



REV Campus Challenge -
Energy to Lead Competition
Request for Proposal RFP 3214
\$3,000,000 Available

Proposals Due: **April 4, 2016** by 5:00 PM Eastern Time*
Informational webinars will be held on:
January 27, 2016
February 10, 2016
March 1, 2016

In October 2015, Governor Cuomo announced the **Energy to Lead Competition** to challenge colleges and universities to develop innovative plans for clean energy projects. The competition is part of the Reforming the Energy Vision (REV) Campus Challenge, an effort led by NYSERDA in close collaboration with the New York Power Authority (NYPA) to promote clean energy efforts by recognizing and supporting colleges and universities in New York State that implement clean energy projects and principles on campus, in the classroom, and in surrounding communities. The core values of the REV Campus Challenge are to encourage the sharing of ideas, best practices, and lessons learned amongst institutions of higher education, identify gaps and barriers to clean energy implementation, and provide the targeted resources and professional connections institutions need to succeed.

The REV Campus Challenge is issuing the Energy to Lead Competition to challenge institutions and student-led coalitions across NYS to develop and implement plans that advance clean energy on their campuses and local communities in new ways. NYSERDA anticipates making three (3) separate \$1M awards to the colleges or universities with the best solutions for implementing an innovative clean energy project in energy efficiency, renewables or greenhouse gas emission reduction project.

Proposal Submission: Electronic submission is preferable. Proposals may be submitted electronically by following the link for electronic submissions under RFP 3214 REV Campus Challenge – Energy to Lead Competition, which is located in the “Current Opportunities” section of NYSERDA’s website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Interested parties can also visit <http://www.nyserda.ny.gov/rev-campus-challenge>.

Instructions for submitting electronically are located as Attachment E to this RFP. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer’s entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery. If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed Proposal Checklist, along with a CD or DVD containing both a PDF or MS Word digital copy of the proposal, following the above guidelines. Mailed or hand-delivered proposals must be clearly labeled and submitted to:

Roseanne Viscusi, RFP 3214
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

Questions: If you have technical questions concerning this solicitation, contact Lindsay Holle at (518) 862-1090, ext. 3051 or REVCampusChallenge@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext. 3507 or Venice.Forbes@nyserda.ny.gov.

NYSERDA will hold three (3) information webinars. Links to register for the webinar are provided below, and are also available at <http://www.nyserda.ny.gov/rev-campus-challenge>.

To attend the January 27, 2016 webinar, register at <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=eb5b0ddc974501edcd688fa137e134296>

To attend the February 10, 2016 webinar, register at <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e88352cc31321836fa4ac8c29e82a967a>

To attend the March 1, 2016 webinar, register at <https://nyserda-events.webex.com/nyserda-events/onstage/g.php?MTID=e399ddad6c72e2a3b449369a38fe9474d>

No communication intended to influence this procurement is permitted except by contacting Lindsay Holle at (518) 862-1090, ext. 3051 or REVCampusChallenge@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 will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserda.ny.gov.

I. Introduction

The Energy to Lead Competition will be administered through the REV Campus Challenge. The REV Campus Challenge is part of Governor Andrew M. Cuomo's REV strategy to build a clean, resilient, and affordable energy system for all New Yorkers. The REV Campus Challenge recognizes achievements among institutions of higher education and enables exchange of best practices and lessons learned. The REV Campus Challenge seeks to help colleges and universities meet their financial, environmental, academic, and community goals through clean energy solutions that also help scale up total clean energy use in New York State.

The Energy to Lead Competition was announced by Governor Cuomo on October 2, 2015 as a \$3M clean energy competition for colleges and universities. NYSERDA anticipates making three (3) separate \$1M awards to the colleges or universities with the best solutions for implementing an innovative clean energy project in energy efficiency, renewables or greenhouse gas emission reduction project. Applicants are encouraged to think of unique ways to plan, fund, and implement projects to increase impact, student leadership and involvement, and community engagement. The solicitation is seeking commercially viable technologies.

Teams are invited to submit plans for projects that will demonstrate innovations in one or more of the following ways:

- **Project Design:** Layering concepts or established technologies in a new kind of application or bundled in new ways that increases the overall impact (either from immediate greenhouse gas (GHG) reductions standpoint or future replicability)
- **Business model:** a new way of paying for a project, lowering costs, or creating new revenue streams.
- **Innovative Partnerships:** an approach to build on an on-campus project to advance clean energy in the surrounding community, and/or other institutions, business or communities across NYS.
- **Curriculum integration:** a model for integrating project construction, implementation, or operations into student coursework, workforce training, or internships.

NYSERDA will continue to accept proposals until 5:00 PM Eastern Time on April 4th, 2016. Eligible proposals submitted by this deadline will be considered. See Section II entitled "Program Requirements" and Section III entitled "Proposal Requirements" of this document for more details. It is anticipated that resulting awards will be announced in April 2016.

II. Program Requirements

- All two- and four-year public and private colleges and universities in New York State are eligible to apply.
- Proposals must be submitted by a staff or faculty member currently employed by the respective institution.
- Proposals must include at least one undergraduate or graduate student enrolled at the respective institution in New York State as of April 22, 2016.
- Teams may include external, third party consultants, service providers, or entities.
- A group or consortium of institutions may choose to collaborate and submit a single proposal. The proposal shall designate a single institution to be the lead applicant. The lead applicant must provide letters of support from each institution involved in the project and include at least one student from each participating institution on the proposal team. The lead applicant, if successful, will have a contractual obligation to NYSERDA and will act as the main point of contact for NYSERDA for all project-related matters.
- The project must include a clean energy investment on a New York State campus but does not necessarily need to be limited to the campus.
- Projects should utilize commercially viable products and solutions that have already been accepted by the market. Projects should **NOT** fund technology development and/or pilot demonstrations of unproven technologies.
- Proposers may include one specific project in their application or may target multiple projects or initiatives in a single application.
- Awardees will be required to publicly share project updates and participate in at least one conference to present the project to be determined during contract negotiation.

Proposals will be evaluated based on the degree to which the proposal responds to the requirements outlined in Section III of this document entitled “Proposal Requirements.” Work associated with the development and submittal of this proposal may **NOT** be included in the proposal budget. Any portion of the project commenced prior to the establishment of a fully executed contract with NYSERDA is **NOT** eligible for reimbursement. Projects must be ready to commence within the calendar year of award notification in accordance with the implementation schedule provided as part of the proposal.

III. Proposal Requirements

A completed and signed Proposal Checklist (Attachment A of this RFP) must be attached as the front cover of your proposal. Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned.

Applicants should respond to every Criteria listed in the table below unless otherwise noted, and are encouraged to use other descriptions to demonstrate how their project meets the objectives of the Energy to Lead Competition.

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.

All eligible proposals will be reviewed and evaluated based on responses to the Criteria listed below.

Criteria	Description
Synopsis	<ul style="list-style-type: none"> • In two or more sentences state what the project is; including its objectives and goals and whether the institution is a REV Campus Challenge member.
Innovation	<ul style="list-style-type: none"> • How is this project innovative and unique? Describe how the project is changing the status quo. • In what way(s) does the project demonstrate the concepts stated in the Introduction Section on page 3: project design, business models, innovative partnerships and/or curriculum integration in new and innovative ways? Note: Projects should utilize commercially viable products and solutions that have already been accepted by the market. Projects should NOT fund technology development and/or pilot demonstrations of unproven technologies. • What problem(s) does the project aim to solve? How have other approaches attempted to solve these problems and why is this approach better?
Project Team	<p>Provide a list of all team members including each member's:</p> <ul style="list-style-type: none"> • Roles and responsibilities in developing the proposal and implementing the project • Resume and/or CV • The value and skills each member brings to the team and how their participation on the team strengthens the overall project. <p>Note: Each team must include at least one student representative per institution.</p>
Project Impact	<p>Greenhouse Gas (GHG) Emissions</p> <ul style="list-style-type: none"> • Describe how this project will reduce or mitigate GHG emissions. • Quantify, where possible, and include the methodology for calculating GHG emissions impact, clearly listing all assumptions and providing citations for all sources. <p>Note: A spreadsheet is acceptable, but should include a narrative.</p>

	<p>Replicability</p> <ul style="list-style-type: none"> • Discuss how this project may pave the way for similar projects on campus or on other campuses in NYS. • Provide anticipated areas of lessons learned and/or other best practices that could be shared because of the implementation of this project. Note: Awardees will be required to publicly share project updates and participate in at least one conference to present the project. <p>Metrics</p> <ul style="list-style-type: none"> • How will the proposer know if the project is successful? What key metrics or milestones will illustrate success? <p>Resiliency (as applicable)</p> <ul style="list-style-type: none"> • Describe the ways in which the project may make the campus and/or community more resilient. <p>Economic Development (as applicable)</p> <ul style="list-style-type: none"> • Describe the ways in which the project may lead to economic development in NYS.
Project Viability	<p>Provide a project implementation plan that includes a timeline and budget (please provide a budget in the form of the Attachment C – Contract Pricing Proposal Form).</p> <ul style="list-style-type: none"> • The timeline must show project commencement within the calendar year of award notification. • The budget must total at least \$1 million, and should clearly identify any sources of funding for the project outside of this solicitation. Note: Cost-share is NOT a requirement. The \$1 million award can be used to fund the entire project. • Include a description of any work that has been completed to date. • Budgets may include funding allocated to project implementation, including but not limited to equipment costs, third party and/or consultant costs, and internal costs. <p>Include answers to the following:</p> <ul style="list-style-type: none"> • How does the project support deployment of proven clean energy technologies or clean energy principles? • Demonstrate commitment from the institution and relevant stakeholders. Include letters of support, as applicable. • To what extent would the award of \$1 million enable the project or aspects of the project to move forward that could not otherwise proceed? • Identify and describe any anticipated barriers or challenges to project implementation and how the Team plans to overcome them.

Exceptions, to NYSERDA’s standard contracting Terms and Conditions. Applicants must agree, or provide written exceptions, to NYSERDA’s standard contracting Terms and Conditions contained in the Sample Agreement (Attachment D of this RFP). NYSERDA reserves the right to condition awards pending applicant acceptance of industry-appropriate or other NYSERDA program equipment performance, measurement and verification, or commissioning requirements that are not specifically outlined in this guidance document.

In compliance with §139-j and §139-k of the State Finance Law (see Section V, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Attachment A 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 may disqualify your proposal.

Budget support

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

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

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

IV. Proposal Evaluation

Projects will be reviewed and awarded on a competitive, one-time basis. Projects will be evaluated based upon the Criteria detailed in Section III, Proposal Requirements. No proposal or applicant is guaranteed funding. NYSERDA may condition awards upon applicant acceptance of requests for minor modifications to project scopes to ensure that Energy to Lead goals are met. NYSERDA anticipates making three (3) \$1M awards.

Eligible, complete proposals will be reviewed by a Technical Evaluation Panel (TEP). Proposals will be evaluated based on the responses provided to the criteria outlined in Section III entitled "Proposal Requirements".

V. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to 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://www.nyserda.ny.gov/About/-/media/Files/About/Contact/NYSERDA-Regulations.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 Attachment A Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Attachment B 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 three awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the project. 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 Attachment D - 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 Attachment A - 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 in approximately two 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.

VI. Attachments:

Attachment A - Proposal Checklist

Attachment B -Disclosure of Prior Findings of Non- Responsibility

Attachment C – Contract Pricing Proposal Form and Instructions

Attachment D- Sample Agreement

Attachment E – Instructions for Submitting Electronic Proposals