



Division of Science, Technology and Innovation (NYSTAR)

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2011 REQUEST FOR PROPOSALS

RFP NYSTAR 11-01 RTDC

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NOTICE OF INTENT DUE: July 27, 2011 By 5:00 P.M.

PROPOSALS DUE: August 10, 2011 BY 5:00 P.M.

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I. Program Overview and Requirements

A. Program Goals and Objectives

The Regional Technology Development Centers (RTDC) Program provides funds to support a statewide network of regional, non-profit organizations whose mission is to provide basic and specialty services (described in Sections I.E.1 and 2 of this Request for Proposals (RFP)) to small- and medium-sized manufacturers, science and technology-based businesses, and start-ups in need of basic business advice and new technologies and methods to modernize their operations.

Specifically, the objectives of the Program are to:

- Improve the competitiveness and increase the market share of small- and medium-sized manufacturers in New York through the introduction of new technology and best practices (including management, quality and productivity improvements);
- Create and retain jobs in New York;
- Increase investment in and investment by New York manufacturing and technology-based companies;
- Facilitate the movement of technology discoveries from academic research centers into creation of new companies or the expansion of existing New York State companies; and
- Increase the economic benefits to New York State companies and the State resulting from fostering innovation.

The Program is an integrated service delivery initiative that draws on three related programs: the state Technology Development Organization (TDO) Program, the state Industrial Technology Extension Service (ITES) Program, and the Federal Manufacturing Extension Partnership (MEP) Program. Statutory authority for these programs is found in §3102-d of the Public Authorities Law (for the State TDO Program); §3102-a of the Public Authorities Law (for the State ITES Program); and US Code Title 15, Chapter 7, §278 (for the Federal MEP Program), administered by Empire State Development's Division of Science, Technology & Innovation (NYSTAR), and its successors, under Cooperative Agreements with the National Institute of Standards and Technology (NIST). All requirements found in the aforementioned statutes as well as the Cooperative Agreements with NIST apply to the Program. Definitions of specific terms used throughout the RFP are included in Appendix A.

B. Award Amounts and Contract Period

1. Designation and Contract Periods

Applicants awarded from this RFP will be ESD/NYSTAR-designated RTDCs for a period beginning July 1, 2011 and ending June 30, 2016. Contracts will be executed between ESD/NYSTAR and

Award Recipients. See timetable (Section II.A.) for dates the contract is expected to begin. Any awards that have not been contracted by the date specified may be rescinded.

If ESD/NYSTAR finds an RTDC's contractual performance to be unsatisfactory, the RTDC's contract and designation may be terminated before the end of the designation period. In such a case, ESD/NYSTAR may administer a competitive process to designate another organization as the region's RTDC.

2. Available Funding

Through this competition, ESD/NYSTAR expects to make available approximately \$9 million in the first year of funding, subject to the availability of funds, to a designated RTDC in each of the State's ten economic development regions. ESD/NYSTAR RTDC funds awarded under this RFP come from three different funding sources: Federal MEP funds, State ITES funds, State TDO funds. Matching fund requirements for the three funding sources and the activities that are eligible for funding are described in Sections I.D. and I.E of this RFP.

In addition to the approximately \$9 million available to fund the ten designated RTDCs, additional RTDC Program funds are reserved by ESD/NYSTAR for RTDCs to fund Regional Innovation Specialists.

- **Regional Innovation Specialists**—Funds from the total RTDC allocation will fund Regional Innovation Specialists and business startup competitions at designated RTDCs as listed in the basic services requirement Section 1.E.1.d. Following the announcement of RTDC designations under the RTDC RFP, ESD/NYSTAR will release a separate Regional Innovation Specialist RFP to award funds for the use of technology acceleration, technology matching, innovation engineering and other activities to improve innovation in New York State.

3. Award Amounts

Annual funding for each RTDC region is comprised of a base of \$300,000 with the remaining funds allocated as follows:

- 52 percent will be allocated using the region's total credited economic impact* over a three-year period as a percentage of the rolling total statewide impact over the same period;
- 24 percent will be allocated based on the rolling average of the number of small and medium sized manufacturing firms* in the region according to the most recent data as of July 1 of each year of a three-year period as a percentage of the rolling average number of firms statewide over the same period; and

- 24 percent will be allocated based on the rolling average of the employees* at small and medium sized manufacturing firms in the region according to the most recent data as of July 1 of each year of a three-year period as a percentage of the rolling average number of firms statewide over the same period.

Actual award amounts will be subject to the availability of funds as well as qualifying matching funds.

The ten RTDC regions are consistent with the economic development regions established pursuant to §230 of the Economic Development Law. The chart below lists the ten RTDC regions, the counties contained therein, along with the estimated amount of FY 2011-2012 funds available and their sources under this RFP.

** Manufacturing firm and economic impact figures used in the calculations will be updated annually with a one-year lag such that annual allocations for FY 2011-12 will be based on manufacturing firm and economic impact data from the period July 1, 2007 to June 30, 2010. The number of manufacturing firms in each region are obtained from the New York State Department of Labor. Economic impacts used to tabulate the region's prior economic impacts are increased and retained sales, cost savings, new investments and jobs created and retained. The impacts are obtained from a third party survey house contracted by NIST.*

RTDC Regions and FY 2011-12 Allocations

Region (Counties within region)	Federal MEP Funds	ITES Funds	TDO Funds	Total NYSTAR Funds
Western New York (Allegany, Cattaraugus, Chautauqua, Erie, and Niagara)	\$570,000	\$225,000	\$131,000	\$926,000
Finger Lakes (Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming, and Yates)	\$634,000	\$251,000	\$146,000	\$1,031,000
Southern Tier (Broome, Chemung, Chenango, Delaware, Otsego, Schuyler, Steuben, Tioga, and Tompkins)	\$564,000	\$223,000	\$130,000	\$917,000
Central New York (Cayuga, Cortland, Cortland, Onondaga, and Oswego)	\$408,000	\$161,000	\$94,000	\$663,000
North Country (Clinton, Essex, Franklin, Jefferson, Lewis, and St. Lawrence)	\$287,000	\$114,000	\$66,000	\$467,000
Mohawk Valley (Fulton, Hamilton, Herkimer, Montgomery, Oneida, and Schoharie)	\$279,000	\$110,000	\$64,000	\$453,000

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Capital Region (Albany, Columbia, Greene, Rensselaer, Saratoga, Schenectady, and Warren, and Washington)	\$457,000	\$181,000	\$105,000	\$743,000
Mid-Hudson (Dutchess, Orange, Putnam, Rockland, Sullivan, Ulster, and Westchester)	\$430,000	\$170,000	\$99,000	\$699,000
New York City (Bronx, Kings, New York, Queens, and Richmond)	\$1,179,000	\$467,000	\$275,000	\$1,921,000
Long Island (Nassau and Suffolk)	\$660,000	\$261,000	\$152,000	\$1,073,000
Total Funds for Ten Designated RTDCs	\$5,468,000	\$2,163,000	\$1,262,000	\$8,893,000

4. Adjustment to Award Amounts

a. Additional Available Funds:

ESD/NYSTAR may adjust award amounts and/or distribute additional funds that may become available to the RTDC Program. Potential sources of such funds include, but are not limited to, additional Federal funds or other grants for which individual RTDCs or the Statewide RTDC program may be eligible.

b. Poor Performance:

ESD/NYSTAR may reduce or remove the funding of a RTDC due to poor contractual performance pursuant to provision of the contract and subject to the annual allocation formula described above. If an RTDC is ineligible for all or part of its annual allocation due to an inability to meet the matching fund requirements, those RTDC funds may be made available to those RTDCs that exceed their matching requirements for that period.

C. Eligibility and Program Requirements

Any not-for-profit corporation subject to New York State’s not-for-profit corporation law that is organized to perform activities including, but not limited to, the promotion, attraction, stimulation, development and expansion of manufacturing-oriented and science and technology-oriented economic activity in a particular region of New York State is eligible to apply for RTDC designation. As **Appendix 1** of the Applicant’s Proposal, the Applicant shall submit to ESD/NYSTAR a copy of its Certificate of Incorporation and by-laws.

1. General Requirements

- a. The Applicant must demonstrate the ability to provide the required basic services listed in Section I.E.1.

- b. The Applicant must demonstrate the ability to meet the matching funds requirements explained in Section I.D. An award recipient must provide all matching funds demonstrated in its Proposal in the ensuing contract.
- c. An eligible organization may apply to be the designated RTDC in only one region (as defined in Section I.B.3.) and must have a principal place of business in the region it seeks to serve. An eligible organization may submit only one proposal.
- d. Each RTDC must have a board comprised of representatives of the region's manufacturing and academic research sectors, including strong representation of small- and medium-sized manufacturing industry and the high technology private sector. At a minimum, a RTDC board must have at least one member employed by a university, college or community college who plays a prominent role in the institution's research, technology transfer and/or workforce development activities. In addition, each board must include a serial entrepreneur or individual experienced in innovation and/or innovative processes.

2. General Limitations

- a. Any Proposal that does not comply with all of the requirements of this RFP, including submission of all required documentation, may be rejected without review.
- b. ESD/NYSTAR funds will be granted to support the activities and items described in Section I.E. only.
- c. ESD/NYSTAR funds cannot be used for capital construction costs.
- d. ESD/NYSTAR funds **cannot** be provided to any for-profit organization other than for general operating needs, such as equipment and supply purchases, travel, professional services, and consultants for clients, etc.

D. **Matching Funds Requirements**

Each RTDC must meet matching funds requirements to be eligible for reimbursement. For an RTDC to receive its full annual allocation, expenses submitted must demonstrate adequate match and be approved by NYSTAR.

1. Categories of Acceptable Match

There are five categories of eligible matching funds to match the three NYSTAR sources of funding described in Section I.B.2:

- a. State ITES and TDO—A RTDC's expenditures of ITES and TDO funds are eligible to match its Federal MEP allocation as described in Section I.D.2.a.
- b. Local Cash—Matching funds contributed from non-government sources including fees charged companies for direct services, membership fees, and other cash match.

- c. Non- ESD/NYSTAR State funds—State grant funds awarded to and expended by the RTDC from such sources that include, but are not limited to, the New York State Department of Labor, and the New York State Energy Research and Development Authority (NYSERDA). State funds granted directly to a company but used by the company to pay for RTDC services are also treated as Non-ESD/NYSTAR State funds.
- d. Non-MEP Federal funds—Grant funds awarded to and expended by the RTDC as in the case of the U.S. Department of Labor and Economic Development Administration grants.
- e. In-Kind—Quantifiable goods and services including, but not limited to, professional services and time, equipment, material and office space for use by a RTDC in furtherance of its stated purposes or provided on behalf of the RTDC to others for such purposes and for which there is no monetary remuneration. Discounted prices or rates are not eligible as in-kind. A specific item or service must be completely donated to qualify as an in-kind contribution.

2. Matching Fund Requirement for each ESD/NYSTAR Funding Source

The three sources of ESD/NYSTAR funding have the following match requirements:

- a. **Federal MEP funds** carry a 2:1 match requirement. In other words, for every \$1 of federal MEP funds expended, \$2 of match must be expended. The following categories of match are eligible to match Federal MEP funds:
 - State ITES and TDO
 - Local Cash
 - Non- ESD/NYSTAR (or program) State funds
 - In-Kind (not to exceed one-half of total Federal MEP match requirement)
- b. **State ITES** funds carry no match requirement.
- c. **State TDO** funds carry a 1:1 match requirement for TDO funds. The following categories of match are eligible to match State TDO funds:
 - Local Cash
 - Non-MEP Federal Funds
 - In-Kind (not to exceed one-half of total State TDO match requirement)

Government funds are not eligible to match other government funds of the same type. (i.e. New York State funds cannot match the TDO funds; Federal funds cannot match the MEP funds.)

3. General Match Requirements and Limitations

- a. ESD/NYSTAR reserves the right to make determinations concerning the extent to which funds, goods and services qualify as matching funds. All proposed match must be approved by ESD/NYSTAR before it is credited. RTDCs are required to document and maintain detailed records for all cash and in-kind match, in accordance with generally accepted accounting principles.
- b. Cash qualifies as match only when it is expended by the RTDC. In-kind qualifies as match only during the period in which it is received.
- c. No funds used as matching funds in any other ESD/NYSTAR Proposal or contract are eligible to be used as matching funds for this program. If an expense is included as match, it may not also be included as a reimbursable expense for which public funding is requested.
- d. Matching funds contributions must be provided for, and traceable to, allowable items and activities as defined in Section I.E.

E. Activities to be Supported

The governing laws for TDO, ITES, and MEP funding as well as the TDO regulations identify certain activities that are eligible for funding. This RFP identifies ESD/NYSTAR priorities. Proposals will be evaluated on how they respond to the review criteria.

A designated RTDC will be expected to provide services throughout the entire economic development region in which it is designated. **Each RTDC must provide the following Required Basic Services and Specialty Services, either directly or through partnerships with other organizations.** These services are to be available to small- and medium-sized manufacturers, science and technology-based businesses, startup companies, university faculty, and entrepreneurs in the RTDC's designated region.

Designated RTDCs must also assist in inter-regional ventures and statewide activities to develop the state's manufacturing and science and technology-based industries by making referrals to and responding to referrals from other RTDCs and participating in multi-region events. In addition, RTDCs are expected to collaborate closely with ESD/NYSTAR on the expenditure of the RTDC's marketing funds to ensure that these funds are expended in the best interests of each RTDC and the RTDC Program.

1. Required Basic Services

A designated RTDC, at a minimum, must provide the services listed below.

- a. Assist small- and medium-sized manufacturers to become more competitive by modernizing equipment and processes, incorporating new technologies, developing new

products, and improving their productivity. Each RTDC must offer Lean manufacturing resources.

- b. Conduct business assessments including financial analysis, cost analysis and reduction, sales and marketing analysis, and strategy development.
- c. Provide support structures and networks for science and technology-based start-up businesses.
- d. Drive and promote Innovation through regional programs such as: business plan, innovation and entrepreneurial competitions.
- e. Coordinate services, outreach and other activities of assistance to New York State's proposed Regional Councils.
- f. Provide links to and/or direct specialized assistance to accelerate technology commercialization and innovation.
- g. Promote workforce development by providing education and training, collecting and disseminating information to employers and employees relating to research, development, and training needs in the region.
- h. Work cooperatively with the ESD/NYSTAR -funded Regional Innovation Specialist that covers the RTDC's designated region.
- i. Perform any other activities that shall become minimally required due to subsequent changes to the laws and/or regulations governing the MEP, TDO, and ITES Programs.

2. Specialty Services

Designated RTDCs are required to develop specialty services to meet unique needs and opportunities in their region. Such services include, but are not limited to, technology commercialization, innovation, technology acceleration, prototyping, venture capital forums, incubators, internet business, Occupational Safety & Health Administration (OSHA) compliance, plant floor layout, inventory control or other business software selection, human resources, information technology, intellectual property assistance, new technology feasibility and valuation, etc.

F. Use of ESD/NYSTAR Funds

1. ESD/NYSTAR RTDC Program funds may be used for the following items in direct support of required basic and specialty services described in Section I.E.1 and I.E.2:
 - a. Salaries and fringe benefits for RTDC employees;
 - b. Necessary equipment and materials and supplies;
 - c. Travel related to activities supported within this RFP pursuant to Section I.E., or to ESD/NYSTAR or NIST meetings;

- d. Services subcontracted to partner organizations or other third parties to assist the RTDC in conducting the activities supported within this RFP pursuant to Section I.E.;
- e. Reasonable expenditures associated with operating the RTDC such as rent, utilities, insurance, staff training and marketing, etc.; and
- f. Other purposes explicitly approved by ESD/NYSTAR prior to being incurred.

2. ESD/NYSTAR Funds Limitations

- a. The best available price for the type and quality of products or services required must be sought for any ESD/NYSTAR-funded expenditures. The RTDC must retain documentation to support the solicitation process and/or choice of vendor for ESD/NYSTAR expenses. **RTDCs procuring services must follow New York State's Competitive Bid Requirements.**
- b. There are no indirect costs allowed for any of the programs involved in this RFP.

G. Reporting and Monitoring Requirements

1. General Provisions

- a. RTDCs must submit quarterly progress and financial reports to ESD/NYSTAR using specific reporting guidelines and forms.
- b. RTDCs must maintain an accounting system in conformance with Generally Accepted Accounting Principles (GAAP) that permits identification of all expenditures and revenues.
- c. Contract payments are contingent on ESD/NYSTAR's receipt and review of required reports and may be impacted by the RTDC's compliance with other ESD/NYSTAR contracts.

2. Economic Impacts

Impacts generated by the RTDC will be measured by a third party survey house contracted by NIST and by additional means deemed appropriate by ESD/NYSTAR to measure and substantiate the success of the RTDC Program and each Center, and to satisfy ESD/NYSTAR and/or NIST reporting requirements.

H. Sample Contract

A sample ESD/NYSTAR contract can be found at <http://www.esd.ny.gov/CorporateInformation/RFPs.html>. Terms and conditions of an executed contract may vary.

II. Submission Information

A. Timetable

2011 Competition TIMETABLE	
Start date for 2011 RTDC Competition	July 7, 2011
NOI received by ESD/NYSTAR by	July 27, 2011
Written questions on proposals accepted through	August 1, 2011
Proposals received by ESD/NYSTAR by	August 10, 2011
Contract expected to begin on	October 1, 2011

B. Questions on the RFP

Questions regarding this RFP may be submitted in writing via mail, e-mail, or fax to the address below. ESD/NYSTAR will acknowledge when a question has been received and an answer is posted.

Lisa Sutton
Division of Science, Technology & Innovation
Empire State Development
30 South Pearl Street, 11th Floor
Albany, NY 12207
(518) 292-5798 (fax)
E-mail: rtdcfag@empire.state.ny.us.

ESD/NYSTAR will make questions and responses regarding this RFP publicly available on the RTDC Frequently Asked Questions (FAQs) Web page at <http://www.esd.ny.gov/CorporateInformation/RFPs.html>. Anyone desiring a hard copy of the RFP materials or FAQs may submit a written request to ESD/NYSTAR, Attention: Contract Manager, at the mail or E-mail address indicated above.

C. Submission Instructions

All narrative sections not on ESD/NYSTAR forms must be single-spaced, in 12-point font, on 8½" x 11" paper with one-inch margins. Number pages and include tabs to identify major sections and appendices. Use the forms included in Appendix B to this RFP which are located at <http://www.esd.ny.gov/CorporateInformation/RFPs.html>, and adhere to the specific instructions that follow. Do not edit any formatting or text on the templates aside from inserting additional space.

Two unstapled, unbound, single-sided originals and 5 bound copies of the proposal must be received by ESD/NYSTAR by the deadline. ESD/NYSTAR encourages Applicants to submit

double-sided proposal copies. Applicants are **required** to use a medium of delivery that allows for tracking ESD/NYSTAR receipt of the proposal. Submit proposals to:

Lisa Sutton
Division of Science, Technology & Innovation
Empire State Development
30 South Pearl Street, 11th Floor
Albany, NY 12207

Receipt will be determined by physical receipt of the hard copies at ESD/NYSTAR. Failure to submit on time may result in the proposal being rejected without review, unless it is clearly shown that the delay was not in any way caused by the Applicant.

In addition to the hard copies, the Applicant must submit an identical electronic version of the proposal in MS Word/Excel or compatible editable format to rtdcinfo@empire.state.ny.us within 24 hours of the Proposal deadline. Electronic copies are used for administrative purposes and do not fulfill the requirement to submit the hard copies by the deadline.

ESD/NYSTAR reserves the right to contact partners and other individuals identified in the proposal to validate or elaborate on the information presented.

D. Proprietary Information

Some information contained in a Proposal may be considered sensitive and the Applicant may wish it not to be disclosed if possible. If this is the case, the Applicant must identify the information it wishes to protect and request that it be protected.

ESD/NYSTAR will take efforts to safeguard proprietary, confidential and sensitive information as allowed under the law, including the Freedom of Information Law (FOIL) (see Article 6 of the Public Officer's Law). However, all information will be made available to those who are conducting the review of the proposals.

To request an exception to FOIL, an Applicant must submit a letter included as **Appendix 6** to the Proposal specifically identifying the sensitive information and reasons it should be protected. The Applicant must identify the information with a CONFIDENTIAL, PROPRIETARY or SENSITIVE stamp in the margin of each page containing proprietary information and check the appropriate box on the cover page.

III. Notice of Intent Instructions

Applicants must submit a Notice of Intent (NOI) by the deadline stated in the timetable in Section II.A of this RFP to be eligible to submit a Proposal in response to this RFP.

A. NOI Form

Complete the Notice of Intent Form (in Appendix B) with the required information. **The completed NOI Form must not exceed one page** and must not contain any proprietary information.

No sections, appendices, and/or supporting documentation to the NOI will be accepted. All NOIs must use the specific form provided in Appendix B to this RFP, which can be found on the ESD/NYSTAR Web site at <http://www.esd.ny.gov/CorporateInformation/RFPs.html>. Anyone unable to download or use this or any of the forms in Appendix B must contact ESD/NYSTAR at rtdcfaq@empire.state.ny.us for instructions.

B. NOI Submission Instructions

1. An Applicant's NOI must be submitted to ESD/NYSTAR by the deadline stated in the timetable in Section II.A of this RFP by one of the following three delivery modes:
 - a. By e-mail to ESD/NYSTAR in MS Word or compatible format to rtdcinfo@empire.state.ny.us where ESD/NYSTAR will determine if the NOI submission was timely through data from the ESD/NYSTAR server; OR
 - b. By fax to ESD/NYSTAR at (518) 292-5798; OR
 - c. By mailing two copies to ESD/NYSTAR using a medium of delivery that allows for tracking ESD/NYSTAR receipt of the NOI to

Lisa Sutton
Division of Science, Technology & Innovation
Empire State Development
30 South Pearl Street, 11th Floor
Albany, NY 12207
2. ESD/NYSTAR will e-mail an acknowledgement to the Applicant indicating that the NOI was received.
3. NOI submissions may be recalled by the Applicant for corrections/revisions and subsequently resubmitted provided the resubmitted NOI:
 - is received by ESD/NYSTAR by the deadline specified in Section II.A. of this RFP;
 - is prepared in accordance with the form and content requirements of the RFP; and
 - does not contain any material conflict or contradiction, as determined by ESD/NYSTAR.
4. **Any Notice of Intent received after the deadline or failing to comply with all RFP requirements may be rejected and a Proposal will not be accepted from that Applicant.**

C. Changes to Information Provided in the NOI after Deadline

The NOI represents the intent of the Applicant to submit a Proposal in response to this RFP seeking designation as an RTDC in the region indicated in the NOI. **The Applicant and Region identified in the Notice of Intent may not be changed.** Any such changes may result in the Applicant's Proposal being rejected.

IV. Proposal Components

Applicants must review the relevant statutes and regulations governing the RTDC Program on which this RFP is based including, but not limited to, §3102-d of the Public Authorities Law (for the State TDO Program); §3102-a of the Public Authorities Law (for the State ITES Program); and US Code Title 15, Chapter 7, §278 (for the Federal MEP Program).

Applicants must ensure that proposals have been thoroughly reviewed for clarity and professional presentation.

A. Proposal Cover Forms

Complete the Proposal Cover Page, Checklist, and Certification.

B. Table of Contents

Include a table of contents delineating major headings, sub-headings, and required appendices.

C. Glossary of Terms Used

Include an alphabetized glossary of acronyms and technical terms used in the proposal and a brief definition of each.

D. Executive Summary (up to one page)

Include an executive summary that sets forth a self-contained description of the activities and benefits that would result if the Proposal were funded.

The Executive Summary must not contain any proprietary information and must be suitable for publication.

E. Proposal Narrative (up to 15 pages excluding required forms and appendices)

Address the specific review criteria presented in Section V.A. and elaborated on below. All visual materials (such as charts, graphs, maps, photographs, and other pictorial presentations), footnotes, endnotes, and citations must be included within the 15-page proposal narrative. Follow the outline presented below:

1. Economic Opportunity

- a. Provide a profile of the trends of the region's manufacturing, technology, and general economic base during the last five years and in the next five years.
- b. Characterize the core needs and opportunities of the region's manufacturing and high technology sectors, placing special emphasis on those that are critical during the next five years.
- c. Describe the plans to create and retain jobs and to increase the competitiveness of companies in the region.
- d. Discuss the anticipated economic benefits to the State and the region to be derived from the proposed basic and specialty services described in the proposal.
- e. Discuss the breadth and magnitude of the Applicant's current customer base of small- and medium-sized manufacturers and science and technology-based businesses highlighting the economic impacts experienced by those businesses located within the region for which the Applicant is seeking designation as an RTDC that are attributable to the Applicant's efforts. Examples of such impacts include, but are not limited to, jobs created and retained, increased and retained sales, cost savings, capital investments and funds acquired (e.g. state grants, federal grants, venture capital) by clients attributable to the Applicant's assistance and the number of companies assisted by the Applicant. All economic impact data must be supported by documentation and substantiated by a creditable third party.

2. Technology Resources and Delivery Mechanisms

- a. Describe how the Applicant will provide each of the required basic services the RTDC will offer to manufacturing and technology companies in its region. Be specific about personnel who will be involved from the organization as well as any partner organizations that will be utilized in service delivery.
- b. Identify specialty services that the organization will provide, in addition to the required basic services, that address the unique needs and opportunities of customers in the region. Be specific about personnel who will be involved from the organization, as well as any partner organizations, that will be utilized in service delivery. Also describe how an RTDC in another region could access these services for their customers.
- c. Comment on the quality, expertise, and experience of the Applicant's staff to interact with and deliver services to manufacturing and technology clients in each of its region's counties and the RTDC's prior experience and demonstrated results in performing activities identical or similar to those identified in the proposal.
- d. Describe the Applicant's plan to attract and serve more manufacturing and technology customers.

- e. Highlight the region's technology and educational resources and how the Center intends to leverage those resources.
- f. Explain the Applicant's plan to work with partners within in the region and statewide/national partners to offer companies resources and services to foster Innovation.

3. Center Management

- a. Provide an organizational chart in **Appendix 2**, identifying all individuals and positions that will support the Applicant's work under the RTDC program. Indicate partner and parent organizations and describe the decision-making structures for policy, strategy, and services. For partner organizations that will provide the services described in Section I.E., describe the financial arrangements between the lead organization, the partner organization, and the customer companies. Attach resumes or descriptive biographies for the Center Director and other Key Staff in **Appendix 3**. Biographies are to detail experience with any manufacturing and technology companies along with other relevant qualifications and experience.
- b. Summarize the history and structure, and identify the mission or purpose of the Applicant organization. As **Appendix 4**, list current or proposed Board members who have agreed to serve on the RTDC's Board in the RTDC Board Members Information Form provided in Appendix B.
- c. Describe the Applicant's overall strategy to serve the manufacturing and technology sectors of the region. Emphasize previous successes working with technology and manufacturing companies in the region as well as those of partner organizations.
- d. Describe the experience and qualifications of the Center Director and other Key Staff to deliver the required basic and specialty services described in the proposal.
- e. Describe the Applicant's succession plan for the Center Director and management team. The succession plan is to indicate how the RTDC plans to address a vacancy in its Center Director position and/or management team to ensure that the RTDC maintains regular operations during and after the transition to a new Center Director and management team.
- f. Describe the Applicant's plan to continually monitor results and make appropriate improvements to achieve desired results.
- g. Describe how the Applicant will minimize administrative costs and ensure that as much funding as possible is used to fund service delivery to clients.

4. Use of Funds

- a. Provide a justification for the requested funding. For each expenditure item listed below describe how both the requested ESD/NYSTAR funds and matching funds will support the required basic and specialty services described in the Applicant's proposal:

- Personnel Expenses:
 - salaries
 - fringe benefits
- Non-Personnel Expenses:
 - travel
 - equipment
 - supplies
 - third party consultants for Center
 - third party consultants for Clients
 - advertising and marketing
 - staff training
 - rent
 - telephone
 - seminars
 - other non-personnel (specify)

- b. Describe the sources of non- ESD/NYSTAR matching funds the Applicant intends to use to match its ESD/NYSTAR expenditures.

F. Budget

Use the budget form provided in Appendix B to this RFP. Complete the yellow highlighted portion and submit as **Appendix 5** to the Proposal. All matching funds committed to the proposal must remain dedicated to the RTDC Program.

1. Budget Form One – List any staff to be paid in whole or in part from ESD/NYSTAR and/or matching funds. List each subcontractor and any other expenses on a separate line. For all other categories, indicate ESD/NYSTAR and matching funds budgeted.
2. Budget Form 2 – List sponsors for all committed matching funds, the amount and a description. Ensure that descriptions are adequate for In-Kind.

G. Appendices to the Proposal

Include the following required appendices:

- Appendix 1 – Applicant’s Certificate of Incorporation and by-laws
- Appendix 2 – Organization Chart
- Appendix 3 – Center Director and Key Staff Resume or Descriptive Biography
- Appendix 4 – RTDC Board Members Information Form
- Appendix 5 – Budget Forms
- Appendix 6 – Proprietary Information Exception Request (if applicable)

No sections, appendices, and/or supporting information to the Proposal beyond those items required by ESD/NYSTAR in this RFP will be accepted or reviewed.

V. Review Criteria and Process

The Applicant must submit a Proposal by the deadline that meets each requirement of this RFP. Failure to do so may result in the Proposal being rejected without review. Any questions regarding the RTDC Program or this RFP must be submitted according to the Frequently Asked Questions (FAQ) process described in Section II.B. All Applicants are required to monitor the FAQ Web page for responses to questions as well as for any information ESD/NYSTAR may post concerning this RFP.

For the review of eligible proposals, ESD/NYSTAR has established the following criteria to be applied in accordance with the review process set forth in Section V.B. In addition to addressing the review criteria stated below, refer to the proposal instructions in Section IV. of this RFP for specific items that must also be addressed.

A. Review Criteria

1. Economic Opportunity (30 percent)

- a. The Applicant's plans to create and retain jobs in its region and to increase the competitiveness of companies in its region.
- b. The anticipated economic benefits to the State and the region to be derived from the proposed activities described in the Proposal.
- c. The breadth and magnitude of the Applicant's current customer base of small- and medium-sized manufacturers and science and technology-based businesses.
- d. Past economic impacts for clients assisted by the Applicant. Examples of such impacts include, but are not limited to, jobs created and retained, increased and retained sales, cost savings, capital investments and funds acquired (e.g. SBIR funding, federal grants, venture capital) by clients attributable to the Applicant's assistance and the number of companies assisted by the Applicant. All economic impact data must be supported by documentation and substantiated by a credible third party.
- e. The Applicant's demonstrated understanding of regional industry and its trends, challenges, and opportunities supported by relevant documentation.

2. Technology Resources and Delivery Mechanisms (40 percent)

- a. The quality of proposed services and programs, including how well the proposed Required Basic Services and Specialty Services match the identified needs of small and medium manufacturers and technology companies in the region.
- b. The Applicant's plan to attract and serve more customers.

- c. The Applicant's prior experience and demonstrated results in performing activities identical or similar to those identified in the proposal.
- d. The quality, expertise, and experience of the Applicant's staff to interact with and deliver services to manufacturing and technology clients in each county of the region for which the Applicant is seeking designation as an RTDC.
- e. The added leverage gained by the Applicant by partnering with appropriate third parties, universities and community colleges to amplify the center's reach and delivery of service, and the demonstrated performance of these partners.

3. Center Management (20 percent)

- a. The quality and relevant experience of the Applicant's center management to carry out the proposed activities and achieve RTDC Program goals.
- b. The ability of the Applicant's center management team to efficiently use funds for administration and service delivery to clients.
- c. Steps taken to minimize administrative costs and ensure that as much funding as possible is used to fund service delivery to clients.
- d. The effectiveness of the proposed plan to continually monitor results and make appropriate improvements to achieve desired results.
- e. The quality of the Center Director and management team succession plan.
- f. The experience of existing and proposed Board members and the degree to which the Board's members are representative of the region's manufacturing and academic research sectors.

4. Budget (10 percent)

- a. Degree to which the uses of ESD/NYSTAR funds are reasonable and justified.
- b. The quality and appropriateness of non- ESD/NYSTAR support identified to achieve the RTDC Program goals delineated in this RFP and those goals outlined in the Applicant's Proposal.

B. Review Process

Reviewers may include ESD/NYSTAR staff, staff from other State agencies, and individuals selected from the business, science, and academic communities. The reviewers will adhere to the process described in this section and will apply the review criteria detailed above. Depending on the number of proposals received, ESD/NYSTAR may limit the number of proposals or regions a reviewer is required to evaluate to facilitate the review process.

Scoring: Reviewers will review proposals independently and convene as a group to review and discuss the proposals with others assigned the same proposals in accordance with the review criteria. A group discussion of the proposals is based on the criteria identified in the RFP and includes a discussion of any technical explanations or issues about proposals drawn from the technical expertise of the individual reviewers. Specific to the group discussion is the opportunity for subject matter experts to identify strengths or weakness of the proposals as they relate to the RFP criteria. At the conclusion of the discussions, each reviewer will independently score each proposal assigned based upon the panel's discussions.

ESD/NYSTAR reserves the right to reject any and all proposals. ESD/NYSTAR reserves the right to request clarification and revision to a proposal and reserves the right to not proceed with an award. ESD/NYSTAR may recall this RFP at any time prior to award announcement and may also reject proposals for deficiencies; waive technicalities, irregularities, and omissions; or solicit new proposals.

ESD/NYSTAR will provide Applicants with the verbatim written summaries for reviewed proposals with the reviewers' names and affiliations omitted.

VI. Appendices to this RFP

Appendix A – Glossary of terms used

Appendix B – Forms (RTDC Notice of Intent Form; Proposal Cover Page, Checklist, and Certification; RTDC Board Members Information Form; Budget Form)

APPENDIX A: Glossary of Terms Used in the RFP

The following definitions apply to the terms as used in this RFP:

Authorized Organizational Representative or AOR: An individual authorized to enter into legal agreements on behalf of, and commit resources of, the Applicant.

Creditable Third Party: A survey house, an accountant, or another third party organization able to certify or verify that the stated economic impacts are accurate.

ISO (International Organization for Standardization)/Quality Systems Certification: Certification to international standards for the exchange of goods and services.

Key Staff: Staff other than the Center Director involved in decision-making or critical to the RTDC's success.

Lean Manufacturing: A systematic approach recognized by industry to eliminating waste in the manufacturing process through continuous improvement of the manufacturing process.

Manufacturing Extension Partnership (MEP) Program: A nationwide network of local centers offering technical and business assistance to small and medium-sized manufacturers.

Medium-sized Manufacturer: A manufacturing firm employing between 100 and 499 employees.

National Institute of Standards and Technology (NIST): A non-regulatory federal agency within the U.S. Commerce Department's Technology Administration. NIST's mission is to promote U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve quality of life.

Partner Organization: An organization selected by the Applicant to provide specified basic or specialty services to the Applicant's clients in coordination with the Applicant.

Regional Technology Development Center (RTDC, designated RTDC, etc.): An Applicant organization designated to serve as the RTDC in the region in which it submitted a proposal for designation.

Small Business Innovation Research (SBIR) Program: Coordinated by the U.S. Small Business Administration (SBA), the SBIR Program is a highly competitive three-phase award system which provides qualified small business concerns with opportunities to propose innovative ideas that meet the specific research and development needs of the Federal Government.

Small-sized Manufacturer: A manufacturing firm employing fewer than 100 employees.