

Staff Augmentation / Contracted Services
Request for Proposal (RFP 3143)

Proposals Due: (8/12/2015) by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) is soliciting proposals from qualified contractors to provide consulting services for technical projects across the Authority. From among the Proposals received, the Authority intends to select a list of qualified firms to perform consulting services related to the Authority's Information Systems infrastructure (hardware and software systems). It is the intent of the Authority to empanel a group of qualified information services consultants to be used on an as needed basis for a period of approximately 5 years. The Authority reserves the sole right to terminate the empanelled list early. Placement on the empanelled list does not guarantee that NYSERDA will actually contract for services with the consulting firm. Individual engagements of consulting services from empanelled firms are anticipated to range from 3 months to 24 months, but may vary based on Authority needs.

Proposal Submission: Electronic submission is preferred, but NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposals must be submitted in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility (PDF format only). 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. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are available on the website and as Attachment E to this RFP.

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 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 3143
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

All proposals must be received by NYSERDA by 5 pm on (8/12/2015).

Technical questions concerning this RFP may be submitted to glen.kaatz@nyserda.ny.gov with the subject line "RFP 3143 Question." For contractual questions concerning this RFP, contact Elsyda Ahmed at (518) 862-1090, ext. 3232 or Elsyda.ahmed@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Glen Kaatz (Designated Contact) at (518) 862-1090, ext. 3203 or glen.kaatz@nyserda.ny.gov. Contacting anyone other than this Designated Contact (either directly by a Proposer or indirectly through a lobbyist or other person acting on a Proposer's behalf) in an attempt to influence the procurement: (1) may result in the 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.

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1. BACKGROUND

1.1 Corporate Background

NYSERDA is a public benefit organization committed to identifying opportunities for reducing commercial and residential energy consumption, promoting the use of renewable energy sources, and protecting the environment. NYSERDA provides financial and technical assistance to help consumers, businesses and institutions assess and implement cost-saving energy efficiency measures.

Energy efficiency programs offered at NYSERDA also strive to provide affordable energy and a cleaner environment for all New Yorkers. This is accomplished by increasing public awareness of the multiple benefits of energy efficiency, by providing residential building performance services, and by making energy-efficient products more widely available to consumers.

1.2 Typical Business Process

NYSERDA makes five types of investments (also referred to as incentives or grants) to secure energy and environmental benefits:

- Investments to partially fund an energy-related construction project;
- Investments to fund a pilot or demonstration project which include aspects of funding a construction project and the other associated costs of the pilot itself;
- Investments to partially fund or provide services through a third party to a business or entrepreneur to develop a technology or product;
- Investments to partially secure risk associated with a private loan portfolio; and
- Investments to partially fund other types of energy-related projects or activities not characterized as construction or technology/product development.

Each type of investment is initiated with either a bid for a competitive program or an application for an open enrollment program.

After a review process, a decision is made whether to award a bid for a competitive program or to accept an application for an open enrollment program. NYSERDA then enters into a contract with selected bidders and applicants.

The selected bidders and applicants complete the work required by the contract and provide proof of completion as well as other information as stated in the contract. NYSERDA then issues payment of the incentive or grant. Some programs issue only one payment for the work performed while others issue multiple payments over time based on a pre-defined schedule or on demonstrated operational performance. NYSERDA often continues to collect energy and economic data after the final payment.

1.3 Systems Background

There are three types of front line systems currently supporting NYSERDA's project management, workflow and program reporting functions:

- Custom web applications (usually Microsoft .NET) built and maintained by internal staff;
- External systems on various platforms that are hosted and maintained by program implementation partners; and
- Spreadsheets and other data sources created and maintained by program staff.

These systems contain information about project details, contacts, location, energy production and savings, project and payment statuses, and incentive amounts and payments.

NYSERDA's financial accounting and contract administration system (NEIS) is on a PeopleSoft/Oracle platform on top of a Microsoft SQL database. The system is hosted externally but maintained by internal IT staff as well as the hosting contractor. There is limited integration of NEIS and the project management systems described above.

NYSERDA developed and maintains a custom data warehouse on an SQL Server platform that utilizes Informatica as a data quality rules engine and Tableau as a front-end reporting tool. This system is used to improve data quality and to centralize much of the program reporting requirements at NYSERDA.

NYSERDA recently installed Salesforce to consolidate disparate CRM data for part of the organization and is currently undergoing a needs assessment to leverage Salesforce for future program management efforts in an effort to reduce the number of external disparate systems.

1.4 Systems Strategy

NYSERDA's strategy with regard to systems and technology is to consolidate disparate commercial and internally developed products and platforms onto COTS or enterprise solutions; reduce complexity, integration points, and ongoing cost of operations; and reduce customization wherever possible by modifying workflow in order to fit out-of-the-box or configured solutions. This will enhance NYSERDA's ability to calibrate and adapt its technology layer to best support its evolving programmatic and policy goals.

2. PROJECT SCOPE AND REQUIREMENTS

2.1 Objectives

The goal of this project is to create a panel of selected firms upon which NYSERDA can quickly and easily acquire staff augmentation and consulting resources to support Authority initiatives across the entire spectrum of its technology stack.

NYSERDA expects this project to achieve the following objectives:

- Provide a cost effective source of resources to support its technology staffing needs.
- Streamline business processes around onboarding consulting resources.
- Create sustainable partnerships with qualified firms to create mutually beneficial relationships.
- Provide a flexible configuration to meet new and changing business requirements and programs.
- Reduce administrative overhead and maintenance costs associated with initiating individual contracts.
- Enable identification and procurement of potential full time resources for NYSERDA should need be deemed operational rather than project based.

2.2 Scope of Work

Selected firms may be requested to enter into contract(s) with the Authority to provide services, including, but not limited to, the following items:

1. Consulting, training, implementation support, development, and/or project management for Oracle PeopleSoft 9.2 running on Microsoft SQL Server 2012 Enterprise, WebLogic Server, Kemp load balancers, Microsoft BI Publisher and all related hardware and software.
2. Programming, training, systems design and development of applications in Microsoft SQL Server, SharePoint 2010 and Microsoft Visual Basic 2010 running in a Windows environment that employs the latest Office suite available under Office 365 and MS Outlook as standard desktop PC products.
3. Consulting, training, implementation support and/or project management for implementing Windows Server, Windows Active Directory (2003-2012 domains), Exchange Server, Systems Center Configuration Manager, SharePoint 2010, Internet Information Server and other Microsoft products.

4. Consulting, training, implementation support and/or project management for improving the Authority's network including the Cisco core infrastructure as well as various anti-SPAM, firewall, anti-virus and web content filtering appliances & products.
5. Consulting, training, implementation support and/or project management for improving the Authority's server and storage environment (VMWare, VMWare View, NetApp Storage Systems, Tintri Storage Systems, Veeam Backup, etc.)
6. Consulting, training, implementation support and/or project management in support of the Authority's Salesforce environment (Salesforce CRM, Salesforce Communities (Customer and Partner), Force.com development, etc.)
7. Consulting, training, implementation support and/or project management in support of the Authority's geospatial information environment (ESRI ArcGIS desktop, ArcGIS server, etc.)
8. Consulting, training, implementation support and/or project management in support of the Authority's data warehouse environment (VMWare, SharePoint 2013, Informatica, Tableau, MS SQL 2012 Enterprise, data modeling tools, SSRS, etc.)
9. Provide programming and/or business analyst support for existing Microsoft .Net custom web, SharePoint, and console applications using SQL Server 2012 Enterprise, .Net 4.0 C# and VB, SSRS, Crystal Reports, SharePoint 2007 and newer, and SSIS Packages.
10. Consulting, training, implementation support and/or project management in support of the Authority's web development environment, including Sitecore CMS development (.net development including: Visual Basic, C#, Microsoft SQL, Javascript), graphic design, web design, user experience design, quality assurance testing, accessibility/508 compliance, multimedia design, information architecture, search engine marketing, project management, and web content editing (includes knowledge of semantic and accessible HTML, CSS, grammar/punctuation, Adobe Dreamweaver, and content management system experience).
11. Consulting, training, implementation support and/or project management in support of the Authority's general software development environment (methodologies such as Agile and waterfall, business requirements analysis, quality assurance and testing, change control/change management, IT training, etc.)

If a firm is empanelled, they will be allowed to provide services if requested to do so by the Authority, even if these services are not part of the above listed scope.

2.3 Engagement Requirements

1. Proposers must demonstrate a proven track record of providing consulting services across numerous technical projects.
2. No recruitment or consulting employment services. Submitted personnel must be employees of the firm or a sub-contractor that the firm has used successfully in the past.
3. Experience in engagements with the Authority's existing hardware and software or operating environment.

4. Proof of MWBE Status. Any MWBE firms responding to this RFP that are seeking MWBE status must submit proof that the firm is certified as an MWBE with the Department of Economic Development.
5. Upon issuance of a contract from NYSERDA, selected firms will be required to show evidence of General Liability, Disability and Workers Compensation Insurances. In some instances, Professional Liability insurance may also be required.
6. The willingness to work with the Authority to minimize costs. The Authority reserves the right to negotiate a lower or different fee structure with any of the firms selected.
7. It is expected that consultants will be available for work on-site in either the Albany, NY or NYC office for the majority of an assignment. Special exceptions may be granted when a skill set is deemed particularly difficult to acquire and will be in written terms on the issued task work order for that resource.
8. NYSERDA retains the right to end an engagement at any time with or without cause and if replacement or a resource is required is under no obligation to utilize the same contracting firm.
9. All billable hours for a given month will be invoiced by the 21st of the following month.
10. The contractor agrees that it shall perform or have performed, within the two years immediately preceding the placement of any employee, a background check; by virtue of making such placement the Contractor certifies that such background check on the employee has been performed. The Contractor agrees that it will inform NYSERDA's Director of HR (518.862.1090, ext. 3640; donna.rabito@nyserda.ny.gov), simultaneously with or preceding such placement, if: (1) such background check reveals, with respect to the referred employee, (a) a felony conviction, or (b) any other conviction involving theft, misrepresentation or violent behavior of any sort, or (2) immediately upon its becoming aware that such individual has been convicted such a crime.

3. PROPOSAL CONTENT AND FORMAT

A completed and signed Proposal Checklist (Attachment A) must be attached as the front cover of the proposal, and must contain an original signature. Proposals lacking a signed Proposal Checklist will be returned and will not be considered for award.

For the purposes of evaluation, 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. Each page of the proposal should state the name of the Proposer, the RFP number, and the page number. The proposal must be in the following format:

- Section I: Executive Summary
- Section II: Technical Proposal
- Section III: Cost Proposal

Cost information must **not** be included in the Technical Proposal section.

3.1 Section I: Executive Summary

Provide a brief description of the firm's overall qualifications, approach and qualifications. Please limit to 2 pages maximum.

3.2 Section II: Technical Proposal

Following is a listing of the information required to be provided by the proposer. A technical proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your technical proposal must contain sufficient information to assure NYSERDA of its accuracy.

1. Provide a separate numbered section corresponding with each item listed in Section 2.2 Scope of Work documenting the firm's qualifications in the respective area. If you are not seeking consideration for a particular item, include a numbered section and indicate that no response is being provided.
2. Provide a description of the firm's organization and the resumes of partners, principals, associates and other staff proposed to provide services to NYSERDA. Note any sub-consultants that your firm may be using to fulfill the scope of services.
3. Provide a description of the firm's experience providing similar services including recent relevant project experience to the public and private sector. Include the names, titles and phone numbers of at least three (3) references excluding NYSERDA employees for whom similar services have been provided and a summary of the services provided.
4. Provide a description of the firm's approach to providing the scope of services including the monitoring and management of potential work assignments. Indicate any areas in which you believe the firm has special expertise.
5. Outline the approximate number of resources currently residing in the Albany and NYC as well as an approximate number of resources available overall.
6. The proposer must agree to provide NYSERDA with pre- and post-audit access to documents, personnel and other information necessary to conduct audits on request during the term of the Contract and for six years thereafter.
7. The proposal submitted must contain a representation that the proposer is willing and ready to provide any services requested or required in a timely manner.

8. Disclose any potential conflicts of interest.
9. Note any special certifications relevant to this RFP that your firm or proposed staff may possess, and outline opportunities that consulting staff have to keep skills current.
10. Indicate other services besides staff augmentation or consulting services which could be potentially relevant to NYSERDA.

3.3 Section III - Cost Proposal

Following is a listing of the information required to be provided by the proposer. A cost proposal that does not provide all the information requested below may be subject to rejection. Provide the information in the same order in which it is requested. Your cost proposal must contain sufficient information to assure NYSERDA of its accuracy.

1. Provide billing rates for each of the services that your firm is proposing on. Correspond with the items listed under Section 2.2 Scope of Work. List out unique functional titles (i.e. Developer, Analyst, Project Manager) with a corresponding rate for each.
2. List all disbursements or other services for which the firm would expect reimbursement.
3. Indicate any reductions from normal billing rates charged other issuers or public entities in New York State.
4. Indicated any additional fees such as though for background checks or other pre-employment activities.
5. Outline the opportunities, timelines and fees associated with converting consulting resources to full time NYSERDA staff if an option.

4. EVALUATION OF PROPOSALS

4.1 General Selection Process

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this RFP; (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services at a reasonable cost to NYSERDA. All written proposals will be reviewed and evaluated by a Technical Evaluation Panel (TEP) selected by NYSERDA. The TEP will score each Technical Proposal according to the criteria and scoring process described herein.

4.2 Interviews

NYSERDA reserves the right to determine whether interviews will be necessary and for which firms. The purpose of the interview is to further document the proposer's ability to provide the required services, and to impart to the TEP an understanding of how specific services will be furnished. The proposed lead principal, as well as all other key personnel proposed to provide the services must be present and participate in the interview. The interview will be evaluated on the basis of whether it substantiates the characteristics and attributes claimed by the proposer in its written response to this RFP and any other information requested by the TEP prior to the interview.

4.3 Evaluation Process

The evaluation will be conducted in a comprehensive and impartial manner as set forth herein using the following steps.

Step	Title	Scoring Method
1	Demonstrated capacity to perform the types of activities that have been described in the Scope of Work.	25%
2	Experience in engagements with the hardware and software utilized by NYSERDA.	25%
3	Quality of work product. For those firms who have worked for the Authority before, quality of work on those transactions will be considered.	25%
4	Cost Proposal rates evaluated on reasonableness in comparison to other respondents.	25%

Step 1: Technical Proposal Score

The TEP will evaluate the extent to which the Proposer's Technical Proposal meets the requirements as specified in this RFP. TEP members will independently score each Technical Proposal and then meet to discuss the merits and scoring justifications of each Proposer. Evaluators will be allowed to revise scores based on the panel discussions.

Step 2: Cost Proposal Score

Cost Proposals will be evaluated relative to each other based on common consultant titles. In addition NYSERDA will utilize both historical rates paid for consulting services as well as compare to known rate schedules as derived from HBITS when developing the cost proposal score.

Step 3: Total Proposal Score

The Total Proposal Score will be the sum of the Technical Proposal Score and the Cost Proposal Score.

The TEP will rank proposals in descending order from highest to lowest Total Proposal Score. Top-ranked acceptable Proposers will proceed in the evaluation process and be invited to present a solution relevant to this project. NYSERDA may, at its discretion, invite other Proposers to give a presentation.

Step 4: Recommendation and Board Approval

The TEP will rank the Proposers' final scores in descending order, from highest to lowest score, which will form the basis for the TEP's award recommendation to NYSERDA Management. It is anticipated that there could be multiple selections depending on the number of qualified proposers.

Any Proposer recommended by the TEP must be approved by the Board of NYSERDA prior to any award under this RFP.

5. 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/~/mediaFiles/About/ContactNYSERDARegulations.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

New York Executive Law Article 15-A - NYSERDA is required under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of NYSERDA contracts. The MWBE participation goals and obligations of the selected Contractor are set forth in Attachment F.

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 more than 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 (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers 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 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.

6. ATTACHMENTS

- Attachment A: Proposal Checklist
- Attachment B: Disclosure of Prior Findings of Non- Responsibility
- Attachment C: Project Personnel Rates
- Attachment D: Sample Agreement
- Attachment E: Electronic Proposal Submission Instructions
- Attachment F: Article 15-A (MWBE) Provisions for Solicitation Documents