities to NYSERDA evaluation staff at the conclusion of the study effort, or before if needed. The structure and delivery of these data sets shall be determined upon further discussion between NYSERDA and the selected contractor.

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 on, 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 and facilitating coordination between the selected contractor and NYSERDA's other evaluation contractors; approving invoices promptly; and reviewing or preparing work products for inclusion in NYSERDA's program evaluation and status reports.

E. Available Funds

In total, up to \$14.9 million will be made available for up to six years of activity. The total funding will support up to \$7.45 million for an initial 3-year period, with a possible 3-year renewal at up to \$7.45 million.

The total funding available to support the services requested under this RFP and the program portfolios identified for impact, market, and process evaluation, at this time, are subject to change based on NYSERDA's evolving needs, programmatic responsibilities, and regulatory and legislative requirements.

III. Proposal Requirements

Proposers must submit one digital copy on a CD and ten (10) hard copies of the completed proposal to the attention of Roseanne Viscusi at the address on the front of this RFP. A completed and signed Proposal Checklist 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 for Sections 1 – 4 and excluding the conflict of interest, cost proposal, evaluation scenarios 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 presented in the following format:

RFP 2636 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:	Evaluation Scenarios
Appendices:	Resumes of Key Personnel
	Summaries of Relevant Work Products
	Letters of Commitment

RFP 2636 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 unique services requested under this RFP.

Section 2: Statement of Work/Approach (8 pages)

The Statement of Work must be consistent with the tasks, deliverables and schedule outlined in this RFP. Provide a plan of how you will assist NYSERDA in designing and implementing impact, market, and process evaluation plans for NYSERDA's T&MD, selected RGGI, and CAIR programs and a timeline for completing these activities. Include how you will work with NYSERDA to determine appropriate timing and priority of evaluation projects, the scope of work and key objectives for selected evaluation project, the researchable issues associated with that project, data collection protocols and analysis strategies, approach for any primary research, sampling strategies to be used for any necessary surveys or interviews, secondary/market data sources and their applicability to the study, 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, where applicable. 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 and requirements 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 evaluation activities described in this solicitation among all team members, including 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. Describe your approach to maintaining reliable staffing to service this project, and to ensuring back up assignments are efficiently and effectively maintained so there is no lapse in service if leads become unavailable.

Section 4: Qualifications, Experience, and References to Similar Projects (5 pages)

Describe specific experience pertaining to evaluating technology and market development, research and development, and market transformation programs. Include specific examples of innovative methods and best practices in evaluating these types of programs successfully as well as interpretations, lessons learned and recommendations related to the findings of this work. Include 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 to the proposal. 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 you 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.

The selected contractor shall not be precluded from bidding on future NYSERDA evaluation solicitations.

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 (including escalation rate for each year, if applicable) for the initial three-year agreement for each individual team member proposed to perform the work outlined in Section II Project Requirements, Subsection A, Services Requested (including all subcontractor personnel). As needed, use the CPPF to provide overhead multipliers for the duration of the initial three-year agreement clearly presenting how multipliers are applied to individual team members, including subcontractors. In addition to providing the CPPF for the initial three-year agreement, indicate whether any rate increases would apply to subsequent years after the initial three-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: Evaluation Scenarios (10 pages in total covering both scenarios; scenario cost information is excluded from page limit)

For the Technology & Market Development portfolio's Electric Vehicle Program (Scenario 1) and the Clean Energy Business Development Program (Scenario 2), describe how you would design and conduct an impact/market evaluation to: characterize markets and technology targeted; measure and track changes in key progress indicators/metrics over time; identify and verify program outcomes; and provide evidence of causal linkages between program activities and outcomes. Discuss the evaluation approach to be taken and how the approach will be implemented, including the staffing plan and schedule for the evaluation study.

For each scenario, 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 proposals should include direct and indirect

costs for each major study component, including (1) design, (2) implementation (including primary data collection), (3) analysis, and (4) reporting. Separate from the CPPF form, bidders should provide cost information broken out in each of these four components for each scenario. The implementation cost component should separately outline data collection activities proposed to be undertaken by the bidder as part of these scenario projects and cost of each data collection effort, e.g., cost per completed in-depth interview.

Information from both scenarios 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.

For further information to develop these scenarios, bidders should consult the 2012 T&MD Operating plan: [www.nyserra.ny.gov/~media/Files/General/System Benefits Charge/final-tmd-operating-plan.pdf](http://www.nyserra.ny.gov/~media/Files/General/System%20Benefits%20Charge/final-tmd-operating-plan.pdf).¹⁷ **As noted earlier, the Public Service Commission's December 17, 2012 Order requires NYSEDA to file a supplemental revision to its Operating Plan on February 15, 2013. Please check the website for updates.**

Additionally, a Program Theory and Logic Model report was recently completed by one of NYSEDA's existing evaluation contractors for the Clean Energy Business Development Program. Bidders should discuss the logic model's suggested evaluation approaches in light of their experience and knowledge of evaluating this type of program. Bidders should provide suggestions on specific evaluation approaches and potential alternatives, where applicable. A link to the report can be found below:

Clean Energy Business Development Program Theory and Logic Model Report:

<http://www.nyserra.ny.gov/~media/Files/EDPPP/Program%20Evaluation/2013ContractorReports/2013%20Clean%20Energy%20Business%20Dev%20PLM%20Final%20Report.pdf>

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 impact, market, and process evaluations for technology and market development programs.
- 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 NYSEDA 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. Has the proposer demonstrated a thorough understanding of

¹⁷ The November 2012 Operating Plan can also be accessed at the Public Service Commission website: <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={C2295387-3A72-408C-BD59-6072CB8EBE27}>.

NYSERDA's T&MD, selected RGGI, and CAIR programs? Has the proposer demonstrated a clear understanding of the project goals and objectives? Does the proposer present a sound approach for accomplishing the objectives of this solicitation? Is there a sound rationale or justification for the proposed approach(es)? Is there clear evidence that the proposer possesses the capability to evaluate NYSERDA's programs using innovative, state of the art methods? Is there clear evidence that the proposer possesses the capability to measure the objectives guiding the technology and market development programs? Is the Statement of Work thorough, specific, and consistent with the stated objectives? Does the proposer appear to have the flexibility to accommodate potentially short notification times and tight deadlines? Does the response to the scenarios 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 adequate experience in conducting similar evaluation work? What is the quality of the project staff's performance on past projects or their achievements related to the proposed work?

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 for a project of this magnitude and duration? 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 scenarios demonstrate effective assignment of staffing resources to meet project needs? Does the proposer's approach to the scenarios 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 comparable proposals? What is the overall cost-effectiveness of the scenarios? Are the scenarios' 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 New York 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.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.

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://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
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).

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 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.

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