

Accelerate Southern Tier
Program Opportunity Notice (PON) 4242
\$3,500,000 Available

NYSERDA reserves the right to extend and add funding to the solicitation should other program funding sources become available.

Round 1 Proposals Due: November 19, 2019, by 3:00 PM Eastern Time*

Round 2 Proposals Due: July 15, 2020, by 3:00 PM Eastern Time*

Program Summary: This New York State Energy Research and Development Authority (NYSERDA) Program Opportunity Notice (PON) 4242 seeks proposals to develop and execute projects that promote the growth of a robust clean energy innovation ecosystem in New York's Southern Tier. PON 4242 Accelerate Southern Tier funds programs that accelerate the formation and growth of early-stage clean energy companies in the Southern Tier and continues development of the Southern Tier as a prominent geographic region that helps foster growth and scale for clean energy technology businesses. For the purposes of this PON, the "Southern Tier" is defined as all counties within the Southern Tier Regional Economic Development Council (REDC) as well as three counties from the Western New York REDC, including Allegany, Cattaraugus, and Chautauqua. Proposed projects should be designed to spur clean energy business formation and growth. Proposed projects may be new and unique, or replicate successful national or international program models. Up to \$3,500,000 of NYSERDA funding is available through this PON. Under this PON, NYSERDA will award contracts of up to \$750,000. Awarded contract(s) will be for a term of up to three (3) years with the possibility of extension for up to one (1) additional year. Projects need not be of such a scale that they require the maximum funding or term; proposals requesting considerably less funding, less time, or both are welcome. All, some or none, of the available funds may be awarded through PON 4242. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

Proposal Submission: Online submission is preferable. Proposers may submit Word, Excel, or PDF files (file formats include: csv, doc, docx, gif, jpeg, jpg, pdf, png, ppt, pptx, pps, ppsx, tif, txt, xls, xlsx, and zip). Individual files should be 100MB or less in file size. Proposal PDFs should be searchable and should be created by direct conversion from MS Word, or other conversion utility. Files should not be scanned. For ease of identification, all electronic files must be named using the proposer's entity name in the title of the document. NYSERDA will also accept proposals by mail or hand-delivery if online submission is not possible. For detailed instructions on how to submit a proposal (online or paper submission), click the link "[Application Instructions and Portal Training Guide \[PDF\]](#)" located in the "Current Opportunities" section of NYSERDA's website (<https://www.nyserderda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

No communication intended to influence this procurement is permitted except by contacting Colby Creedon (Designated Contact) at (518) 862-1090, ext. 3460 or by e-mail pon4242@nyserderda.ny.gov or Nicholas Querques (Designated Contact) at (518) 862-1090, ext. 3086 or by e-mail pon4242@nyserderda.ny.gov. If you have contractual questions concerning this solicitation, contact Venice Forbes (Designated Contact) at (518) 862-1090, ext. 3507 or venicesolicitations@nyserderda.ny.gov. Contacting anyone other than the Designated Contacts (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 offeror; and (2) may result in the proposer not being awarded a contract.

*** All proposals must be received by 3 PM Eastern Time on the date noted above. Late, faxed, or emailed proposals will not be accepted.** Incomplete proposals may be subject to disqualification. It is the proposer's responsibility to ensure that all pages have been included in the proposal. Please note: for online submission, there are required questions that proposers will have to answer in addition to uploading attachments and proposers should allot at least 60 minutes to enter/submit proposals. The online proposal system closes promptly at 3 PM Eastern Time, files in process or attempted edits or submission after 3 PM Eastern Time on the date above, will not be accepted. If changes are made to this solicitation, notification will be posted on the "Current Opportunities" section of NYSERDA's website (<https://www.nyserda.ny.gov/Funding-Opportunities/Current-Funding-Opportunities.aspx>).

I. INTRODUCTION

New York's Southern Tier has become a hotbed of innovation that supports early-stage clean energy companies by operating business incubators, fostering strategic manufacturing partnerships, administering the 76West Clean Energy Competition, growing startup communities across the region, and supporting industries ripe for the adoption of clean energy products and services.

The goal of PON 4242 Accelerate Southern Tier is to enable organizations within the Southern Tier to build upon the region's early ecosystem development and clean energy business formation and acceleration success by developing and executing high-impact programs. Successful proposals will describe programming aimed at helping early-stage clean energy companies start and grow within the Southern Tier as well as attracting high-potential clean energy companies to the region. A successful proposal will address an unmet regional need by deploying programming interventions that spur innovation and encourage clean energy business formation and growth within the Southern Tier.

Objectives and Expected Outcomes

NYSERDA has strategically developed the Accelerate Southern Tier initiative to be a centerpiece of New York State's continued investment in projects that can catalyze the implementation of long-lasting business formation and growth programs in the region. The goal is to fund programs implemented by Southern Tier-based organizations that address regional unmet business formation and growth needs while helping New York State achieve its decarbonization goals via targeted investments and timely business support for clean energy companies. The objectives of this program include:

- Contributing to New York State's decarbonization goals with programming that accelerates clean energy companies' time to market.
- Facilitating clean energy company formation, attraction, and growth in the Southern Tier.
- Addressing a regional need with business formation and growth programming. The regional need may be general to the region that makes up the "Southern Tier", as defined by this PON, or specific to individual communities within the region (i.e., Ithaca, Binghamton, Corning, Fredonia, Alfred, etc.)

The subsequent sections of this PON are as follows:

- II. Program Requirements (page 3)
- III. Proposal Requirements (page 6)
- IV. Proposal Evaluation (page 7)
- V. General Conditions (page 8)
- VI. Attachments (page 12)

II. PROGRAM REQUIREMENTS

Eligibility and Proposer Qualifications

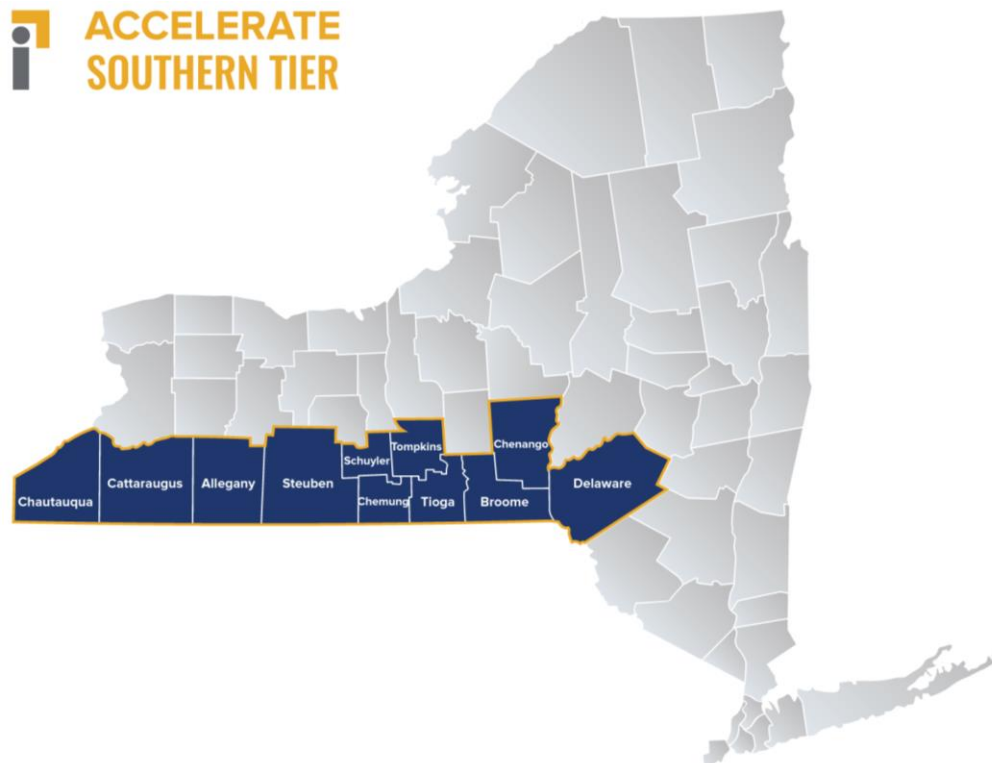
Any organization with a strong connection to the Southern Tier that has demonstrated an ability to assist early-stage companies from formation through growth-stage and scale up are eligible to submit proposals under this PON. Proposers may be existing NYSERDA-sponsored entities, venture development organizations not currently supported by NYSERDA, or other qualified organizations, including universities, colleges, community colleges, venture development organizations, industrial development agencies and economic development organizations, corporations, or philanthropic organizations. Proposers may be for-profit or non-profit entities.

Proposers should have a track record of providing business support to early-stage technology-based companies. Proposers should also be able to provide illustrative examples of early-stage technology-based companies that have directly benefited from their business support. NYSERDA reserves the right to verify any information contained in a proposal.

Preference will be given to organizations with a principal place of business in the “Southern Tier” as defined in the following paragraph. Organizations with a principal place of business outside of the defined region should be able to demonstrate a strong presence within the Southern Tier, or partner with organizations based in this region.

Southern Tier Definition

For the purposes of this PON, the “Southern Tier” is defined as all counties within the Southern Tier Regional Economic Development Council (REDC), including Delaware, Chenango, Broome, Tioga, Tompkins, Chemung, Schuyler, and Steuben as well as three counties from the Western New York REDC, including Allegany, Cattaraugus, and Chautauqua.



Clean Energy Definition

“Clean energy” is defined as hardware technologies, software technologies, services, or processes that broadly reduce energy consumption and greenhouse gas emissions and/or enable the transition to a sustainable and clean energy economy by increasing the supply of renewable energy and distributed energy resources, improving the efficiency and/or reducing the cost of energy utilization at the consumer and industrial scale, improving the processes and systems that use energy, or more effectively enabling energy solutions to permeate the marketplace. **Companies developing fossil fuel based or related technologies and solutions may not be eligible for support from projects funded through PON 4242.**

Available Funding and Cost Sharing

Up to \$3,500,000 of NYSERDA funding is available through this PON. The maximum award per contract will be \$750,000. All, some, or none, of the available funds may be awarded. Projects need not be of such a scale that they require the maximum funding; proposals requesting considerably less are welcome. NYSERDA reserves the right to add or reduce time and/or funding to awarded contracts.

Successful proposers will be required to provide cost sharing – at least 25% of the total project cost is required. The proposer’s cost share may be cash or in-kind and may come from the proposer itself or partner organizations. Cash cost share is the preferred form of cost share.

Range/Scope of Services

Proposers are required to submit proposals for business formation and growth programming that will support early-stage clean energy companies and the broader innovation ecosystem in the Southern Tier. The proposed programming should illustrate a cohesive plan that advances the Southern Tier clean energy ecosystem by facilitating, helping, and catalyzing clean energy company formation and growth. Proposed programs should augment, and not compete with, existing regional business support programs supported by NYSERDA, Empire State Development/NYSTAR, and other funding agencies.

Proposed projects should be designed to spur clean energy business formation and growth. Proposed projects may be new and unique, or replicate successful national or international program models. Examples of prospective projects include, but are not limited to:

- Clean energy innovation fellowships;
- Energy storage or other critical industry supply chain development;
- “Greening” a Southern Tier industry (food/agriculture, transportation, advanced manufacturing, etc.) through specialized incubation of relevant clean energy startups or other means;
- Programming tailored to women and/or minority founders in clean energy;
- Attracting (and incubating) national or international clean energy companies;
- Fostering partnerships between large Southern Tier companies and early-stage clean energy companies; and/or
- Programming that will increase the number of early-stage clean energy companies forming, operating, and growing within the Southern Tier.

Other program ideas are welcome, and innovative programs with the potential for high impact are encouraged.

Proposals should illustrate: (1) a regional unmet clean energy ecosystem need; (2) a programmatic solution that addresses that regional need; (3) how the programmatic solution will be executed; and (4) how the programmatic solution helps drive clean energy business formation and growth impacts in the Southern Tier generally, or an individual community within the region.

Schedule and Teaming

The following guidelines should be considered when developing proposals:

- Projects are expected to begin within five (5) months after the proposal due date. Awarded contracts will be for an initial term of three (3) years with the possibility of extension for up to one (1) additional year and will be executed at NYSERDA's sole discretion.
- Teaming arrangements and collaboration are highly encouraged, where appropriate, to enhance the likelihood of project success and overall impact. Teams may include partners such as venture development organizations, investors, service providers, academic and research institutions, government agencies, and other incubators. Include letters of commitment or interest from each identified team member in an appendix to the proposal.

Letters of Commitment or Interest

If you are relying on any other organization to do some of the work, provide services or equipment, participate as a key partner, or share in the non-NYSERDA cost, include a letter from that organization describing its planned participation. Also include letters of interest or commitment from partners or other organizations critical to the development, implementation, and success of the project. Absence of letters of commitment or interest may be interpreted as meaning that the proposer does not have support from the subject parties. Letters may not be solicited from NYSERDA personnel. NYSERDA personnel includes NYSERDA employees and independent contractors delivering services to NYSERDA, such as Innovation Advisors.

Potential Conflicts of Interest

Identify the nature of any potential conflicts of interest among team members and partners in providing services to NYSERDA under this PON. Fully discuss possible conflicts of interest, actual and perceived, which could arise in connection with the performance by team members and partners of the proposed contract. Describe how your firm would resolve conflicts of interest. In the event that NYSERDA determines that a team member may have a conflict of interest or the appearance of such, NYSERDA may: (1) take this into consideration in evaluating the proposal; (2) exclude the proposer from consideration for an award; (3) adjust the scope of work to avoid the conflict or appearance of conflict; or (4) negotiate other appropriate actions with the team member to avoid the conflict or appearance of conflict.

Other Considerations

In addition, proposers should note that:

- A proposal may be considered non-responsive if it fails to comply with the requirements above, the Proposal Requirements (see Section III), or the General Conditions (see Section V).
- Prior to an award being made, potential awardees may be required to demonstrate the following via formal documentation: a strong track record; access to financial resources sufficient to perform the proposed work; technical experience and adequate facilities (or the ability to access them); and/or the ability to qualify for an award under applicable laws and regulations.
- Performance of awarded projects will be assessed continuously to ensure the contractor is meeting its commitments and achieving the milestones laid out in the Statement of Work.
- **Note for Organizations Not Principally Located in the Southern Tier:** Organizations responding to this PON that are not principally located in the "Southern Tier", as defined by this PON, are strongly encouraged to partner with organizations based in the region. Preference will be given to proposals submitted by organizations principally located within the Southern Tier.

III. PROPOSAL REQUIREMENTS

The proposer's goal should be to concisely present the information needed to adequately address the Proposal Evaluation criteria (see Section IV). Proposals that grossly exceed the page limits or fail to follow the format guidelines in Attachment A - Proposal Narrative may be rejected as non-responsive. If proposers believe proprietary information must be submitted to provide an adequate proposal, they must comply with the General Conditions (see Section V) instructions for submitting proprietary material.

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 proposal may reduce, rather than increase, a proposal's standing per the evaluation criteria. Each page of the proposal should state the name of the proposer, the PON number, and the page number. The proposal must be in the following format, with items in the sequence shown.

Proposal Narrative

The purpose of Attachment A - Proposal Narrative is to concisely provide the information necessary to review the proposal according to the criteria laid out in the Proposal Evaluation criteria (see Section IV). Proposers must Complete Attachment A - Proposal Narrative form-fillable document as part of the PON. Attachment A - Proposal Narrative contains the following sections:

- I. Executive Summary
- II. Background, Opportunity, and Needs Assessment
 - Attachment B - [Mission Model Canvas](#)
- III. Statement of Work, Milestone Payment Plan, and Schedule
- IV. Proposer Qualifications
- V. Project Benefits
- VI. Budget
- VII. Letters of Support
- VIII. Attachments

Proposers must carefully review Attachment A - Proposal Narrative to ensure that all required sections are completed. Failure to do so may result in the proposal being rejected as non-responsive.

Cost Sharing

The proposal should show non-NYSERDA funding of at least 25% of the total cost of the project. The 25% cost sharing requirement is a minimum indicator of the commitment of the proposer to leverage NYSEDA's funding. Cost sharing can be from the proposer, team members and partners, and other private or public 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. Cash cost share is the preferred form of cost share. NYSEDA 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. The proposer must provide the cost sharing information and their organization's overhead rate as directed in Attachment A - Proposal Narrative.

IV. PROPOSAL EVALUATION

Proposals that meet the solicitation requirements will be reviewed by a Scoring Committee and will be scored and ranked according to the following criteria, **listed in order of importance**. At NYSERDA's discretion, proposers may be requested to interview with all or part of the Scoring Committee to address any potential questions or clarifications outlined in the proposals. Proposers will be notified if they are requested to attend an interview. After the proposals are reviewed, NYSERDA will issue a letter to each proposer indicating the proposal evaluation results. Proposers receiving favorable evaluations will be invited to enter into contract negotiations with NYSERDA. The proposer will be required to submit a detailed Statement of Work, schedule, and budget as part of Attachment A - Proposal Narrative and may also be asked to address specific questions or recommendations of the Scoring Committee prior to any contract award.

Requirements

A negative response to any one of the questions below will eliminate the proposal from further consideration. Does the proposal:

- Involve a Southern Tier-based entity as the principal proposer or a key partner?
- Focus programming on the "Southern Tier", as defined by this PON?
- Propose programming aimed at clean energy business formation and growth?
- Provide the required level of cost-sharing?

Evaluation Criteria in Order of Importance

Outcomes and Benefits

- The likelihood that the proposed programming will advance the development and growth of the Southern Tier's clean energy ecosystem and the likely magnitude of this development and growth.
- The extent of measurable economic benefits to the Southern Tier in the form of clean energy business attraction, formation, and growth.
- The likelihood that Southern Tier jobs will be created or retained as a result of the proposed programming.
- The clarity of the explanation of how the proposed programming is expected to lead to claimed outcomes and benefits.

Project Value

- The extent to which the cost of the project is justified with respect to the expected benefits and the potential impact on the Southern Tier clean energy ecosystem.
- The extent to which the expected benefits are high-impact, realistic, measurable, and logically tied to the proposed programming.
- The extent to which the resulting benefits are likely to be sustained after a contract with NYSERDA ends.
- The quality of the proposed measurement and reporting of project benefits.

Southern Tier Connection

- The extent to which the proposer is based in and/or connected to the Southern Tier and their involvement in supporting existing business formation and growth programs.
- The extent to which the proposer demonstrates a clear, long-term strategy for improving the Southern Tier clean energy ecosystem with business formation and growth support programs
- The extent of the proposer's understanding of business formation and growth challenges facing the Southern Tier.

- The extent to which proposed programming is tailored to addressing business formation and growth challenges.

Project Team and Partners

- The extent of the proposer's (including partners and subcontractors) background in starting, growing, and operating clean energy or technology-based companies.
- The extent of the proposer's (including partners and subcontractors) experience successfully executing business formation and growth programming targeting early-stage clean energy or technology-based companies.
- The degree of commitment from all essential team members and partners.
- The availability of human resources necessary to execute the project.

Budget and Scope of Work

- The extent to which the proposed scope of work is definitively focused on achieving project objectives and target outcomes.
- The extent to which the proposed scope compliments other efforts taken by the proposer.
- The extent to which task budgets are appropriate and matching contributions indicate a high-degree of commitment.
- The degree to which the applicant has the resources to complete the project.
- The extent to which proposed project optimizes the use of NYSERDA funding and cost share to accomplish project objectives.

Program Policy Factors

NYSERDA reserves the right to accept or reject proposals – or adjust award amounts – based on the following factor(s):

- The degree to which the proposed project directly addresses NYSERDA's mission and strategic goals, including State Energy Plan and Reforming the Energy Vision goals.
- The proposer's track record and performance on current and past NYSERDA contracts, if applicable.
- The degree to which the proposer has the resources (human and financial) to be able to complete the project.
- The degree to which the proposed project optimizes the use of available funding to achieve programmatic objectives.
- Availability of funding.
- Level of prior and current financial commitment to the proposer, or to proposers addressing similar market opportunities under this PON or other NYSERDA programs.
- Geographic coverage and distribution of awardees.
- Duplication of other proposed or awarded projects.

V. 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 <https://online.ogs.ny.gov/legal/lobbyinglawfaq/default.aspx>. The attached Proposal Checklist calls for a signature certifying that the proposer will comply with State Finance Law sections 139-j and 139-k and the Disclosure of Prior Findings of Non-responsibility form includes a disclosure statement regarding whether the proposer has been found non-responsible under section 139-j of the State Finance Law within the previous four years.

Tax Law Section 5-a

NYSERDA is required to comply with the provisions of Tax Law Section 5-a, which requires a prospective contractor, prior to entering an agreement with NYSERDA having a value in excess of \$100,000, to certify to the Department of Taxation and Finance (the "Department") whether the contractor, its affiliates, its subcontractors and the affiliates of its subcontractors have registered with the Department to collect New York State and local sales and compensating use taxes. The Department has created a form to allow a prospective contractor to readily make such certification. See, ST-220-TD (available at http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf). Prior to contracting with NYSERDA, the prospective contractor must also certify to NYSERDA whether it has filed such certification with the Department. The Department has created a second form that must be completed by a prospective contractor prior to contacting and filed with NYSERDA. See, ST-220-CA (available at

http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf). The Department has developed guidance for contractors which is available at <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Contract Award

NYSERDA anticipates making multiple awards under this solicitation. It may award a contract based on initial applications without discussion, or following limited discussion or negotiations pertaining to the Statement of Work. Each offer should be submitted using the most favorable cost and technical terms. NYSERDA may request additional data or material to support applications. NYSERDA will use the Sample Agreement to contract successful proposals. NYSERDA may at its discretion elect to extend and/or add funds to any project funded through this solicitation. NYSERDA reserves the right to limit any negotiations to exceptions to standard terms and conditions in the Sample Agreement to those specifically identified in the submitted proposal (see Proposal Checklist). Proposers should keep in mind that acceptance of all standard terms and conditions will generally result in a more expedited contracting process. NYSERDA expects to notify proposers in approximately ten (10) weeks from the proposal due date whether their proposal has been selected to receive an award. NYSERDA may decline to contract with awardees that are delinquent with respect to any obligation under any previous or active NYSERDA agreement.

Limitation

This solicitation does not commit NYSERDA to award a contract, pay any costs incurred in preparing a proposal, or to procure or contract for services or supplies. NYSERDA reserves the right to accept or reject any or all proposals received, to negotiate with all qualified sources, or to cancel in part or in its entirety the solicitation when it is in NYSERDA's best interest. NYSERDA reserves the right to reject proposals based on the nature and number of any exceptions taken to the standard terms and conditions of the Sample Agreement. NYSERDA reserves the right to disqualify proposers based upon the results of a background check into publicly available information and the presence of a material possibility of any reputational or legal risk in making of the award.

Reporting

If awarded, the proposer will be required to submit to NYSERDA on a periodic basis, a prepared analysis and summary of program funding leveraged from other sponsors for the proposed program itself as well as the following metrics for relevant program participant companies and graduates for at least four years after their graduation date:

- Private investment raised
- Project finance capital secured
- Grants awarded
- Strategic partnerships executed
- Revenue generated
- New products commercialized
- Jobs created/retained
- Liquidity events realized

All metrics shall be documented, certified, and published to the best of the contractor's ability, in a manner which does not present any competitive harm to incubator client companies and graduates. Reporting shall commence the first calendar quarter after the contract is executed. Reports shall be submitted thirty (30) days after the previous calendar quarter's activities (i.e., reporting period).

NYSERDA may decline to contract with awardees that are delinquent with respect to metrics reporting for any previous or active NYSERDA agreement.

Due Diligence

NYSERDA, at its discretion, may conduct broad due diligence to validate any or all elements of a proposal and to assess proposer's prospects of success, including gathering information to assess a proposal relative to any of the topics listed in evaluation criteria, whether or not such topic is explicitly addressed in a proposal. NYSERDA may conduct due diligence on some or all proposals based on NYSERDA's current guidelines at the time of a review. NYSERDA staff or contractors may follow up with proposers or their "qualified" investors to request additional information or clarification regarding proposer's proposal, including questions regarding the proposer's business prospects and resources, whether or not those questions are specifically related to the elements of the proposal. Additionally, customized due diligence may be conducted by NYSERDA staff or contractors based on questions on any proposal raised by NYSERDA staff and/or the Scoring Committee. Due diligence may include, but is not limited to:

- Interviews of independent references and background checks of team members;
- Assessment of prior business experience of any team member associated with a proposal;
- Research on or validation of intellectual property claims;
- Investor, customer, and partner reference checks;
- Market research on the proposer's target market and any other related or possibly competitive technology or market area;
- Research to validate any assumptions on current or future revenues, costs, capital needs, and financing prospects for the proposer's business, including similar (or unrelated) technologies, processes, or competitive solutions; and/or
- Any other research that could reasonably inform the evaluation of a proposal, or the prospects for commercial success of the proposer's business, whether directly related to, or unrelated to the specific elements in a proposal.

Due diligence may include discussions with proposer's former and current business partners, employees, investors, customers, and competitors. Due diligence may be conducted by NYSERDA staff or contractors, including members of the Scoring Committee, before, during, or after a scoring process, and prior to finalization of a contract award, any information gleaned in diligence may be used to score or re-score a proposal at NYSERDA's discretion.

Disclosure Requirement

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

VI ATTACHMENTS

The following attachments are provided for entities proposing to PON 4242 Accelerate Southern Tier:

- Attachment A - [Proposal Narrative](#) **(Required, Template Provided)**
- Attachment B - [Mission Model Canvas](#) **(Required, Template Provided)**
- Attachment C - [Sample Agreement](#) **(For Reference Only)**