

**BEHAVIOR-INTEGRATED CLEAN ENERGY DESIGN,
MARKET DEVELOPMENT & EVALUATION SERVICES**
Request for Proposal (RFP) 3072
\$1,200,000 Available

Proposals Due: Proposals must be received by NYSERDA
on or before February 27, 2015, 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSERDA) requests proposals from experts with experience in behavioral research, including sociologists, psychologists, social psychologists, behavioral economists, and program evaluators. The objective of this solicitation is to contract with two or more behavioral experts to provide strategic consulting services to increase the effectiveness and market impact of clean energy activities in New York State. Experts will work collaboratively with NYSERDA to integrate effective behavior principles into clean energy program design, delivery and market animation activities in New York State.

Two categories of services are requested:

- (1) Expert clean energy program review and behavior-integrated design services, and**
- (2) Expert evaluation oversight services.**

One or more proposals from each category may be funded. Proposers may submit proposals under either or both categories but may only receive an award under one category.

The consultants contracted under this solicitation will report to NYSERDA and work collaboratively with New York clean energy programs referred by NYSERDA. Clean energy programs are defined as programs designed to influence energy-efficiency and/or conservation (energy and water)/load shifting and renewable power uptake in New York State. The primary focus of the consulting services solicited under this RFP are existing and new (under design) NYSERDA clean energy programs for which behavioral interventions are expected to result in high-impact outcomes. The design consultants will be expected to review a portfolio of NYSERDA clean energy programs and identify high-impact opportunities for behavior-integrated program enhancements. The portfolio of programs could include (but not be limited to) NYSERDA's program activities in the low and moderate income sector, electric vehicles, renewable thermal, home energy ratings and multifamily building labeling, community-based engagement, net zero energy in new construction, community solar, and new clean energy approaches focused on reducing soft costs that are barriers to achieving New York State's clean energy targets.

For existing programs identified as high-impact opportunities for behavioral interventions, the design consultants' recommendations may range from minimal to more extensive program design changes based on best practices and current behavioral science research. Significant design change recommendations may involve one or more field tests using quasi-experimental design and/or true experimental design that include random controlled trials (RCTs) developed by the behavior design consultant in collaboration with NYSERDA. NYSERDA will consider using quasi-experimental designs where RCTS are infeasible or appropriate. The experimental/quasi-experimental designs will be reviewed by NYSERDA's evaluation oversight consultant and implemented by the clean energy program administrators. For new (under design) programs, design consultants will be asked to develop one or more behavior-integrated program designs based on best practices and current behavior/decision science research. The design consultants will have oversight responsibility for the field implementation activities to ensure that the behavior-integrated designs are implemented correctly. The behavior-integrated designs' impact in accomplishing clean energy program goals will be evaluated using representative target audience samples in New York State and pilot trials within an experimental design framework.

NYSERDA requests proposals stating qualifications, experience, areas of expertise (low-income, residential, multifamily, commercial, transportation, and/or industrial, etc.), and examples of past projects in the areas of the proposer's expertise that have integrated behavior principles. New York State residency is not a requirement for eligibility but all proposers must demonstrate the ability to be responsive to NYSERDA's accelerated clean energy schedule, and work collaboratively with New York State clean program administrators/implementers. Successful design proposals must demonstrate the ability to oversee field implementation of the field trials and must include a New York-based staff/partner.

Proposal Submission: Electronic submission is preferable. NYSERDA will also accept proposals by mail or hand-delivery. If submitting electronically, proposers must submit the proposal in either PDF or MS Word format with a completed and signed Proposal Checklist and Disclosure of Prior Findings of Non-Responsibility, in PDF format. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility, rather than scanning. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFP's webpage, which is located in the "Current Opportunities" section of NYSERDA's website (<http://www.nyserdera.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>). Instructions for submitting electronically are located in that section as Attachment D 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 both a PDF and a 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 3072
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Marsha Walton at (518) 862-1090, ext. 3271 or marsha.walton@nyserdera.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes at (518) 862-1090, ext.3507 or venice.forbes@nyserdera.ny.gov.

No communication intended to influence this procurement is permitted except by contacting Marsha Walton (Designated Contact) at (518) 862-1090, ext. 3271 or marsha.walton@nyserdera.ny.gov. Contacting anyone other than this Designated Contact (either directly by the proposer or indirectly through a lobbyist or other person acting on the proposer's behalf) in an attempt to influence the procurement: (1) may result in a proposer being deemed a non-responsible offerer, and (2) may result in the proposer not being awarded a contract.

* Late proposals will be returned. Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Faxed or e-mailed proposals will not be accepted. Proposals will not be accepted at any other NYSERDA location other than the address above. If changes are made to this solicitation, notification will be posted on NYSERDA's web site at www.nyserdera.ny.gov.

I. Introduction

The purpose of this solicitation is to apply behavioral principles to existing and new NYSERDA clean energy programs being developed under the Clean Energy Fund (CEF), with the goal of accelerating the attainment of New York State's clean energy and environmental targets.¹ This solicitation requests two categories of proposal submissions: (A) Behavior-integrated Design and (B) Evaluation Oversight. It is expected that one or more design consultants and one or more evaluation consultants will be contracted under this solicitation to ensure that NYSERDA is able to secure the services described in this RFP for multiple clean energy programs operating in parallel in a wide range of sectors.

A. Successful design consultant(s) will be asked to:

- Conduct a review of existing and new (under design) clean energy programs referred by NYSERDA and work with NYSERDA to identify programs with high-impact potential for behavior-integrated designs;
- Recommend behavior-integrated enhancements to existing programs based on best practices and current behavior/decision science research findings;
- Develop new behavior-integrated designs for new (under design) NYSERDA clean energy programs that incorporate best practices and insights from the behavior/decision sciences (including but not limited to risk aversion, status quo bias, choice overload, intrinsic priming, social norms/comparison, feedback, choice architecture, hyperbolic discounting, etc.);
- Develop program-specific experimental designs using quasi-experimental design or RCTs for New York clean energy program administrators to implement in the field;
- Develop implementation plans for program administrators to follow in rolling out the behavior-integrated pilot trials with time critical schedules;
- Suggest revisions to behavior-integrated designs which fail to accomplish their desired outcomes for potential follow-on design and implementation activities; and
- Document the work findings in various mediums, including reports, case studies, presentations, articles, posters, and published papers.

B. Successful evaluation oversight consultants will be asked to:

- Develop evaluation plans in collaboration with NYSERDA and the design consultant to evaluate the impacts of the behavior-integrated clean design interventions developed under this RFP;
- Randomly assign participants to control group(s) and experimental treatment group(s);
- Evaluate the robustness of the experimental designs and implementation plans provided by NYSERDA and screen for sample size and size effects, internal and external validity, and research integrity;
- Oversee the evaluations and make a final determination of the robustness of the findings and conclusiveness of the results;
- Conduct secondary analyses of the data if appropriate; and
- Suggest revisions to behavior-integrated designs which fail to accomplish their desired outcomes for potential follow-on design and implementation activities.

II. Background

New York's Reforming the Energy Vision (REV) initiative is a fundamental transformation in the state's approach to clean energy policy. The REV strategy acknowledges that there are diverse barriers to widespread clean energy adoption, and seeks to address them to unlock greater private investment in a scaled clean energy economy.

¹ <http://www.nysERDA.ny.gov/About/2014-State-Energy-Plan>

REV consists of coordinated efforts to redesign energy regulations and state programs. In the regulatory realm, the groundbreaking REV proceeding² is realigning price signals and removing regulatory barriers to clean energy. While these changes, combined with private sector technology and business model innovations, may be sufficient to enable certain segments of the clean energy economy to scale on their own, New York State recognizes that market gaps will remain. NYSERDA will seek to fill those remaining market gaps.

As realigned price signals and market innovations enable clean energy solutions to capture better economics, NYSERDA's focus will evolve away from grants and subsidies that address upfront cost barriers to a more holistic exploration of the remaining market gaps. As part of this evolution, it seeks input from behavioral consultants to inform its new strategies and programs.

Successful behavior design proposers will be asked to develop behavior-integrated pilot interventions for a variety of NYSERDA clean energy activities. NYSERDA's proposal under the Clean Energy Fund³ provides a landscape of potential focus areas the consultants may be asked to address over a 2 to 3 year scope of services.

NYSERDA interventions will target soft costs and address barriers to market adoption through programs that could relate to workforce training, financing, community aggregation, gamification, or demonstrating value propositions. Other interventions could provide limited financial support in the form of grants or buy-downs where necessary to bridge a transition to self-sustaining markets, or for low-to-moderate income communities that may require this kind of support in the longer-term. As NYSERDA restructures its clean energy portfolio, it seeks to incorporate behavioral designs to ensure it is targeting the right market gaps in the right ways to most effectively accelerate the transition towards a scaled and self-sustaining clean energy economy.

Research in the behavior and decision sciences have identified common cognitive judgments that bias the way people receive and understand information, often resulting in sub-optimal and even self-defeating decisions particularly in the clean energy field where perceived benefits may be ill-defined relative to perceived costs. NYSERDA's goal is to use the behavior sciences' understanding of how people process and act on information to improve clean energy program design and delivery in New York State to achieve New York's aggressive clean energy targets.

It is expected that much of the consulting services will be provided electronically and via conference calls, with field implementation oversight on the ground capacity in New York State a requirement for behavior design proposals. Occasional face-to-face meetings will be scheduled as needed with both the behavior design and evaluation oversight consultants.

Clean energy programs will be responsible for implementing and evaluating the pilot interventions according to the plans provided. NYSERDA's project manager will make all the referrals for consulting services and shall have overall program oversight responsibility.

III. Program Requirements

A. Expert Behavior-Integrated Design Consulting Services

Specific Requirements: Proposals for design services must show evidence of background and experience in conducting applied research using experimental design to influence pro-social/pro-environmental

² <http://www3.dps.ny.gov/W/PSCWeb.nsf/All/26BE8A93967E604785257CC40066B91A?OpenDocument>

³ <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={DABF6A8A-17A5-441F-AC44-48587105CF6D}>

See also: <http://documents.dps.ny.gov/public/Common/ViewDoc.aspx?DocRefId={12E3493D-5711-417F-80DC-053AB4D522AB}>

decisions and/or practices and experience in evaluating quasi-experimental designs and/or experimental designs using RCTs. Although experience conducting behavior-integrated clean energy pilots/programs is not a requirement, proposals that document proposers' successful work in the clean energy space and understanding of barriers to clean energy decision-making will receive favorable review.

Range/Scope of Services to be provided: The successful behavior design consultant(s) will report directly to NYSERDA's Project Manager. Services will include program (existing and new) review, foundational research, behavior-integrated program enhancements, quasi-experiment design and/or RCT design, implementation oversight, and documentation of results through reports, case studies, posters, and other presentation materials. Expert behavioral consultants will take a comprehensive approach and conduct program reviews by considering how the multiple and interactive effects of all aspects of an existing or a new (under design) clean energy program (including program design information and outreach, target audience, financial incentives where applicable, and delivery methods) work together to influence clean energy decisions and practices at the individual and organizational level. The scope of services for clean energy program referrals could range from minimal to comprehensive as appropriate.

Design services will be provided in stages, with each stage requiring a pre-approved scope of services and task budget. Work scopes will be developed in collaboration with NYSERDA's Project Manager and the clean energy program administrators. The design consultant(s) will be responsible for adhering to the work scope approved by NYSERDA for each stage and for documenting the work performed. The work will be administered on a managed time and materials basis.

Tasks are expected to include foundational research (e.g., literature review, review of program evaluations, phone/written surveys with program staff and the target audience), development of preliminary interventions and pre-testing (if appropriate) in collaboration with NYSERDA, draft and final experimental and/or quasi-experimental designs, oversight of the field implementations of the pilots/RCTs, and documentation of the results of the behavior-integrated designs in a final report, case study, poster, published paper(s), and power point presentation of the key findings.

First, a review of a portfolio of existing and new (under design) clean energy programs will be conducted to identify high-impact opportunities for behavior-integrated designs. Background information on both existing and new NYSERDA programs and their target audience(s) will be provided by NYSERDA. Once preliminary high-impact opportunities are identified, the design expert will conduct foundational research to characterize the attitudes, behaviors, and decision-making constraints/barriers of the targeted program participants. The behavioral design experts will use NYSERDA evaluation and market characterization reports, published case studies (and other secondary information), and may conduct focus groups, surveys, and interviews with clean energy program staff and their target audience to identify barriers and opportunities for behavior-integrated design changes. The foundational research will be followed by the development of behavior-integrated program pilot interventions in collaboration with NYSERDA, and the development of experimental design and implementation plans for review by NYSERDA and the oversight evaluation contractors. The pilots/RCTs will be implemented by NYSERDA and evaluated by NYSERDA with oversight by the design consultant(s) and the evaluation consultant(s), respectively.

Proposer Qualifications: Proposers should provide sufficient background information for NYSERDA to judge their proficiency in designing behavior-integrated enhancements to existing and new (under design) clean energy programs. The successful proposer(s) will be knowledgeable of behavior/decision sciences literature and a recognized expert in applying behavior principles to pro-social and pro-environmental decision making, designing field pilots using quasi-experimental design and/or experimental design, and overseeing field implementation activities. Proposers should convey a solid understanding of the different financial and informational tools available to clean energy program administrators and how information and incentives, cultural and other values, bounded rationality, and the social context of decision making can be used to influence individuals', households', firms', and businesses' energy decisions. A track record of working successfully with clean energy programs is highly desirable but not a requirement for eligibility. Co-funding is also desirable but not a requirement for eligibility.

The proposal must identify key personnel dedicated to the project, including: (1) a project director, and (2) a principal investigator. The project director must have experience conducting social science research and

conducting RCT work, preferably related to influencing clean energy-related or pro-social and pro-environmental behaviors/investments. The principal investigator must have experience conducting social science research and applying behavior-integrated interventions to strengthen clean energy or pro-social and pro-environmental behaviors/investments. The proposal must identify the project director and the principal investigator. The Contract Pricing Proposal Form must list all of the personnel dedicated to the project, their hourly rates and labor overhead.

Qualified proposers must possess and demonstrate the ability to work collaboratively with clean energy program administrators, evaluation oversight contractors, and NYSERDA's Project Manager. Proposals must include brief summaries of at least two behavior-integrated program designs and evaluations developed by the proposer and the results for both projects. Proposers should include references for these projects and indicate whether the research objectives were met and, if not, a brief statement describing the reasons the experiment was not able to accomplish the research objectives.

B. Expert Evaluation Oversight Services

Specific Requirements: Proposals for evaluation oversight services must show evidence of knowledge and experience in designing and conducting evaluations using quasi-experimental design and/or RCTs. Past experience evaluating clean energy programs and pilots is a requirement, and proposals that do not document proposers' successful evaluation work in the clean energy space will not receive favorable review. The evaluation oversight consultant will assess and validate the evaluation results of the behavior-integrated clean energy pilots and/or RCTs, as well as review the experimental designs and implementation plans developed by the behavior design consultant, and ensure the work follows the guidelines outlined in "Evaluation, Measurement, and Verification (EM&V) of Residential Behavior-Based Energy Efficiency Programs: Issues and Recommendations," written by the State and Local Energy Efficiency (SEE) Action Network in 2012.⁴

Range/Scope of Services to Be Provided: The chosen evaluation consultant(s) will report directly to NYSERDA's Project Manager. The evaluation consultant(s) will have primary responsibility for (1) review of the experimental designs and implementation plans developed by the design consultants, (2) development of the evaluation plans that the clean energy program administers/implementation partners will follow to evaluate the impact of the behavior-integrated pilots and/or RCTs, and (3) third-party validation of the evaluation results. The validation work could include secondary analyses of the primary evaluation data if appropriate, and the evaluation consultant(s) should demonstrate expertise in conducting impact evaluations. Expert evaluation consultants will take a comprehensive approach and take care to control for the multiple and interactive effects of potentially confounding influences of program information and outreach, target audience, financial incentives, and delivery across different pilot interventions/RCTs. The evaluation services could range from minimal to comprehensive as appropriate on a project by project basis.

Evaluation services will be provided in stages, with each stage requiring a pre-approved scope of services and task budget. Specific work scopes will be developed on a project-by-project basis in collaboration with NYSERDA. The consultant will be responsible for adhering to the work scope defined for each project and for documenting the work performed. The work will be administered on a managed time and materials basis.

Tasks are expected to include the preparation of draft evaluation plans in collaboration with NYSERDA and the behavior design consultant(s), foundational research to develop realistic size effect assumptions based on past case studies, prior impact evaluations and participant attrition rates, development of a final evaluation plan, and desk-top review and validation of the evaluation results, including evaluation oversight to ensure critical evaluation data is collected and secondary data analyses if necessary.

⁴ <http://emp.lbl.gov/publications/evaluation-measurement-and-verification-emv-residential-behavior-based-energy-efficiency>

Proposer Qualifications: Successful proposer(s) will be knowledgeable of the behavior/decision sciences literature, a recognized expert in evaluating clean energy programs, and show proficiency in evaluating quasi-experimental designs and/or RCTs using experimental design. Proposers should provide sufficient background information for NYSERDA to judge their proficiency in evaluating behavior-integrated program enhancements for existing and new (under design) clean energy programs. Although the successful evaluation oversight contractor will not take primary responsibility for conducting the pilot evaluations, the consultant will be responsible for developing the evaluation plans for NYSERDA and its implementation contractors to follow in evaluating the impact of the behavior-integrated field trials and/or RCTs. The evaluation consultant will also have oversight review responsibility for the experimental designs and implementation plans developed by the design consultant(s) (to ensure critical evaluation data is being collected), and oversight review responsibility for the evaluations conducted by the NYSERDA and its contractors.

The proposal must identify key personnel dedicated to the project, including: (1) a project director, and (2) a principal investigator. The project director must have experience evaluating social science research and conducting/evaluating quasi-experimental designs and/or RCTs, preferably related to influencing clean energy-related or pro-social and pro-environmental behaviors/investments. The principal investigator must have a minimum of five (5) years of experience conducting clean energy program evaluation. The Contract Pricing Proposal Form (CPPF) must list all of the personnel dedicated to the project, their hourly rates and labor overhead.

A track record of successfully evaluating clean energy programs is a requirement for eligibility. Qualified proposers must possess the ability to work collaboratively with clean energy program administrators, the behavior design contractor(s), and NYSERDA's project manager. Proposals are required to include brief summaries of at least two (2) clean energy program evaluations designed and conducted by the proposer, as well as the evaluation results. Co-funding is desirable but not a requirement for eligibility.

IV. Proposal Requirements

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. Suggested page limits are offered for each of the sections 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:

The proposal format should follow the outline below:

- I. Proposal Checklist
- II. Disclosure of Prior Findings
- III. Proposer Background, Qualifications and Experience
- IV. Examples of Experience and References
- V. Work Statement
- VI. Budget (CPPF)
- VII. Letters of commitment (from subcontractors) pledging the staff person(s) time if funding is awarded.

- **Proposal Checklist**

A completed Proposal Checklist with the project title and name, address, and telephone/fax number(s) of the principal contact person must be attached to the front of all copies of the proposals. At least one copy of the Proposal Checklist must contain an original signature.

- **Proposer Background, Qualifications and Experience (2 pages maximum including short biographical summaries and business/academic information)**

The type of organization proposing (e.g., not-for-profit, for-profit, marketing, evaluation, educational/academic, and/or other (specify).

Describe the business activity, approximate size and experience of your organization.

Describe how the proposed project fits into your business goals and portfolio of ongoing work.

List key personnel and areas of expertise (include resumes for all personnel identified in the CPPF as an Appendix).

Selected business and/or academic background information (courses taught and Ph.D. project supervised, if applicable) may be included as Appendices.

- **Examples of Experience and References (2 pages maximum)**

Provide information on two (2) examples of past work relevant to the proposal category under which you wish to be considered. These examples should be summarized briefly and the summaries for both should not exceed more than 2 pages. State the role you/members of your team played on the project (e.g. leader, evaluator, researcher, designer, implementer, etc). Electronic links to full work reports, if available, are encouraged.

Provide references; names, email address, and phone numbers, for each of the projects listed.

- **Work Statement (5 pages maximum)**

For design consultants, identify procedures you would use to help NYSERDA identify high-impact opportunities for behavior-integrated clean energy pilots. What steps would you follow in reviewing existing NYSERDA clean energy programs and new (under design) programs to identify these opportunities? Describe the steps you would follow in designing behavior-integrated programmatic adjustments and RCTs in collaboration with NYSERDA.

Describe the oversight procedures you would plan to use to ensure the pilot implementations strictly adhered to the experimental designs and that the RCT conditions are implemented correctly.

For evaluation oversight consultants, describe the actions you would plan to use to ensure that the field trials conducted under this RFP will produce conclusive and meaningful results. Identify the procedures you would plan to use to develop sound evaluation plans, and the steps you would take to ensure that the clean energy program implementation partners collect the appropriate data that is critical for evaluation.

Describe the oversight procedures you would plan to use to review the evaluations to validate that the evaluation plan was strictly adhered to and that the results are accurate.

Describe your in-house capacity to conduct impact evaluation work in the event that the original evaluation work would need to be verified.

For Both Design and Evaluation Oversight Consultants (3 pages maximum)

Describe the actions you would take to work collaboratively with NYSERDA and other design/evaluation consultants over the course of the work. If your proposal includes subcontractors, describe your management plan for efficiently coordinating the work.

Identify procedures you would take to ensure strict oversight of team members' work and quality control and oversight of the pilot implementations, including adhering to time-sensitive schedules.

Identify steps you will take to ensure that the experiments conducted under this RFP will produce conclusive and meaningful results.

Define what research integrity means to you and how it will be maintained over the course of providing consulting services to NYSERDA.

- **Budget**

Complete and attach the Contract Pricing Proposal Form (CPPF). The Contract Pricing Proposal Form must list all of the personnel dedicated to the project, their hourly rates and labor overhead. 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.

- **Cost Sharing**

Cost Sharing - Cost sharing is not a requirement for eligibility, but is encouraged. Cost-sharing can be from the proposer, other team members, or government, institutional 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	\$	\$	\$

Annual Metrics Reports – If awarded, the proposer will be required to submit to NYSERDA'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 by January 31st for the previous calendar years activities (i.e. reporting period). Please see Attachment E: Sample Metrics Reporting Guide 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 NYSERDA agreement.

A completed and signed Proposal Checklist must be attached as the front cover of your proposal. **Late proposals will be returned and proposals lacking the appropriate completed and signed Proposal Checklist may be returned. Faxed or e-mailed copies will not be accepted.**

Procurement Lobbying Requirements - State Finance Law sections 139-j and 139-k

In compliance with §139-j and §139-k of the State Finance Law (see Section VI, General Conditions below for additional information), additional forms must be completed and filed with proposals: (1) a signed copy of the Proposal Checklist including required certifications under the State Finance Law and (2) a completed Disclosure of Prior Findings of Non-Responsibility form. Failure to include a signed copy of the Proposal Checklist referenced in this solicitation may disqualify your proposal.

V. Proposal Evaluation

Proposals that meet Proposal requirements will be reviewed by a Technical Evaluation Panel (TEP) using the Evaluation Criteria below

A. Behavior Design Consultant

Proposer Qualifications

Does the proposer have the relevant and necessary background, understanding of the literature/research to-date, and experience?
Does the proposer have a successful track record designing behavior-integrated pro-social and/pro-environmental pilots/programs?
Does the proposer have experience designing quasi-experimental and/or true experimental designs?

Does the proposer have an on-the-ground partner in New York State to oversee the implementation activities?

Proposer Creativity

Does the proposer(s) demonstrate the creativity and knowledge to develop effective behavior-integrated program enhancements and RCTs?

Proposal Value

Does the proposal identify appropriate staff and resources at reasonable prices to accomplish the tasks?

Program Coordination

Does the team demonstrate resourcefulness, cooperation and team work?

B. Evaluation Oversight Consultant

Proposer Qualifications

Does the proposer have the relevant and necessary background understanding of evaluation protocols, and experience evaluating quasi-experimental and/or true experimental designs? Does the proposer have the required experience conducting clean energy program evaluations? Does the proposer demonstrate knowledge of the variety of evaluation/statistical tests that make for a strong

evaluation plan that will provide conclusive results?

Proposer Creativity

Does the proposer(s) demonstrate creativity and knowledge to develop strong evaluation plans?

Proposal Value

Does the proposal dedicate appropriate staff and resources at reasonable prices to accomplish the tasks?

Program Coordination

Does the team demonstrate resourcefulness, cooperation and team work?

VI. GENERAL CONDITIONS

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

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

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

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

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

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

State Finance Law sections 139-j and 139-k - NYSERDA is required to comply with State Finance Law sections 139-j and 139-k. These provisions contain procurement lobbying requirements which can be found at <http://www.ogs.ny.gov/aboutogs/regulations/advisoryCouncil/StatutoryReferences.html>

The 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 - NYSEDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSEDA 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 NYSEDA, the prospective contractor must also certify to NYSEDA 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 NYSEDA. 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 - NYSEDA 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. NYSEDA may request additional data or material to support applications. NYSEDA will use the Sample Agreement to contract successful proposals. NYSEDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement (Attachment F) 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. NYSEDA expects to notify proposers in approximately ten (10) weeks from the proposal due date whether your proposal has been selected to receive an award. NYSEDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSEDA agreement.

Limitation - This solicitation does not commit NYSEDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSEDA 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 NYSEDA's best interest. NYSEDA 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 NYSEDA after the award of a contract, NYSEDA 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.

VII. Attachments

- Attachment A - Proposal Checklist
- Attachment B - Disclosure of Prior Findings of Non-Responsibility
- Attachment C - Contract Pricing Proposal Form (Word and Excel)
- Attachment D - Electronic Submission Instructions
- Attachment E - Metrics Reporting Form
- Attachment F - Sample Agreement
