Emerging Technologies and Accelerated Commercialization- Residential Program (ETAC-RES)
Solid State Lighting Demonstrations
Program Opportunity Notice (PON) 2752
Up to $1 Million Available

Proposals Due: December 19, 2013 by 5:00 PM EST*

Through the Emerging Technologies and Accelerated Commercialization Residential program (ETAC-RES), NYSERDA seeks to accelerate the market adoption of commercially available, but underused technologies and proven building strategies for the residential sector. Multi-site demonstrations will be used to showcase solutions and strategies that address barriers to broad market acceptance of these underused technologies and strategies.

The objective of this funding opportunity is to accelerate the market penetration of solid state lighting (SSL) for residential applications by demonstrating the potential impact that lighting system design can have on reducing electric demand in New York's homes. NYSERDA is making up to $1 million available to fund multiple demonstration projects across the state. In addition to demonstrating innovative SSL system designs, proposals that are funded will be required to include an independent evaluation for measuring and verifying the impact of the demonstration, as well as a plan for communicating results of the demonstration and any market-based activities.

NYSERDA will host a pre-bid webinar on **November 14, 2013, at 1:00pm** to provide an overview of the services requested and requirements of this PON. Potential proposers will be able to ask clarifying questions to help prepare a response to the solicitation. To register for this webinar, please visit: https://nyserda-events.webex.com/nyserda-events/onstage/g.php?t=a&d=663115268

Proposal Submission: Proposers must submit ten (10) paper copies and one (1) CD of the proposal with a completed and signed Proposal Checklist attached to the front of each copy, one of which must contain an original signature. Proposals must be clearly labeled and submitted to:

Roseanne Viscusi, PON 2752
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399

If you have technical questions concerning this solicitation, contact Christopher Coll at (518) 862-1090, ext. 3425 or czc@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Elsyda Ahmed at (518) 862-1090, ext. 3232 or ela@nyserda.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Christopher Coll at (518) 862-1090, ext. 3425 or czc@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 bidder'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 Residential Emerging Technologies and Accelerated Commercialization (ETAC-RES) program seeks to accelerate the adoption of commercially available, but underused building technologies and strategies in the residential sector. New York's homes account for more than 35% of total electricity consumption in the state and are responsible for nearly 29% of net energy consumption in the state. In addition, the residential sector accounts for 17% of the state's greenhouse gas emissions. Opportunities for energy efficiency gains beyond traditional building and retrofit techniques have been limited by the underuse of emerging technologies that often face barriers[1] to widespread adoption.

The ETAC-RES program is funded through NYSERDA's Technology and Market Development (T&MD) portfolio, and is a component of the Advanced Building Technologies initiative, which seeks to address New York- specific building needs and barriers to full market adoption of new and improved building technology and practices. By demonstrating the effectiveness of emerging technologies and identifying and addressing the associated barriers to adoption, the ETAC-RES program is designed to bridge the gap between research and development activities and wide-scale deployment.

The program encourages the collaboration amongst market actors[2] to conduct large-scale field demonstrations to showcase the emerging technologies and address barriers to broader adoption. For instance, a team consisting of a builder, product manufacturer, and workforce training institution could demonstrate a technology and develop protocols or identify training necessary for the proper specification or installation of that technology. Following the implementation of the demonstration project, the demonstration team will play a role in communicating the results of the projects to the marketplace via case studies, presentations, and webinars. An additional purpose of the ETAC-RES program is to function as a feeder to New York's clean energy programs, such as the Energy Efficiency Portfolio Standard (EEPS), by introducing underused technologies that have been demonstrated to be energy efficient and cost-effective.

The objective of this funding opportunity is to accelerate the market penetration of solid state lighting (SSL) for residential applications. Lighting currently accounts for up to 20% of end-use electricity consumption in New York's homes, providing a significant opportunity for energy savings. Recent technological developments have led to an increase in SSL lighting options for use in the home, however broad adoption of SSL in the residential sector faces barriers including high upfront costs, limited awareness among consumers and contractors, a lack of proven system design strategies, and incompatibility with existing lighting controls. SSL offers the potential for improved lamp efficiency, longevity, improved light quality, and more diverse applications relative to incandescent, halogen, and compact fluorescent lighting alternatives. In addition, greater emphasis on lighting efficiency in standards and codes[3] has made SSL an appealing option for in-home illumination. However, the replacement of less efficient lamps can only result in incremental efficiency gains. Significant savings in residential lighting cannot be realized without considering the design of lighting systems, including controls.

To demonstrate the effectiveness that lighting design can have on reducing electricity end-use in the residential sector, NYSERDA is making up to $1 million available to fund multiple demonstration projects across the state. Proposals that are funded must demonstrate integrated SSL designs, include an independent evaluation plan for measuring and verifying the impact of the demonstration, and participate in technology transfer activities to communicate the results of the demonstration to the public. An additional objective of the program is to make demonstration sites accessible to a broad base of New York residents, contractors, builders and others, where applicable; therefore a broad statewide distribution is desired. NYSERDA may award one or more contracts to accomplish this objective.

---

[1] Barriers to market adoption of emerging technologies may include high upfront costs, limited awareness amongst consumers and building professionals, consumer distrust of new or "unproven" technologies, lack of specific training or installer certifications, and deficiencies in the distribution network.

[2] Market actors in the residential sector include consumers, energy service contractors, builders, architects and design professionals, product manufacturers, workforce training organizations, retailers and wholesalers.

[3] The 2007 Energy Independence and Security Act (EISA) introduced new minimum efficiency standards for light bulbs. In addition, the 2012 International Energy Conservation Code (IECC), which will be adopted by New York in 2014, requires that a minimum of 75% of lamps in lighting fixtures be high efficacy, which is an increase from the 2009 IECC requirement that 50% of lamps be high efficacy.

II. DEFINITIONS

Commercially Available. A technology, building strategy, or approach that has been available in the marketplace for at least six months, can be accessed through retail or distribution channels, has a manufacturer or independent third-party performance data publicly available, has been successfully demonstrated or installed, and marketing and sales efforts are underway.

Demonstration Partner Clearinghouse. To support a team proposal for a demonstration project, NYSERDA has created a clearinghouse for potential demonstration partners. The clearinghouse contains contact information for companies that have declared their interest in participating in an ETAC-RES demonstration project. Proposers are encouraged to review the clearinghouse for potential demonstration partners. The demonstration partner clearinghouse can be found online at: http://www.nyserda.ny.gov/resetac-clearinghouse.

Emerging Technology. For the purposes of the ETAC-RES program, an emerging technology is defined as a commercially available product, technology, or proven building strategy that is underused. Products must be code compliant and have performance and cost data available.

Technology Transfer. Active promotion of the technology, building strategy, or approach and associated demonstration results to stakeholders in the residential energy sector. Technology transfer activities may include the development of case studies or technical papers; the presentation of information at webinars, seminars, or conferences; and press or open house events.

III. PROGRAM REQUIREMENTS

a. Services Requested

This PON seeks proposals for multi-site demonstration projects that include integrated lighting system design and address the barriers to widespread adoption of SSL technology in the residential sector. Demonstration projects should showcase the energy savings potential of SSL, include independent measurement and verification, and increase awareness of SSL opportunities for residential applications, and address barriers to widespread adoption.

b. Program Eligibility

i. Proposals **must include a minimum of five (5) demonstration sites**.

ii. Demonstration sites must be located in New York State and be located in the service territory of a utility that participates in the System Benefits Charge (SBC).[4]

iii. Demonstration projects must be conducted in conjunction with one of NYSERDA's residential energy services programs to maximize the energy savings potential in the demonstration site. For example, a new construction demonstration project must also participate in the Low-Rise Residential New Construction program. A retrofit demonstration project must be conducted in conjunction with the Home Performance with ENERGY STAR or EmPower New York programs.

iv. Contractors, builders, and photovoltaic or solar thermal installers that are part of a demonstration team must also be a participant in one of NYSERDA's residential energy services deployment programs, and be in good standing in that program.[5]

v. New construction and retrofit projects in both the market rate and affordable housing market segments are eligible for funding.

[4] Central Hudson, Con Edison, National Grid, NYSEG, Orange and Rockland (O&R), and Rochester Gas & Electric (RG&E).

[5] To be considered in good standing in the program, the contractor must have a participation status designation of Full or Provisional in their respective program. For more information on participation status in NYSERDA's residential programs, please refer to the Partnership Agreement for that program.

vi. New construction projects must meet the eligibility criteria for the NYSERDA Low-Rise Residential New Construction program, which includes the ground-up new construction of dwelling unit(s) contained within residential buildings of not more than three (3) stories in height. Residential buildings which are more than three (3) stories in height and determined to be eligible to participate in the EPA ENERGY STAR Homes[6] program will be considered for eligibility on a case-by-case basis.

vii. Retrofit projects must meet the eligibility criteria for the NYSERDA Home Performance with ENERGY STAR program, which includes existing residential structures three (3) stories in height or less, with eight (8) units or less that are constructed using building techniques common to 1-4 family homes and can be served by residential scale heating equipment with a maximum rating of 300,000 Btu. Low-income projects that would be income eligible for the EmPower New York program are also eligible for ETAC funding, provided that the building configuration conforms to the guidelines above.

viii. Eligible emerging technologies or strategies include, but are not limited to:

- SSL lamps or luminaires
- manual or automatic controls including stand-alone dimmers, timers, occupancy sensors, and system-based or whole house lighting controls
- SSL applications that are integrated with furniture and architectural designs
- Integrated SSL lighting designs that incorporate daylight harvesting

ix. Equipment installed such as lighting fixtures, lamps, or controls must be commercially available, have a proven track record, and hold certification through ENERGY STAR or the Design Lights Consortium (DLC).

c. Potential for Replication

To impact the market for SSL in the residential sector, it will be necessary to extend lighting solutions beyond demonstration projects to the broader residential sector. With this in mind, the design and implementation of demonstration projects must be scalable and have the potential to achieve similar results in comparable residential structures.

d. Demonstration Project Completion

Demonstration projects should be completed in a timeframe that will allow for the results to impact ***current market barriers*** to the broader adoption of SSL in the residential sector. The extent to which proposed demonstration projects will be able to address current market barriers to the adoption of SSL in the residential sector will be considered in the proposal evaluation process.

e. Measurement and Verification (M&V) and Data Collection

The proposal must include plans for measurement and verification (M&V) to determine the energy and bill savings and overall effectiveness of the demonstration project. M&V methods should follow recognized industry standards for collecting and evaluating quantitative and qualitative data. Due to the seasonal pattern of lighting use, monitoring should be conducted for a period of at least six (6) months and include summer, winter, and a shoulder season. Data should be annualized to reflect a full year of usage.

Adequate data should be collected to conduct energy savings, environmental impact, lamp or system efficacy, and cost-benefit analyses including:

- baseline conditions or assumptions such as hours of operation, energy consumption, lamp and fixture count, lamp and fixture wattage and lumen output;
- building characteristics including climate zone, vintage, building configuration, and market segment;

[6] The EPA ENERGY STAR New Construction Program Decision Tree is located online at: http://www.energystar.gov/ia/partners/bldrs_lenders_raters/downloads/mfhr/MFHR_Flowchart_Version_1.0.pdf?5257-4579.

- hours of operation and energy consumption associated with lamps and fixtures, lamp and fixture count, lamp and fixture wattage and lumen output associated with the installation of the new technology or application of the building strategy;
- the full and incremental costs associated with each component of the demonstration such as design and specification, equipment, labor, and any necessary O&M;
- lamp or fixture attributes including the correlated color temperature (CCT) and color rendering index (CRI).

In addition to collecting the data listed above, a qualitative assessment must be conducted on the impact that the lighting design and system components have on consumer acceptance and demand. This should include the extent to which specific lighting characteristics and qualities, when integrated with system design, impact consumer acceptance and influence adoption. Occupant or user response to the lighting design and products should also be included in this component.

f. Technology Transfer

Proposers will be obligated to collaborate on technology transfer activities to communicate the results of the demonstration projects to the residential energy community, including builders, contractors, designers, and installers, in addition to consumers. Proposals must include plans for conducting technology transfer activities, which may include webinars, seminars, and conference presentations; as well as a final report documenting the project design and outcomes. All new construction projects are required to have open house or model home events at all demonstration sites. NYSERDA will take the lead in and assume the cost of developing case studies and press releases; however the proposer will be required to provide key project details, evaluation results, and other relevant data to be determined on a project by project basis.

g. Proposer Qualifications

Proposers and proposing team members should hold applicable licenses, certifications, and accreditations necessary for conducting energy efficiency and lighting design work. If a team is proposed, proposals must also demonstrate that the teaming arrangement is sufficiently representative of the residential energy field and is directly applicable and consistent with the goals of this PON. At least one team member must demonstrate expertise and experience with data collection and analysis.

h. Teaming

Proposers are encouraged to work in teams to develop proposals and conduct demonstration projects to draw on the expertise and resources from the various actors in the residential energy sector and to maximize technology transfer opportunities. It is recommended that teams include a design professional, manufacturer, and builder or contractor at a minimum. Teams may include, but are not limited to workforce training institutions, retailers, wholesalers, etc. While not a program requirement, the extent to which proposals involve teaming and therefore expand on technology transfer opportunities, or geographic distribution of demonstration sites, will be a factor in proposal evaluation.

To support the development of a team proposal, a clearinghouse for potential demonstration partners has been created by NYSERDA and is available on the ETAC-RES webpage. The Clearinghouse can be found online at: http://www.nyserda.ny.gov/resetac-clearinghouse. Companies listed in the clearinghouse have expressed an interest in participating in ETAC-RES demonstration projects. NYSERDA cannot guarantee that the companies listed in the clearinghouse will participate in a given project; the proposer should be prepared to conduct outreach to additional companies for the purpose of creating a team. For contractual purposes, the proposer should also be the team leader and the primary contact for NYSERDA throughout the duration of the project.

i. Cost-Effectiveness

An assessment of the cost-effectiveness of the proposed technology or building strategy must be conducted and include a simple customer payback calculation[7] for the proposed technology or strategy. The simple payback should indicate the length of time necessary to recover the costs of purchasing and installing, or implementing the proposed technology or strategy through bill savings. The assessment should include an identification of the inputs used to calculate the payback period including the incremental and installation costs, energy consumption, electricity prices, and estimated useful life of the installed equipment. While it is not required that the proposed technology or strategy be cost-effective, preference will be given to technologies and strategies that are currently cost-effective or have the potential to be cost-effective in the near future. For technologies or strategies that are not currently cost-effective, proposals should describe the factors that may contribute to the cost-effectiveness of the technology or strategy in the future.

j. Final Project Report

Upon completion of the demonstration project, the contractor will submit a final report to the NYSERDA Project Manager that will include:

- an overview of the demonstration project detailing the methods used in developing, implementing, and monitoring the project;
- an identification of the technology or building strategy that was demonstrated, including the make, model, and associated LM-79 test report[8] for lamps and luminaires used;
- a discussion of the barriers to broad adoption of the technology or building strategy;
- quantitative and qualitative assessment results, including the data points identified in subsection e, Measurement and Verification and Data Collection;
- a description of the operating performance of the demonstrated technology or building strategy, including the quality of performance and the identification of any performance barriers associated with the technology or building strategy;
- a discussion on the impact that the project will have on the market adoption of the proposed technology or building strategy.

The format and contents of the Final Project Report will be agreed upon between the Contractor and NYSERDA Project Manager prior to finalization.

k. Contractor's Responsibility

Proposals selected for funding will enter into a contract with NYSERDA. The Contractor will be responsible for the timely completion of the requirements described in this PON and the resulting contract. The selected contractor assumes overall responsibility for coordinating the demonstration project amongst any team members included in the proposal. The Contractor is also responsible for ensuring that the demonstration projects are coordinated with the appropriate NYSERDA residential energy services program and that the project meets the requirements for and adheres to the guidelines for that program, beyond the demonstrated technology.

l. NYSERDA's Responsibility

The NYSERDA Project Manager will be the primary contact at NYSERDA for the Contractor and will be responsible for managing and overseeing all tasks undertaken by the selected contractor and associated with the proposed demonstration project including but not limited to approving tasks and any subsequent deliverables. In addition, the Project Manager will review and approve plans for site selection, data collection, and M&V prior to the commencement of the demonstration project. The Project Manager will

[7] A simple payback calculation does not take into account compounded savings or discount and inflation rates.

[8] The Illuminating Engineering Society of North America published LM-79-08, Approved Method for the Electrical and Photometric Measurements of Solid-State Lighting Products in 2008. The LM-79 test report outlines the performance characteristics of SSL products.

also coordinate the development of any case studies and press releases with the Contractor and NYSERDA's Marketing Department.

m. Available Funds

Up to $1 million is available for this competitive solicitation and NYSERDA expects to fund multiple proposals. The proposer or proposing team is strongly encouraged to contribute to the cost of the demonstration project. While not required, the level of cost-share provided relative to other proposals will be considered in the evaluation process.

ETAC-RES funding is intended to subsidize the ***incremental cost*** of the demonstration project, after proposer cost share, customer (homeowner) contribution, and any applicable NYSERDA program incentives are considered. Incremental project costs include design and product specification related to the demonstration components, equipment, measurement and verification, and technology transfer activities associated with the SSL system. This means, for example, that if the demonstration is to take place in a new home under construction, eligible costs for reimbursement or cost-share include: the incremental costs of the lighting design and components over the cost of installing conventional lighting technologies; M&V; reporting and technology transfer. Other construction costs, including those to meet the energy efficiency requirements of the related NYSERDA program, are not eligible for reimbursement through this PON, and are also not considered as cost-share.

Payments will be based on the completion of tasks, on a milestone basis, as outlined below:

i. Payment 1- 10% of award following approval of the SOW, the project timeline, and site selection plan.
ii. Payment 2- 60% of the award following the design/specification and installation of the technology or execution of the building practice.
iii. Payment 3- 30% of award following M&V, submission of final project report, and completion of technology transfer obligations.

Upon completion of the tasks, the Contractor will submit an invoice, along with appropriate documentation, to receive payment.

IV. PROPOSAL REQUIREMENTS

Proposers must submit the appropriate number of copies of the completed proposal to the attention of Roseanne Viscusi at the address on the front of this Program Opportunity Notice. A completed and signed Proposal Checklist must be attached as the front cover of your proposal, one of which must contain an original signature. **Late proposals 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 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 PON number, and the page number. The proposal must be in the following format:

PON Proposal Checklist: The Proposal Checklist to be completed is attached to this PON. The checklist must be attached to all ten (10) copies of Part I of the proposal. At least one (1) copy must contain an original signature.

Section 1: Introduction and General Information (1 page)

Proposers should summarize the main objectives of their demonstration project, key information about their organization and proposed team members, their qualifications to perform and complete the services requested under this PON.

Section 2: Technology Identification, Market Assessment, and Value of Demonstration Project (1-3 pages)
Identify the technology or building strategy that is proposed for demonstration and where applicable, include information on the manufacturer, certifications achieved, and any available cost and performance data. Include a brief assessment of the market for this technology or practice, including background on the market penetration of the technology or practice, a description of the existing market including sales data, or other evidence that the technology or practice is commercially available, yet underutilized and should be part of a demonstration project.

Identify confirmed or perceived barriers that have limited market adoption of the technology or building strategy. Explain how the proposed demonstration will help mitigate these barriers. Articulate any additional benefits, including economic benefits to New York State, that will be achieved through the demonstration project.

Estimate the potential energy and bill savings associated with the technology or building strategy. Include cost estimates for each of the components of the technology or building strategy, including design, specification, equipment, installation, O&M, M&V, and technology transfer. Provide an assessment of the cost-effectiveness of the proposed technology or strategy. List all inputs used in the cost-benefit analysis, including incremental cost of technology or strategy, installation costs, estimated energy savings, measure life, and discount rate used. If the technology or strategy is not currently cost-effective, discuss the likelihood of its cost-effectiveness in the future.

This section should also include a discussion on the potential for the demonstration project to be replicated, including how the building strategy or approach could be implemented to achieve similar results in comparable residential structures.

Section 3: Staffing Plan and Management Structure (1 page)
Proposals should identify all members of the proposing team, including the team lead (primary contractor). Provide a clear description of the roles and responsibilities of each team member in completing the demonstration project. Provide an organizational chart for the team and a plan for coordinating team resources. Resumes for key personnel should be provided as an appendix.

Section 4: Qualifications (1 – 2 pages)
Describe the qualifications and expertise for each team member, and how the team member will contribute to successful completion of the objectives of this PON. List and describe any relevant experience or projects that have been completed by members of the proposing team. Indicate which team members were responsible for each project described. In particular, describe the expertise and experience of the team member(s) who will be responsible for data collection and analysis. Include the name and telephone number of at least three (3) references who are familiar with previous work of the any of the team members. Summaries of prior work may be submitted as an appendix.

Section 5: Statement of Work (2-3 pages)
The Statement of Work (SOW) is a detailed work plan of how the Proposer will accomplish the objectives of the Program and is the primary contractual document that identifies the deliverables and milestones, and also provides a basis for payment. The SOW should clearly articulate strategies consistent with the Program Requirements section of this PON and detail the approach and rationale for accomplishing tasks necessary to implement the demonstration projects. Tasks should include planning, site selection, design, installation, M&V and data collection, reporting, and technology transfer. The SOW should include general details on the plans for each task; specific plans for the completion of these tasks should be included in Section 6. Include deliverables, such as final schedules, plans, reports, photos, or presentation slides, as appropriate, for the tasks.

Provide a schedule and timeline for the completion of each task in the SOW, as well as dates for deliverables. The schedule may be provided in the form of “months after contract award.” Proposer should indicate whether there are specific timeframes, such as seasons, or specific start dates, necessary for any tasks to ensure data validity or to maximize technology transfer opportunities.

Section 6: Detailed Plans (7-9 pages)
This section should include specific details for accomplishing the site identification, data collection, M&V, and technology transfer components of the demonstration project. The detailed plans should be structured as follows:

Demonstration Site Identification and Recruitment (1 page)
Identify the demonstration sites. If they are not yet identified, describe how and when identification will take place, and whether there are challenges that will have to be overcome in order to secure sites. Provide the number, geographic distribution, and building characteristics of the demonstration sites that will be involved in this project. Building characteristics should include vintage, building configuration, primary fuels consumed, and market segment. If demonstration sites have already been recruited, provide letters of commitment as an appendix.

Data Collection (2-3 pages)
Proposals should include a detailed list of data to be collected, the method for collecting this data, and how it will be reported or transmitted.

Measurement and Verification and Analysis (M&V) (2-3 pages)
All M&V activities including baseline development, site surveys, energy measurements, metering of key variables, data analyses, calculations, quality assurance procedures, and reporting should be adequately detailed in the M&V Plan.

Technology Transfer (2 pages)
Outline strategies for communicating the results of the demonstration projects and engaging stakeholders within the residential energy field including consumers, contractors and builders, architects and designers, retailers and wholesalers, trade associations, and workforce education and training institutions. Be specific regarding annual events or conferences that can be used as a venue for presentations. Also include plans for coordinating with NYSERDA to produce case studies and press releases.

Section 7: Cost Proposal (Use Attachment C: CPPF)
A total project budget, including cost elements, must be provided using the attached Contract Pricing Proposal Form (CPPF), Attachment C. Provide a task budget that details total costs and cost elements per task. If applicable, provide a budget for each subcontractor or team member involved with the project. Provide detailed budget breakdowns (using the Supporting Schedule for the CPPF) for materials, equipment, travel, and any other costs.

Cost sharing is not required, however the level of cost share provided relative to other proposals is a consideration for proposal evaluation. It is recommended that proposers and team members that stand to benefit from the demonstration project share in the cost of the project. Cost sharing can be from the proposer, other team members, and other government or private sources. Contributions of direct labor (for which the laborer is paid as an employee) and purchased materials may be considered "cash" contributions. Unpaid labor, indirect labor, or other general overhead may be considered "in-kind" contributions. NYSERDA will not pay for efforts which have already been undertaken. The proposer or proposing team cannot claim as cost-share any expenses that have already been incurred. Show the cost-sharing plan in the following format (expand table as needed):

	Cash	In-Kind Contribution	Total
NYSERDA	$		$
Proposer	$	$	$
Others (list individually)	$	$	$
Total	$	$	$

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.

Appendices:

Resumes of Key Personnel
Summaries of Prior Work
References
Letters of Commitment
Other Supporting Materials

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 solicitation that could result in agreements with an annual estimated value in excess of $15,000, additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation will disqualify your proposal.

V. PROPOSAL EVALUATION

All proposals received by the due date and meeting the submission requirements established in this PON will be reviewed and ranked by a Technical Evaluation Panel (TEP) consisting of NYSERDA staff and selected external technical experts. Final proposal rankings and contract awards will be awarded based on the following criteria, listed in order of importance:

Responsiveness to the Program Components and Requirements of the PON (25 points)

- Does the proposal comply with program and proposal requirements?
- Are the proposed lighting system components commercially available and underused in the residential sector?
- Is the proposed lighting system design technically meritorious?
- How well does the proposal identify and address market barriers?
- Does the proposal identify the demonstration sites or provide a viable plan for site recruitment?
- How well does the Statement of Work describe the approach and rationale that the proposer will take to accomplish the goals of the project?
- Is the proposed project timeline realistic and sufficient to address current market barriers of SSL?
- Does the proposal demonstrate attention to detail on the part of the proposer? Is the proposal clear and well organized?

Measurement and Verification (M&V) and Data Collection Plan (15 points)

- Does the M&V plan follow accepted industry standards?
- Is the proposed approach for collecting necessary baseline data adequate?
- Does the M&V plan provide for an appropriate approach for metering and a sufficient monitoring period?
- Will the M&V plan assess the ability of the demonstration project to address the identified barrier(s) to broader market adoption?
- Is the data that is proposed to be collected sufficient for estimating energy and environmental impacts and conducting cost-benefit analyses?
- Is the data collection and analysis plan sufficient to assess consumer response to the lighting design and products, and to use in helping drive acceptance and demand?

Technology Transfer Plan (15 points)

- Is the technology transfer plan adequate to communicate the results of the project to the diverse stakeholders in the residential energy field?
- Are the technology transfer strategies innovative?
- Does the plan make good use of existing venues or annual events, and maximize opportunities related to the various team members?

Potential for Replication (15 points)

- Does the demonstrated technology or building strategy have potential for wide-scale replication in the residential sector?

Project Cost and Value (10 points)

- How significant is the potential market opportunity relative to the proposed project cost?
- Is the funding requested adequate to achieve the proposed results?
- Is the proposed technology or building approach currently cost-effective? If not, what is the likelihood that it will become cost-effective in the next several years?
- Are proposed costs and indirect rates reasonable relative to other proposals?

Qualifications, Experience, and Management Structure (10 points)

- Does the proposal include a teaming arrangement?
- Does the team represent diverse stakeholders from the energy sector?
- Does the proposal demonstrate that the proposer and team members have necessary qualifications and experience to undertake this project?
- Is the team adequately organized?
- How well does the management plan coordinate team resources?
- Does at least one team member have solid experience and expertise in data collection and analysis?
- Do references confirm the ability of the team to perform this work?

Cost Sharing (5 points)

- Does the proposed project include cost sharing? If so, how does the level of cost share compare to other proposals?
- Does the level of cost share demonstrate a significant contribution by the proposer or team members?

Economic Benefit to New York State (5 points)

- Does the proposed project provide economic benefit to New York State?
- Has the proposing team demonstrated knowledge of New York State markets and an ability to reach relevant New York State stakeholders?

VI. PRE-BID WEBINAR

NYSERDA will host a pre-bid webinar on **November 14, 2013, at 1:00pm** to provide an overview of the services requested and requirements of this PON. Potential proposers will be able to ask clarifying questions to help prepare a response to the solicitation. To register for this webinar, please visit: https://nyserda-events.webex.com/nyserda-events/onstage/g.php?t=a&d=663115268

VII. GENERAL CONDITIONS

Proprietary Information - Careful consideration should be given before confidential information is submitted to NYSERDA as part of your proposal. Review should include whether it is critical for evaluating a proposal, and whether general, non-confidential information, may be adequate for review purposes. The NYS Freedom of Information Law, Public Officers law, Article 6, provides for public access to information NYSERDA possesses. Public Officers Law, Section 87(2)(d) provides for exceptions to disclosure for records or portions thereof that "are trade secrets or are submitted to an agency by a commercial enterprise or derived from information obtained from a commercial enterprise and which if disclosed would cause substantial injury to the competitive position of the subject enterprise." Information submitted to NYSERDA that the proposer wishes to have treated as proprietary, and confidential trade secret information, should be identified and labeled "Confidential" or "Proprietary" on each page at the time of disclosure. This information should include a written request to exempt it from disclosure, including a written statement of the reasons why the information should be exempted. See Public Officers Law, Section 89(5) and the procedures set forth in 21 NYCRR Part 501 http://nyserda.ny.gov/~/media/Files/About/Contact/NYSERDARegulations.ashx . However, NYSERDA cannot guarantee the confidentiality of any information submitted.

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

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

Empire State Development
Division For Small Business
30 South Pearl Street
Albany, NY 12245

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

Empire State Development
Minority and Women's Business Development Division
30 South Pearl Street
Albany, NY 12245

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html
The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a - NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of $100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the

affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. *See,* ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf).
Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. *See,* ST-220-CA (available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf .

Contract Award - NYSERDA anticipates making 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 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 eight (8) 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 Form
- Attachment C- Contract Pricing Proposal Form (CPPF)
- Attachment D- Sample Agreement
- Attachment E- Intent to Propose Form (Optional)