



**Innovation Advisory Services Pilot Program**  
Request for Proposals 3267  
**\$750,000 Available**

Proposals Due: **August 25<sup>th</sup>**, 2016 by 5:00 PM Eastern Time\*  
Additional Due Dates to Be Announced

Through this Request for Proposals (RFP), NYSERDA is seeking to establish a distinguished advisement program that provides an opportunity for top tier management and technical talent to actively contribute towards achievement of New York's energy and environment goals, and to the overall growth of the clean energy market within the state. As such, NYSERDA is seeking to secure the services of Innovation Advisors: Business and technology experts with extensive experience in corporate management, startups, technology development and commercialization, investment, and operational transformation. The Innovation Advisors will apply their substantial technology subject matter expertise and corporate and startup experience to help NYSERDA's Technology and Business Innovation (TBI) department achieve its mission and goals through development and implementation of impactful program strategies, new practices to improve organizational effectiveness, advisement of staff and portfolio companies, and application of private industry best practices. Selected Innovation Advisors will become an integral part of the NYSERDA TBI team during their term and gain unique experience in working with a nationally recognized public benefit corporation focused on clean energy innovation.

**Proposal Submission:** Electronic submission is strongly preferred. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, applicants 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 applicant's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nysesda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located as Attachment C to this RFP.

If mailing or hand-delivering, applicants 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 and 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 3267**  
**NYS Energy Research and Development Authority**  
**17 Columbia Circle**  
**Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Bryan Berry at (518) 862-1090, ext. 3537 or [Bryan.Berry@nysesda.ny.gov](mailto:Bryan.Berry@nysesda.ny.gov), or Stephen Wolk at (518) 862-1090 ext. 3021 or [Steve.Wolk@nysesda.ny.gov](mailto:Steve.Wolk@nysesda.ny.gov). If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or [Nancy.Marucci@nysesda.ny.gov](mailto:Nancy.Marucci@nysesda.ny.gov).

No communication intended to influence this procurement is permitted except by contacting the above listed Designated Contacts. Contacting anyone other than these Designated Contacts (either directly by the applicant or indirectly through a lobbyist or other person acting on the applicant's behalf) in an attempt to influence the procurement: (1) may result in an applicant being deemed a non-responsible offerer, and (2) may result in the applicant not being awarded a contract.

\* Late submissions will be returned. Incomplete submissions may be subject to disqualification. It is the applicant'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](http://www.nyserda.ny.gov).

## **I. Introduction**

Over the past decade, NYSERDA's Research and Development initiatives have been a key driving force in the growth of the clean energy market segment in New York State through its support for applied research, policy development, product development and demonstration, and business development. This support has contributed towards the market entry of numerous innovative clean energy products, and has helped many emerging companies secure private follow on investment: since 2005, 23% of NYSERDA's product development investments have resulted in a commercialized product; 34% of awardees have secured follow on investment. The R&D department, now known as Technology and Business Innovation (TBI), is made up of 35 experienced professionals across a wide variety of disciplines including engineering, economics, business development, and hard sciences. Most members of staff hold advanced degrees and/or PhD's, and typically have over 10 years of private sector experience. The department is organized into five focused groups that represent TBI's Strategic Priorities: Transportation, Buildings, Renewables and Distributed Energy Resources, Smart Grid, and Business Development; and allocates its resources primarily towards applied research and technology development, with an emphasis on commercialization and market entry for the innovations that are supported.

NYSERDA has recently reached an inflection point in its history represented by the launch of a 10-year \$5b commitment to the growth of the clean energy market and achievement of ambitious energy and emissions goals. This commitment, known as the [Clean Energy Fund](#), will guide the NYSERDA operations for the near future. TBI is evolving its operations to maintain and improve upon the significant contribution towards the growth of the clean energy market segment in the state. A key aspect of this evolution is continuing to improve the strategic approach for identifying areas for investment during the course of the resulting projects; and to be maximally efficient with the capital the department will be deploying in support of clean energy technology and business development. To that end, and to assist in the development of new strategic and operational solutions, NYSERDA is seeking advisement services, on an independent contractor basis, from individuals that have substantial experience with corporate management, startups, technology development and commercialization, and operational transformation. Drawing from the collective experiences of such a resource would contribute directly towards the effectiveness of NYSERDA's TBI department by applying corporate and startup best practices across all operations and by leveraging unique technical expertise. Further, by bringing in outside perspectives from those who have an "ear to market", it will strengthen the department's ability to identify and respond to emerging opportunities and needs.

The Innovation Advisor Program is itself a long-term commitment by NYSERDA, and offers the opportunity for top tier management and technical talent to actively contribute towards TBI strategy, the development of impactful program tactics, improvement of internal business processes, and the growth of NYSERDA staff and portfolio companies; all of which will assist NYSERDA in its pursuit to achieve ambitious energy, environmental, and economic goals and the realization of NYSERDA's Clean Energy Fund [vision](#). Advisors will be key collaborators embedded within TBI and will work directly with management and staff, supported companies, and other key stakeholders in New York's clean energy market.

## II. Program Requirements

An applicant to this RFP will provide advisory services on a contract basis and will assist with the overall development, implementation, and management of TBI strategy, tactics, and investments. This includes but is not limited to specific contributions towards the following:

- Assessment and adjustment of the solicitation, proposal evaluation and project selection, project management, and portfolio characterization processes;
- Development of a professional development program to educate staff on key business readiness, commercialization, and technology concepts;
- Dissemination of cutting edge technology trends to TBI staff to inform program development;
- Aggregation and communication of internal best practices and accumulated knowledge/expertise of TBI staff;
- Direct consultation with TBI portfolio companies;
- Contribute towards activities that will result in effective and impactful investment of NYSERDA TBI funds;
- Engage with TBI staff and portfolio companies during project design and management;
- Contribute towards internal business process improvements;
- Help develop and implement new processes/mechanisms to elevate business readiness during project; evaluation, procurement, and project management;
- Research and evaluate Best Practices/Benchmarks at similar institutions and develop recommendations for consideration; and
- Perform other responsibilities as requested.

As stated above, NYSERDA Innovation Advisors will be established professionals with significant experience with corporate management, starting and growing early stage companies, and/or technical subject matter expertise. As such, Advisors must have the following qualifications:

- Demonstrated experience in issues related to intellectual property, corporate management, strategic planning, startups, technology development and commercialization, regulatory affairs, and operational transformation,  
*and/or*  
Demonstrated deep subject matter expertise in a technical discipline which is relevant to New York State's clean energy market.
- Demonstrated ability to establish, grow, and manage new businesses or business units within an established corporate environment.
- Demonstrated ability to lead diverse teams and to affect operational and/or cultural change within an existing organization.
- Demonstrated ability to develop relationships with key stakeholder groups including governmental agencies at the Federal and State level involved in research and development.
- Strong project and people management skills and the ability to successfully multi-task, set priorities and meet deadlines in a fast-paced environment
- Exceptional verbal and written communication skills.
- Ability to be a self-starter and function well independently and in teams.
- Excellent computer skills (Word, Excel, PowerPoint, etc.).

Minimum educational requirements include:

- A Bachelor’s degree in engineering or engineering management; physical, chemical or biological sciences; finance, law, business, economics, or entrepreneurship and a minimum of 15 years of relevant experience or,
- An unrelated Bachelor’s degree and 20 years of relevant experience as noted above

Preference will be given to those candidates that possess:

- A Master’s degree in Business Administration (MBA)
- A Master’s degree in engineering or engineering management; physical, chemical or biological sciences; finance, law, economics, entrepreneurship, or an interdisciplinary degree that combines technology and finance
- A proven record of experience with start-up or early-stage companies and/or leading large operational transformation efforts at established corporate entities.

Each contract will have an initial term not to exceed 12 months but may be extended at NYSERDA’s sole discretion if significant value is provided. Following the initial due date, submissions will be accepted and assessed quarterly by a scoring committee on the basis of best value to NYSERDA. The committee will consider: uniqueness of qualifications, potential impact on TBI operations and investment performance, and potential of the advisor to address/fulfill identified departmental and portfolio needs (see evaluation criteria below). NYSERDA may in exceptional circumstances and in its sole discretion, increase the award amount and/or adjust required hours of service per week for unique or outstanding applicants with demonstrated qualifications. NYSERDA recognizes that applicants may be seeking assignment as an Innovation Advisor on a sabbatical basis from their current employer, therefore consideration will be given to those potential candidates that provide cost share or employer provided sponsorship (e.g. not-for-profit supplemental stipend) that offset total costs to NYSERDA.

### III. Submission Requirements

Applicants are encouraged to proactively identify advisory topics (to the best extent possible) that would benefit NYSERDA, portfolio companies, and other stakeholders in New York’s clean energy segment. NYSERDA will identify specific assignments and establish a catered scope of work based on individual qualifications and current organizational needs.

Submissions should concisely and clearly demonstrate the applicant’s expertise and accomplishments and the relationship to the requirements of this RFP and NYSERDA investment areas and strategy (see below). Submissions 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 applicant should provide the following:

1. Narrative Statement of Qualifications (3-page limit)
 

The narrative statement serves as the “cover page” of the submission and will describe the applicant’s professional history, accomplishments, and other elements. Applicants should consider TBI’s investment approach and strategic priorities (see “[Clean Energy Fund Information Supplement](#)”, refer to section 8.2) and describe how their expertise could be leveraged in pursuit of department goals.

  - a. Professional history and accomplishments to date
  - b. Rationale for seeking to serve as a NYSERDA Innovation Advisor
  - c. How past professional experience or areas of expertise could be leveraged to benefit NYSERDA TBI’s strategy and operations
  - d. Other relevant information the applicant wishes NYSERDA to consider
2. Resume/Curricula Vitae (2-page limit)
3. Cost Proposal (1-page)
  - a. Applicant availability and proposed hours per week

With respect to physical location: preference is to have selected Innovation Advisors be physically embedded at NYSERDA's Albany office. However, other arrangements may be considered, including a split between Albany and other locations. Applicants should describe geographic constraints, proposed location of service, and their ability to be equally as effective if not physically embedded.

- b. Cost proposal providing proposed hourly billing rate and overall contract value. Applicants will be required to provide justification for a proposed hourly billing rates during the contract negotiation period (post award notification).
4. References and Letters/Statements of Support
- a. Provide three professional references
  - b. Provide, at the applicant's discretion (not required), up to 3 letters of support from current or past colleagues, customers, clients, or others who support the applicant's submission.
  - c. Potential conflicts of interest. To the best of the applicant's knowledge, identify any involvement the applicant has or has had with NYSERDA portfolio companies, both direct recipients of funding, or indirect recipients of support (e.g. incubator tenant). Identify all other potential issues or conflicts of interest.

A completed and signed Proposal Checklist 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. Faxed or e-mailed copies will not be accepted.**

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 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.

#### **IV. Proposal Evaluation**

NYSERDA will review each submission and may contact selected references to determine whether an applicant has the necessary expertise to successfully perform the tasks required through this Program. Submissions will be reviewed by a Scoring Committee using the Evaluation Criteria below. Following an initial review of the submission package by the Scoring Committee, favorable applicants will be invited to an in-person discussion/presentation with NYSERDA staff. Final award determinations will be based both on the initial submission review and this discussion.

##### **Evaluation Component**

###### **A. General Criteria**

1. Does the submission include all required elements?
2. Overall is the submission professionally prepared, reasonable, and likely to positively impact NYSERDA TBI operations?

###### **B. Experience and Qualifications**

1. Does the applicant's training, experience, or qualifications meet the requirements of the advisement program, as specified in this RFP?
2. Has the applicant provided appropriate documentation showing required experience or qualifications?

3. Are the applicant's qualifications relevant given the strategic and tactical approach envisioned for NYSERDA's TBI department?
4. Does the applicant's qualifications and expertise address NYSERDA needs or is it likely to help advance the growth of the clean energy market segment in New York State?

### **C. Cost Proposal**

1. Is the availability and billing rate reasonable given the applicant's qualifications?
2. Is the applicant's availability sufficient to accomplish the stated goals of the engagement?

### **D. References/Letters of Support**

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

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

Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at [http://www.tax.ny.gov/pdf/current\\_forms/st/st220ca\\_fill\\_in.pdf](http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf)). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

**Contract Award** - NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the submission. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify applicants in approximately 4 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 applicant 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 applicant 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. Applicants must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

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**VI. Attachments:**

Attachment A - Proposal Checklist

Attachment B - Disclosure of Prior Findings

Attachment C - Instructions for Electronic Submission

Attachment D - Project Personnel and Rate Form

Attachment E - Sample Agreement

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