



**“Establishment of a New York Climate Change
Science Clearinghouse”
Request for Proposals (RFP) 2628
Up to \$750,000 Available**

Proposals Due by January 14, 2013 by 5:00 PM Eastern Time*

The New York State Energy Research and Development Authority (NYSEERDA) is seeking proposals to support the design, development, implementation, management and maintenance of a web-based New York Climate Change Science Clearinghouse (NYCCSC). The NYCCSC will compile and coordinate scientific data and literature that will assist New York State in achieving its climate change adaptation and mitigation goals. The NYCCSC will provide user-friendly, web-based public access to data and literature related to climate change science that is relevant to New York State. The NYCCSC will also serve as an academic climate change data and literature clearinghouse that will support climate change research activities of state agencies, authorities, municipalities, private business and the insurance industry. Proposals that build on existing efforts and leverage significant co-funding and facilitate the long-term availability of data are preferred.

Proposals should outline the expected management and structure of the NYCCSC and identify a core group of institutions that will participate as partners under the NYCCSC. Partners may be public and private academic institutions, businesses, government agencies, or non-government organizations. The website must be hosted by a partner located in New York State. NYSEERDA will provide up to \$750,000 over a period of three (3) years for this effort. Part of the first-year funding for NYCCSC may be used for establishing the NYCCSC governing body, developing the web-based data and information site, preparing a plan for operation of the NYCCSC and for collection of data and literature. Second and third year funding will be used for operating and development costs for the NYCCSC. The successful proposal will also develop a plan on how the NYCCSC will be funded and sustained beyond the third year.

All proposals must be cost-shared at a minimum of 25% of the total cost of the project/task. One (1) contract award is anticipated.

Proposal Submission: Two (2) compact discs (each including a complete proposal and proposal checklist in PDF format) and one (1) complete paper copy of the proposal with a completed and signed Proposal Checklist attached to the front of the proposal. Proposers will not be reimbursed by NYSEERDA for any costs associated with the preparation of their proposals. Proposals must be clearly labeled and submitted to:

**Roseanne Viscusi, RFP 2628
NYS Energy Research and Development Authority
17 Columbia Circle
Albany, NY 12203-6399**

If you have technical questions concerning this RFP, contact Sandra Meier at (518) 862-1090, ext. 3462 or sm4@nyserda.org. If you have contractual questions concerning this RFP, contact Nancy Marucci at (518) 862-1090, ext. 3335 or nsm@nyserda.org.

No communication intended to influence this procurement is permitted except by contacting Sandra Meier (Designated Contact) at (518) 862-1090, ext. 3462 or sm4@nyserda.org. 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.

* Proposals must be **received** by NYSEERDA by 5:00 PM Eastern Time on January 14, 2013. 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 NYSEERDA location other than the address above. If changes are made to this RFP, notification will be posted on NYSEERDA's web site at www.nyserda.ny.gov.

I. INTRODUCTION

New York State recognizes that climate change is a near- and long-term challenge that will greatly affect the state's natural resources, public health, communities, and economy. There are many academic institutions, businesses, government agencies, and non-government organizations collecting climate-related data and literature, and conducting research to support adaptation and mitigation strategies in New York State. Despite the extensive work on climate issues, there is currently no coordinated way to access this knowledge base to inform future research or to make scientifically sound and cost-effective policy decisions.

This Request for Proposals (RFP) explores one approach to this challenge: the establishment of the New York Climate Change Science Clearinghouse (NYCCSC). The NYCCSC aims to provide an objective user-friendly, web-based repository of data and literature for climate change science. A core group of institutions may participate as partners under the NYCCSC. Partners may be public and private academic institutions, business, government agencies, or non-government organizations.

II. PROJECT REQUIREMENTS

The goal of this RFP is to solicit proposals for the design, development, implementation, management and maintenance of the NYCCSC. The website must be hosted by a partner located in New York State. The NYCCSC will seek data and literature related to climate change science that is relevant to New York State and will provide user-friendly public access to the information. The NYCCSC will also serve as an academic, climate change data and information clearinghouse that will support climate change research activities of New York State agencies, authorities, municipalities, private business and the insurance industry.

NYCCSC Activities

The NYCCSC will gather climate-related data and literature (e.g., reports, journal citations, maps, historical summaries) that is focused on New York State resources, but also may be regional in scale. Peer-reviewed and non-peer reviewed data should be collected from a variety of sources; the sources and types of all data shall be clearly labeled and categorized. Data should include (but not be limited to) projections of climate variables and historical observations. Examples of data that could be collected and made available for access through the NYCCSC are ambient temperature, changes in phenology of plants or animals, salt intrusion in the Hudson River, bird species migration counts, and lake ice freezing/melting dates. Proposals should include a plan for ongoing collection of data and literature that describes how the collection will be conducted, outlines the frequency of this activity, and defines the responsible partner(s).

Collected data and literature must be made publicly accessible through the NYCCSC; a searchable web-based data and information collection and distribution system is required. The NYCCSC will design and maintain a website dedicated solely to the NYCCSC. Proposals should identify specific plans for website design including the qualifications of the lead partner(s) for that task. Proposals should strive to minimize the ongoing cost (e.g., software licensing fees, hosting) of maintaining the website. The system must be user-friendly for public access but also presented in a way that will be useful to the scientific community. The option to present data to the user as graphics or maps is strongly encouraged. Data should be made available for download by users, e.g., tabular (spreadsheet) or raster (Geographic Information System-compatible) formats or by links to external web-based sites. The system will also allow users to upload data and literature; such data and literature will be objectively reviewed and approved by the NYCCSC prior to posting. Leveraging existing resources is highly encouraged, as are creative approaches to website design, data and literature collection and management.

The NYCCSC will work to obtain funding and support from multiple institutions for future operations and initiatives. Proposals shall submit a business plan defining how the NYCCSC will be sustained beyond the three (3) years of funding by NYSERDA, without using NYSERDA funds. The plan must provide a realistic, practical

and feasible strategy for achieving financial self-sufficiency. If funding is no longer available at the end of three (3) years, NYCCSC will transfer the web-based site and all content to NYSERDA or to NYSERDA's designee.

NYCCSC Management/Structure

Proposals should establish an administrative model for the maintenance, management and operation of the NYCCSC. The NYCCSC website should be housed at a specific location or institution in New York State; other partners may or may not be located within New York State. Proposals should identify and define core members who will develop the web-based system, collect data and literature on an ongoing basis, design, operate and maintain the NYCCSC. Letters verifying participation by partners and identifying their roles must accompany the proposal.

III. FUNDING

NYSERDA will provide up to \$750,000 over a period of three (3) years to support this initiative. The funding shall be used for the initial start-up of the NYCCSC, design of the web-based system, the operation of the NYCCSC, and the continuous collection of data and information from external sources. The overall annual budget for the NYCCSI will include the required 25% cost-share from the participating institutions. The contract term will be three (3) years. A single award is anticipated.

IV. PROPOSAL REQUIREMENTS

Proposers must submit two (2) compact discs and one (1) paper copy of the completed proposal to the attention of Roseanne Viscusi at the address on the front of this RFP. A completed and signed Proposal Checklist (attached to this RFP) must be attached as the front cover of your proposal, and the hard copy must contain an original signature. Proposals must be **received** by NYSERDA by 5:00 PM Eastern Time on January 14, 2013. **Late proposals and proposals lacking the appropriate completed and signed Proposal Checklist will be returned.** Be sure that the individual signing the checklist is authorized to commit the Proposer's organization to the proposal as submitted. Proposals that include teaming arrangements must designate one (1) party as the lead contractor. 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 RFP number, and the page number. The proposal must be in the following format:

Section 1- Introduction (2-page maximum)

Proposers shall summarize their understanding of the objectives and requirements of this RFP. Proposers shall briefly identify key information about its organization and other organizations that are part of the Proposer's team. Proposers shall describe how the organization or team is qualified to perform and complete the services and activities requested under this RFP and will also provide a general description of the Proposer's experience in climate change science and web-based data and information systems.

Section 2 - Statement of Work (10-page maximum)

The Statement of Work is a detailed work plan of how the Proposer will accomplish the RFP's objectives. It is the foundation of the primary contractual document that identifies the deliverables and provides a basis for payment. The Proposer shall describe the methodology and rationale for their proposed approach. The Statement of Work must be prepared as an ordered set of tasks, including subtasks if necessary. Therefore, each action item should be identified, indicating who will perform it, how it will be performed, when it will be performed, and its anticipated deliverables. In addition to responding to the tasks defined for the requested services, Proposers are invited to present additional tasks as long as they promote, or are consistent with, the goals and objectives of the NYCCSC.

Schedule. Present a work schedule with a starting point and duration for each task and subtask. Presentation of the schedule in a bar chart is preferred starting with “Month 1”, Month 2”, etc. The schedule should include timing of major milestones and meetings, demonstrations, reports and other key deliverables, and the start of metrics reporting to NYSERDA, showing progress toward project objectives and goals.

Specifically related to this RFP, Proposers shall provide a general description of how the Proposer will establish, manage, and operate the NYCCSC website, including how data and information/literature will be collected and categorized on an ongoing basis, how the website will be designed and maintained, and how partners will be recruited. Proposers should provide a plan to secure funding and support from multiple institutions for future operations and initiatives upon completion of the first three (3) years. The Proposers should describe the transfer of the web-based site and all content to NYSERDA if funding is no longer available at the end of three (3) years.

Section 3 - Management Structure (3-page maximum)

Proposers shall identify all team members, including both climate change and technological experts, and web design and maintenance personnel. Identify the Principal or Lead contact who will be responsible for ensuring that the project work is timely and of good quality. Provide a clear description of the roles and responsibilities. Provide the names and addresses of team members. Provide an organizational chart. Describe plans to coordinate the design of the implementation work among all involved parties that will administer the NYCCSC. Provide any additional relevant information.

Section 4 - Qualifications (6-page maximum)

Describe specific experience pertaining to the types of research related to climate change. Describe specific expertise for designing and maintaining the website. List and briefly describe relevant projects that have been completed by the Proposer and team. Indicate which team members were responsible for each project described. Indicate the name and telephone number of at least three (3) references for whom your team has similar, relevant completed projects. Provide resumes of all team members in an appendix.

Section 5– Cost Proposal

Rates:

Proposals must include Attachment C, Contract Pricing Proposal Form for each year of funding. Complete the form for all personnel, from all participating institutions. Titles may be used rather than individual names. Show how cost-share will be provided (e.g., hourly rates shared by NYSERDA and other institutions, or providing services at no cost to NYSERDA). **All proposals must be cost-shared at a minimum of 25% of the total cost of the project/task.** 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 that 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	\$	\$	\$

Indirect Costs: Attach documentation to support indirect cost (overhead) rate(s) included in your proposal as follows:

- Describe the basis for the rates proposed (*i.e.*, based on prior period actual results, based on projections, based on federal government or other independently approved rates).
- If rate(s) is approved by an independent organization, such as the federal government, provide a copy of such approval.
- If rate(s) is based on estimated costs or prior period actual results, include calculations to support proposed rate(s). Calculation should provide enough information for 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.

V. PROPOSAL EVALUATION

All proposals received by the due date and meeting the requirements established in this RFP will be reviewed and ranked by a Technical Evaluation Panel consisting of NYSERDA and New York State Department of Environmental Conservation staff and selected independent reviewers. Final rankings and the contract award will be based on the following criteria:

Relevant Experience and Qualifications: Are key personnel’s education and experience relevant to various disciplines of climate change science? Is there specific expertise for the website aspects of the proposal? Does the proposing team include a single lead Proposer responsible for managing all aspects of the project and ensuring project success? Is the Project Manager who will be responsible for managing the team identified? Does the Project Manager have experience managing diverse teams? Are roles of responsibility for individual project personnel defined and is their experience appropriate for their responsibilities? Does the proposing team have experience in conducting similar web-based science clearinghouse work? What is the quality of the project staff’s performance on past projects or their achievements related to the proposed work? Is there representation from both New York State’s public and private institutions of higher education? Will the project website be hosted by an institution or organization in New York State? Is there participation from business and non-governmental organizations that will add value to the tasks?

Comprehensiveness of Approach and Management Plan: Does the Proposer demonstrate the ability to complete all aspects of the project? Are appropriate management and coordination strategies articulated? Are sufficient resources being devoted to the project and each individual task? Is the project organization, including the staffing plan and schedule, clear and well defined? Is the staffing plan sufficient to provide timely deliverables? Did the Proposer provide an adequate explanation of how data will be collected and vetted for posting on the website? Is there a reasonable plan for the continuous collection and posting of data and literature for the web-based system? Is the proposed work superior to alternatives?

Responsiveness to the RFP: Has the Proposer demonstrated a clear understanding of the project goals and objectives? Does the Proposer appear to have the flexibility to accommodate potentially short notification times and tight deadlines?

Cost: How cost-effective is the proposal? How realistic are start-up costs relative to ongoing maintenance and data collection? Are hourly rates, overhead rates, and total hours reasonable and appropriate? Are labor costs for any personnel who are exempt from reporting hours and rates (such as university personnel) appropriate given the level of effort and involvement? Is the Proposer's cost allocation appropriate when compared to the cost allocation of other comparable proposals and their projected results? Is there a well-defined plan to create a self-sustaining budget for the operation and maintenance of the NYCCSI? Is there a plan to transfer the website and all contents to NYSERDA in the event funding is not secured beyond three (3) years?

VI. PROCUREMENT LOBBYING REQUIREMENTS

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 RFP 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 RFP will disqualify your proposal.

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 State 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 (4) 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/2006/fillin/st/st220ca_606_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

CONTRACT AWARD

NYSERDA anticipates making one award under this RFP. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA expects to notify proposers in approximately 10 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.**

ANNUAL METRICS REPORTS

On an annual basis, the Contractor shall submit, to NYSERDA's Project Manager, 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 was executed. Reports shall be submitted by January 31st for the previous calendar years activities (i.e. reporting period). Please see Attachment F: Sample Metrics Reporting Guides 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.**

LIMITATION

This RFP 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 RFP 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 (5) years, under the laws of the United States or any state or territory of the United States, and shall describe circumstances for each. When a proposer is an association, partnership, corporation, or other organization, this disclosure requirement includes the organization and its officers, partners, and directors or members of any similarly governing body. If an indictment or conviction should come to the attention of NYSERDA after the award of a contract, NYSERDA may exercise its stop-work right pending further investigation, or terminate the agreement; the contractor may be subject to penalties for violation of any law which may apply in the particular circumstances. Proposers must also disclose if they have ever been debarred or suspended by any agency of the U.S. Government or the New York State Department of Labor.

VIII. ATTACHMENTS

- Attachment A - Proposal Checklist
- Attachment A-1 Terms and Conditions
- Attachment B - Disclosure of Prior Findings of Non-Responsibility Form
- Attachment C - Contract Pricing Proposal Form (CPPF) and Instructions
- Attachment D - Sample Agreement
- Attachment E – Metrics Reporting Guide: Information Dissemination
- Attachment F – Solicitation Marketing Questionnaire