



New York State Acid Deposition and Mercury: Data Development and Publication Pilot
Program Opportunity Notice (PON) 2870
\$400,000 Available

**Proposals accepted on a first-come, first-served basis through
December 30, 2016 by 5:00 PM Eastern Time***

NYSERDA's Environmental Research Program (the "Program") seeks to increase the understanding and awareness of the environmental impacts of energy choices and emerging energy options, and to provide a scientific, technical foundation for formulating effective, equitable, energy-related environmental policies and resource management practices. The Program focuses on critical information needs and research gaps associated with electricity-related environmental issues relevant to New York State. Go to <http://www.nyserda.ny.gov/Environmental-Research/EMEP.aspx> for more information on the Program.

The Environmental Research Program has supported research and monitoring of sulfur (S), nitrogen (N), mercury (Hg) and other electricity generation pollutants for more than a decade. These activities, and those of other entities, have resulted in a sizeable number of diverse datasets, distributed among researchers and organizations. These datasets often hold value beyond the scope of their original purpose, but due to time and financial constraints too often they are not reevaluated for additional benefit, outside of their original intent.

With changing policies, advances in scientific techniques and the need to be increasingly cost-effective, it would be advantageous to reassess these datasets to extract additional value and understanding. This PON seeks qualified individuals, entities and teams to organize and evaluate existing data in new ways and report on those findings. Selected projects will advance policy relevant, scientific understanding through the use of existing data and report on that information either through open-access peer reviewed publication(s), a NYSERDA report or both. In addition to these, each project will also develop a brief document that translates scientific findings into a form, and in a context, useful to policymakers and other informed but less technical individuals. Presentations at scientific meetings, conferences and briefings to regulators and policy makers are encouraged.

Proposal Submission: Proposers must submit one (1) copy of the proposal on CD, in Word or PDF format (a copy in each format preferred), along with one (1) complete paper copy, including the Proposal Checklist, which must contain an original signature. Proposals must be clearly labeled and submitted to:

Roseanne Viscusi, PON 2870
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this PON, contact Gregory Lampman at (518) 862-1090, ext. 3372 or ggl@nyserda.ny.gov. If you have contractual questions concerning this PON, contact Nancy Marucci at (518) 862-1090, ext. 3335 or nsm@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Gregory Lampman (Designated Contact) at (518) 862-1090, ext. 3372 or ggl@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 proposers 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, incomplete, or unsigned applications will be returned. Faxed or e-mailed applications will not be accepted. Applications 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 website at www.nyserda.ny.gov.

I. INTRODUCTION

Electricity generation is a major source of oxides of nitrogen and sulfur (NO_x and SO_x), volatile organic compounds, fine particles, greenhouse gases, and air toxics such as mercury (Hg). These pollutants are associated with acid rain, smog, visibility degradation, climate change, and increased human and wildlife mortality and morbidity. The Environmental Research Program has supported research and monitoring of SO_x, NO_x, Hg and other electricity generation pollutants for more than a decade. These activities, and those of other entities, have resulted in a sizeable number of diverse datasets, distributed among researchers and organizations. These datasets often hold value beyond the scope of their original purpose, but due to time and financial constraints too often they are not reevaluated for additional benefit, outside of their original intent.

With changing policies, advances in scientific techniques and the need to be increasingly cost-effective, it would be advantageous to reassess these datasets to extract additional value and understanding. This PON seeks qualified individuals, entities and teams to organize and evaluate existing data in new ways and report on those findings. Selected projects will advance policy relevant, scientific understanding through the use of existing data and report on that information either through open-source peer reviewed publication(s), a NYSERDA report or both. In addition to these, each project will also develop a brief document that translates scientific findings into a form, and in a context, useful to policymakers and other informed but less technical individuals. Presentations at scientific meetings, conferences and briefings to regulators and policy makers are encouraged.

Total NYSERDA funding for this pilot program is limited to \$400,000 and may not be sufficient to fund all proposals received. Individual projects are capped at \$40,000 in NYSERDA funding. Funding is available through December 30, 2016 or until funds are exhausted, whichever comes first. Additional funding may be available to support publication of results as “open-access” in peer-reviewed journals or for travel expenses related to public policy briefings.

Proposals will be evaluated independently, on a first-come, first-served basis. NYSERDA reserves the right to negotiate with the selected proposers to adapt their proposed project to maximize benefits to the goals of NYSERDA’s Environmental Research Program. Cost-sharing by proposers of at least 25% is desired but not required.

II. PON REQUIREMENTS AND LIMITATIONS

This PON seeks proposals to reanalyze data, datasets and synthesize multiple datasets to gain additional understanding of ecosystem function and response to changing N, S, and Hg depositional loads. Selected projects will be required to publish the findings either in open-access, peer reviewed journals, or through a NYSERDA report. In addition to these, each project will also be required to develop a brief document (2-4 pages) that translates scientific findings into a form, and in a context, useful to policymakers and other informed but less technical individuals.

Selected projects must address research needs identified in NYSERDA’s Environmental Research Program Plan Research Area 1: Ecological Effects of Deposition of Sulfur, Nitrogen and Mercury (<http://www.nyserda.ny.gov/Energy-and-the-Environment/Environmental-Research/EMEP/Documents.aspx>) and be highly policy relevant.

New sample collection or chemical analyses are not eligible for funding under this PON.

Students are not eligible to submit proposals, but may receive funding support through selected proposers.

NYSERDA reserves the right to reject proposals in which an investigator(s) identified in the proposal is an investigator on a current NYSERDA awarded project with chronically delinquent project deliverables (such as reports).

No investigator may receive more than 30% of the funding available under this PON.

Investigators are not eligible to have more than two (2) active projects funded under this PON at one time.

III. PROPOSAL REQUIREMENTS

Proposers must submit one (1) compact disk containing a complete proposal and proposal checklist in Word or PDF format (one of each preferred), along with one (1) complete paper copy. The paper copy must include an original signature on the Proposal Checklist which must be attached as the front cover of the proposal. Proposal packages must be sent to the attention of Roseanne Viscusi at the address on the front of this PON. Applications will be accepted on a first-come, first-served basis, with funding available through December 30, 2016 or until they are exhausted, whichever comes first. . **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.**

Proposals must follow the format below. Proposals should include sufficient, succinct information to complete the required descriptions and answer the questions described in the Proposal Evaluation criteria listed in Section VI. The maximum length of each proposal section is shown. Proposers may contact Gregory Lampman at ggl@nyserda.ny.gov or 518-862-1090, ext. 3372 before preparing a proposal to discuss PON goals and proposal requirements.

III. Part 1: Project Description (Maximum page length noted in parenthesis)

A. Proposal Checklist Cover Sheet (1 page)

A signed and completed Proposal Checklist must be attached to the front of the proposal. *Proposals lacking the appropriate completed and signed Proposal Checklist will be returned.*

B. Project Description (1-2 pages)

Briefly describe the proposed project in a succinct way that contains all of the necessary information for a cursory understanding of the project. Summarize how the project will make use of existing data or datasets. Identify the datasets that will be used, where those datasets currently reside and for which purposes they were originally developed. Identify the Research Focus areas in NYSERDA's Environmental Research Program Plan Research Area 1: Ecological Effects of Deposition of Sulfur, Nitrogen and Mercury (<http://www.nyserda.ny.gov/Energy-and-the-Environment/Environmental-Research/EMEP/Documents.aspx>) to be addressed. Briefly describe how the project will inform current broader science and policy questions .

Provide a description of how the findings will be conveyed to policy makers and scientists. This could include a plan for briefings to policy makers, presentations at scientific conferences, open-access publications, outreach materials, magazine articles etc.

C. Management Plan and Qualifications (1 page)

Briefly describe the project Management Plan that includes the personnel and organizations participating in the project and the role that each will play. In particular, include relevant information about the expertise of the *lead investigators*.

D. Letters of Commitment or Support (1 page each)

If you are relying on other organizations or businesses to do work, provide data or share in the non-NYSERDA cost, include a letter from that organization or business describing their commitment. If the use of unpublished data from other researchers is necessary for the project to be successful, letters of support showing the availability of these data must be included. **The absence of letters of commitment or support will be interpreted as the proposer not having commitment or support from those parties.**

E. Schedule (1 page)

Provide a schedule showing starting and completion times for all major tasks, in terms of months after project initiation.

F. Budget (1 page plus backup if appropriate)

Provide a list of individuals contributing to the project, hourly rates associated with each, and the number of hours each is expected to provide to the project. Along with this, include any indirect cost (Overhead) rate(s) and appropriate documentation to support indirect cost rate(s) included in your proposal as follows:

- 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).
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- 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 NYSEDA 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.

III. Part 2: Supporting Documentation

A. 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 is 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 PON 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 PON will disqualify your proposal

B. Annual Metrics Reports

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

IV. PROPOSAL EVALUATION

Proposals that meet the proposal requirements will be reviewed by a Technical Evaluation Panel (TEP) on a first-come, first-served basis using the Technical Evaluation Criteria below. NYSERDA reserves the right to negotiate the actual scope and cost of selected projects.

A. Technical Evaluation Criteria (listed in order of importance)

Usefulness and Value of Project Results

Does the proposal address one (1) or more Research Focus areas in NYSERDA's Environmental Research Program Plan Research Area 1: Ecological Effects of Deposition of Sulfur, Nitrogen and Mercury

(<http://www.nyserderda.ny.gov/Energy-and-the-Environment/Environmental-Research/EMEP/Documents.aspx>)?

How relevant can the project results be expected to be in validating or informing New York State or federal policies, regulations, or impact assessments? How suitable are the proposed project methods and overall research design for meeting the project objectives and yielding accepted results? Is the schedule appropriate to the level of effort?

Management Plan and Qualifications

Are project responsibilities clearly delineated? Does the proposer have the qualification to successfully undertake the described work? Does the proposer include partnerships with other entities? Have letters of support demonstrating the availability of data been included (if appropriate)? Have letters of support from sub-contractors been included (if appropriate)?

Cost Criteria

How justifiable and reasonable are the overall costs compared to the expected usefulness of the project results in informing policy? Is the level of effort and duration of the project appropriate to the goals? How justified and reasonable are the proposer's cost allocations and co-funding contributions (cash, in-kind services, etc.)? Are hourly rates and/or overhead charges excessive?

Communication of Results

How promising is the reporting and information transfer plan for successfully using project results to realize the potential benefits of the project? Has the proposer developed an outreach approach that brings added value to their project?

B. Other Considerations

If an investigator(s) identified in a proposal is an investigator on a current NYSERDA awarded project, for which project deliverables (such as reports) have been consistently delinquent, such delinquency will be considered negatively in the evaluation of the current proposal.

Projects will be reviewed to determine whether they reflect the overall needs and objectives of the Environmental Research Program, including:

- The balance among projects of long- and short-term benefits and risk/reward relationships, and whether similar projects are presently or have been previously funded.
- The general distribution of projects of diverse topics related to Program goals.
- The ways in which the proposed project fits with currently funded projects.
- The ease of measuring project success in quantifiable ways.
- If applicable, the responsiveness of the proposer in conducting other NYSERDA-funded work.

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://nyserda.ny.gov/~media/Files/About/Contact/NYSERDARegulations.ashx>. However, NYSERDA cannot guarantee the confidentiality of any information submitted.

Omnibus Procurement Act of 1992 - It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises, as bidders, subcontractors, and suppliers on its procurement Agreements.

Information on the availability of New York subcontractors and suppliers is available from:

Empire State Development
Division For Small Business
625 Broadway
Albany, NY 12207

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

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

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain new 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 perspective contractor prior to contacting and filed with NYSERDA. *See*, ST-220-CA (available at http://www.tax.ny.gov/pdf/2006/killin/st/st220ca_606_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf> .

Contract Award - NYSERDA anticipates making multiple awards under this PON. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. 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 expects to notify proposers in approximately three (3) weeks from the receipt of the proposal whether your proposal has been selected to receive an award.

Limitation - This PON 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 PON when it is in NYSERDA's best interest.

Disclosure Requirement - The proposer shall disclose any indictment for any alleged felony, or any conviction for a felony within the past five (5) 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 A-1 – Acceptance of Standard Terms and Conditions

Attachment B – Disclosure of Prior Findings of Non-responsibility Form

Attachment C – Contract Pricing Proposal Form (CPPF) and Instructions

Attachment D – Sample Agreement

Attachment E – Sample Metrics Reporting Guide: Information Dissemination

Attachment F – Solicitation Marketing Questionnaire