



**External Technical Review Assistance
Request for Qualifications (RFQL) 3323**

Submittals accepted thru July 16, 2018 by 5:00 PM Eastern Time*
(or as extended or modified by NYSERDA)

Program Summary:

NYSERDA seeks highly qualified external technical reviewers and advisors to review proposals submitted to NYSERDA's various funding opportunities and to provide due diligence analysis and expertise for ongoing projects to help NYSERDA advance innovative energy solutions within four strategic focus areas: advanced buildings, transportation, renewable energy, and smart grids.

NYSERDA's Technology and Business Innovation Group routinely defines energy and environmental challenges within its strategic program focus areas (Advanced Buildings, Transportation, Renewable Energy, and Smart Grid), and then develops funding opportunities that solicit proposals from private or institutional entities for activities and projects addressing those issues.

Expression of Interest Submission: Electronic submission is preferable. NYSERDA will also accept submissions by mail or hand-delivery. If submitting electronically, submitters must submit their documents in either PDF or MS Word format with a completed and signed Submittal 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 submitter's entity name in the title of the document. Proposals may be submitted electronically by following the link for electronic submissions found on this RFQL's webpage, which is 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 located as Attachment C to this RFQL.

If mailing or hand-delivering, proposers must submit (2) paper copies of their proposal with a completed and signed submittal Checklist following the above guidelines. Mailed or hand-delivered submittals must be clearly labeled and submitted to:

**Jill Baxter, RFQL 3323
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this solicitation, contact Richard Drake at (518) 862-1090, ext.3258 or Richard.Drake@nyserda.ny.gov. If you have contractual questions concerning this solicitation, contact Nancy Marucci at (518) 862-1090, ext. 3335 or Nancy.Marucci@nyserda.ny.gov.



External Technical Review and Advisory Assistance (RFQL - 3323)

NYSERDA's Technology and Business Innovation Group seeks highly qualified external technical reviewers and advisors to help us advance innovative energy solutions within four strategic focus areas: advanced buildings, transportation, renewable energy, and smart grids (as described in attachment E).

Additionally, as we continually explore innovation in the production, distribution, and use of clean energy, we encourage individuals with expertise in all aspects of this field to join NYSERDA's cadre of eligible external technical reviewers and advisors.

Background

To ensure that NYSERDA awards contracts on a competitive basis to the maximum extent possible, NYSERDA enlists internal and external technical reviewers and advisors, with no conflict of interest in the outcome, to evaluate every proposal's technical merit and commercial viability.

Roles

We define external technical reviewers and advisors as highly qualified subject matter experts. They may come from academia, private industry, non-governmental sector, or government.

- Technical reviewers evaluate proposals against NYSERDA's organizational goals and the programmatic criteria described in each funding opportunity notice.
- Technical advisors provide due diligence analysis and expertise in the oversight of ongoing projects, and serve as part of a project advisory team.

Reviewers and advisors will generally review one to three proposals or projects in their area of expertise. All external technical experts must sign non-disclosure agreements prior to evaluating any materials (attachment D). All applicants will be reviewed for both roles.

Travel and reimbursement

It is NYSERDA's policy to reimburse external reviewers and advisors for travel and other direct costs should they incur them, but we do not expect travel will be required. We anticipate most, if not all, necessary communication will take place over email, web conferences, and/or telephone.

How to apply

Interested individuals must apply electronically by filling out the attached Technical Reviewer Expression of Interest and Registration Form (attachment A) and submitting it, together with a copy of their résumé/CV describing their qualifications, per the instructions provided in attachment C, Electronic Submittal Instructions.



Contact

If you have technical questions concerning this request, contact Richard Drake, Program Manager, Technology and Business Innovation via email at richard.drake@nyserda.ny.gov or telephone at (518) 862-1090 ext. 3258.

If you have questions concerning about procurement rules around this request, contact Nancy Marucci, Associate Contract Administrator, Contract Management via email at nancy.marucci@nyserda.ny.gov or telephone at (518) 862-1090 ext. 3335.

Attachments

Attachment A – Technical Reviewer Expression of Interest Registration Form

Attachment B – Disclosure of Prior Findings

Attachment C – Electronic Submittal instructions

Attachment D – Reviewer Non-disclosure and Confidentiality Agreement

Attachment E – Current Technology and Business Innovation Focus Areas

Attachment B

RFQL 3323

**Disclosure of Prior Findings of Non-responsibility Form
(Mandatory)**

Name of Individual or Entity seeking to enter the procurement contract:		
Address:		
Date:		
Solicitation or Agreement Number:		
Has any Governmental Entity made a finding of non-responsibility regarding the Individual or Entity seeking to enter the Procurement Contract in the last four years?		Yes
		No
Was the basis for the finding of non-responsibility due to a violation of §139-j of the State Finance Law?		Yes
		No
Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity?		Yes
		No
If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility:		
Government Agency or Authority:		
Date of Finding of Non-responsibility:		



Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named Individual or Entity due to the intentional provision of false or incomplete information?		Yes
		No

If you answered yes, please provide details:

Government Agency or Authority:

Date of Termination or Withholding of Contract:

Offerer certifies that all information provided to NYSERDA with respect to State Finance Law §139-k is complete, true, and accurate.

Signature: _____

Date: _____

Print Name: _____

Title: _____

NYSERDA - INSTRUCTIONS FOR ELECTRONIC SUBMITTALS

Please read the following instructions before submitting.

1. Submit one form per Individual
2. Enter your e-mail address and click the “Validate Email” button.
3. You will receive an automatic email containing a link to validate your email address. Click the link to be taken back to the Funding Opportunity to begin the online submission process.
4. Upload as many files as needed, one at a time.
5. The electronic file names should include the proposing entity’s name in the title of the document. The character limit is **100** characters.
6. You may submit Word, Excel, Zip, or PDF files. Individual files should be less than **1GB** file size.
7. PDF files must be searchable and therefore should be converted directly from an electronic document to PDF, rather than scanned.
8. After clicking the “Upload File” button, a list of your files will appear on the web page. You can delete files from this list if needed.
9. After all necessary files have been uploaded; review the list of documents to ensure that your proposal is complete and accurate.
10. Click the “Submit Registration button.”
11. You will then be brought to a confirmation page listing the files received. Please print and save the confirmation page.
12. An auto-generated confirmation e-mail will be sent to the e-mail address you entered. Please save this e-mail.
13. When choosing to submit files electronically, the award/non-award notification letter will be sent to the e-mail address of the **Primary Contact listed on the Proposal Checklist.**

If you make an error:

If after you click “Submit Registration” you discover that the document(s) you submitted are incomplete or inaccurate follow these instructions:

1. Start the process over again and **resubmit the entire proposal**. You will receive another confirmation e-mail.
2. Immediately forward both confirmation e-mails (original and resubmission) to proposals@nyserda.ny.gov with the subject line of “**Resubmittal**” and the PON/RFP/RFQ number.
3. NYSERDA will accept the second submission as your proposal. The first submission will be disregarded.

If you need help:

If you need help with this electronic proposal submission process, please contact Jill Baxter at jillina.baxter@nyserda.ny.gov or 518-862-1090 ext. 3279 and the Program contact listed in the solicitation.

Attachment D

Reviewer Non-disclosure and Confidentiality Agreement

THIS AGREEMENT, effective as of this ____ day of _____, 2____, by and between the NEW YORK STATE ENERGY RESEARCH AND DEVELOPMENT AUTHORITY (NYSERDA), a New York public benefit corporation having its principal office and place of business at 17 Columbia Circle, Albany, New York 12203-6399 and _____, (the TEP Member).

WHEREAS:

- A. The TEP Member has been selected to participate in the deliberations of a Technical Evaluation Panel (TEP) to review and evaluate proposals (PROPOSALS) submitted to NYSERDA in response to NYSERDA Request for Proposals (RFP)/Program Opportunity Notice (PON) #_____. The information contained in the PROPOSALS includes information developed, compiled and created by the submitter, and may include information that is not in the public domain, and/or information that is proprietary and confidential, including, but not limited to, data, plans, costs, processes and know-how (called "INFORMATION"); and
- B. NYSERDA desires the TEP Member to receive and review the PROPOSALS, and to participate in the deliberations of the TEP, which deliberations will include oral discussions regarding the various PROPOSALS and the INFORMATION in order to evaluate said PROPOSALS; and
- C. NYSERDA, in order to facilitate and/or administer the TEP review and evaluation process, may provide to the TEP Member scoring sheets, tabulations, summary materials, and other review and evaluation materials (TEP MATERIALS).

NOW IT IS HEREBY AGREED:

1. The TEP Member will receive PROPOSALS and TEP MATERIALS from NYSERDA and will participate in the deliberations of the TEP solely for the purpose of assisting NYSERDA in its evaluations and determinations regarding PROPOSALS submitted in connection with NYSERDA's above-referenced RFP/PON; TEP Member shall not use the PROPOSALS, INFORMATION OR TEP MATERIALS for any other purpose.
2. Subject to applicable provisions of law, the TEP Member will at all times keep all PROPOSALS, all INFORMATION contained in the PROPOSALS, and all TEP MATERIALS strictly confidential; which shall include, without limitation, not disclosing the same, or knowingly permitting the same, to be disclosed to any person other than NYSERDA employees and other TEP members participating in the TEP and at all times taking reasonable steps to ensure that this obligation is fulfilled.
3. The TEP Member will at all times keep the content of the deliberations of the TEP, including all oral communications by or between TEP Members, and the identity of other TEP Members strictly confidential; which shall include, without limitation, not disclosing the same, or knowingly permitting the same, to be disclosed to any person other than NYSERDA employees and other TEP members participating in the TEP and at all times taking reasonable steps to ensure that this obligation is fulfilled, both during and following the deliberations.

4. The PROPOSALS, INFORMATION and TEP MATERIALS are and will remain the sole and exclusive property of NYSERDA. Nothing herein or otherwise implied shall constitute any grant or license to use same for any purpose other than that stated in paragraph "1", above.

5. Upon completion of the deliberations of the TEP, the TEP Member shall destroy, by shredding, permanent deletion or other method ensuring complete destruction, all PROPOSALS and all TEP MATERIALS then in his/her possession provided by NYSERDA, whether in paper or electronic form. TEP Member shall not retain any copies thereof.

6. Nothing contained in Paragraphs 1 through 5 hereof shall in any way restrict or impair the TEP Member's right to use or disclose to others INFORMATION related to the PROPOSALS which:
 - (a) At the time of disclosure by NYSERDA was in the public domain;
 - (b) After disclosure is published or otherwise becomes part of the public domain through no fault of NYSERDA or the TEP Member;
 - (c) The TEP Member can show was already in his/her possession at the time NYSERDA delivered the PROPOSALS without a continuing obligation of confidence;
 - (d) The TEP Member can show was received by him/her after the time of disclosure hereunder from a third party who did not acquire it directly or indirectly from the PROPOSALS' authors under a continuing obligation of confidence;
 - (e) Is required by operation of law or directed by a court of law of competent jurisdiction; in such cases TEP Member shall notify NYSERDA prior to disclosure.

7. Pursuant to the New York State Freedom of Information Law ("FOIL", Public Officers Law, Article 6), agencies, including public corporations such as NYSERDA, are required to make available to the public, upon request, records or portions thereof which they possess, unless that information is statutorily exempt from disclosure. FOIL provides that an agency may deny access to records or portions thereof which "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." (See Public Officers Law, §87(2) (d)).

8. This Agreement shall be governed and construed in all respects in accordance with New York State Law, without effect to the conflict of laws provisions thereof, and shall be subject to the exclusive jurisdiction of the New York State Courts.

By _____
TEP MEMBER

Name _____

Title _____

RFQL 3323
Attachment E, (Last Updated 10-07-2016)
Current Technology and Business Innovation (TBI) Focus Areas
NYSERDA Reserves the Right to Periodically Update this List

**Strategic Area –Transportation- Technical Contact: Adam Ruder 518 862-1090
ext. 3411**

(1) Electric vehicles

Projects in this area focus on one of the following concepts:

- Advanced electrification technologies for medium- and heavy-duty vehicles;
- Cost reductions and usability improvements to EV charging stations and station installation procedures
- Business models and partnerships that improve the value proposition of EV battery packs through innovative second-life uses.

(2) Public Transportation

Projects in this area focus on one of the following concepts:

- Innovative light-weighting of rail cars;
- Advances in wayside energy storage for capturing and dispensing energy generated from regenerative braking of rail cars;
- Advanced bus efficiency and electrification technologies;
- Approaches to standardize and aggregate energy-saving technology purchases across multiple transit agencies.

(3) Smart Mobility

Projects in this area focus on one of the following concepts:

- Smart infrastructure sensing and communication technologies that enable the economically viable implementation of advanced parking or improved traffic flow;
- Connected vehicle technologies that improve traffic efficiency through communication with other vehicles, roadside infrastructure, and/or mobile devices used by pedestrians and bicyclists;
- Hardware/software combinations for connected infrastructure that enable functionality across different open source platforms and operating systems.

(4) Transportation Demand Management

Projects in this area focus on one of the following concepts:

- Technologies enabling the improved operability of shared mobility services and the provision of real-time public transportation information;
- Small-scale TDM services, such as car- and bike-sharing provided by a single employer, a multi-family housing complex, or a business improvement district.

(5) Freight Transportation

Projects in this area focus on one of the following concepts:

- Methods for reducing the impacts of last-mile deliveries that consider consolidation and

- distribution collaborations, or vehicle alternatives to trucks;
- Technologies that mitigate the noise pollution of deliveries to enable off-hour operations.

Strategic Area – Advanced Buildings Technical Contact: Joseph Borowiec 518 862-1090 ext. 3381

(6) Next Generation HVAC

Projects in this focus area will target activities related to:

- Solutions that improve the value proposition of cold climate heat pumps
- Compressor-less cooling systems that reduce electric demand compared to incumbent solutions while maintaining comparable efficiency, emissions, CapEx, and OpEx.
- Innovative control systems that results in a HVAC load reduction of 25% and enables real time optimization (e.g. arbitrage including dispatching of behind the meter renewables and modulation of HVAC operation)
- Reduction in thermal distribution system losses.
- Alternative/novel cooling methods for low-load Buildings.

(7) Smart Buildings

Projects in this focus area will target activities fostering innovations that:

- Improve communication, control and interoperability between the various building loads, onsite generation, storage, and the Grid.
- Enable energy management, demand resource (DR) capabilities, building to grid interaction (trans active energy), building occupant comfort and productivity, and provide resiliency.

Strategic Area- Renewable Generation: Contact Ravi Tetambe; 518 862-1090 ext. 3110

(8) Renewables Value improvement

Projects in this area will focus on innovations that will increase the economic viability of renewable resources by developing and demonstrating solutions that improve:

- capacity factors,
- energy value,
- balance-of-system hardware costs,
- O&M costs at existing and new sites for solar PV and wind power.

(8) Energy Storage Technology & Product Development

Projects in this area will focus on technologies that will:

- Improve the value proposition and accelerate the adoption of solar PV and wind power renewable technologies by fully monetizing grid benefits via integrating storage at distribution and load side
- Reduce costs of energy storage product hardware and balance of system,
- increase energy storage product performance and safety Increase grid resiliency and improve grid asset utilization.

(10) Water Resources Recovery Facilities- Net Zero Energy

Projects in this area will focus on activities that will:

- Energy Master Plans developed for the State’s largest WRRFs.
- Maximized installation of best practices at the State’s largest WRRFs resulting in up to 40% lower energy consumption at the WRRFs
- Reduced costs of installing best practices at large WRRFs.

- Greater utility involvement in large WRRF projects.
- New business models for public private financing of WRRF project.
- Increased generation of on-site energy from biogas resulting in reduction of energy requirements by up to 35%.
- New policies that facilitate interconnection of WRRF DERs to utility grid.
- Improved understanding of regulatory, feedstock supply, and economic issues associated with co-digestion of high strength organic wastes in WRRF AD systems.
- Improved understanding of physical impacts to AD systems associated with co-digestion of high strength organic wastes.
- Increased co-digestion of high strength organic wastes in the State’s largest WRRFs.
- Use of low-energy nutrient removal technologies that result in up to 50% lower energy consumption at the largest WRRFs in the State required to perform such treatment.
- Use of low-energy technologies that have shown promise elsewhere to achieve current and anticipated environmental goals set by state and federal regulatory agencies.

1090 Strategic Area- Smart Grid, Technical Contact: John Saintcross 518 862-Ext. 3384

Ext. 3384

(11) DER Integration and Community Engagement

Projects in this focus area will target activities leading to the following outcomes:

- Integration of DER at scale
- 5+% increase in system asset utilization
- Expand capabilities of DER to provide grid benefits
- Increased community-scale, resilient energy systems
- Tools to measure and improve resiliency developed and tested
-

(12) Smart Grid systems – Efficiency and Performance

Projects in this focus area will target activities leading to the following outcomes:

- 5+ % increase in asset utilization
- Increased system-wide efficiency (reduced CAPEX and OPEX)
- Reduced transmission congestion
- Improvement in fault prediction, detection and accelerated service restoration
- Reduction in customer outage impacts (number and duration)

**Strategic Area Innovation Capacity, Technical Contact Jeffery Peterson 518
862-1090 ext. 3288**

(13) Investor Engagement

Projects in this focus area will build networks that can mobilize early-stage investment capital necessary to commercialize clean energy technologies and produce the following expected outcomes:

- Design and implementation of a program to de-risk venture and growth capital investments in cleantech startup companies through independent, third-party technical (commercialization) and business (market) screening/due diligence support.
- Programmatic and operational support for clean energy incubators in New York State.
- Design and implementation of an Ignition Grant program that would position incubator client companies to better attract and secure sufficient follow-on capital to commercialize cleantech products and bring them to market.