



East of Hudson Community Wastewater Planning Assistance Program

REQUEST FOR PROPOSALS

Lake Palmer Wastewater Planning Assistance Project – Town of Kent

Due Date: October 30, 2020

The Town of Kent is inviting proposals for an engineer or engineering firm to develop a report that will assist Kent in evaluating potential wastewater solutions to mitigate identified water quality impacts. The report will enable Kent to appropriately plan and determine costs for the identified wastewater project so that they have the information necessary to seek financing of the implementation of a recommended solution through State or Federal funding sources.

This request for proposals (RFP) includes information on:

- I. Overview**
- II. Project Goal**
- III. Scope of Work**
- IV. General Guidelines for Proposed Engineers**
- V. Proposal Requirements**
- VI. Submission Process**
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I. Overview

The New York City Department of Environmental Protection (DEP) has established the East of Hudson (EOH) Community Wastewater Planning Assistance Grant Program ("Program") for select areas in the EOH watershed where poorly functioning individual septic systems have the potential to impact the water quality of DEP's unfiltered water supply. The program is to award grant funding to eligible areas for completion of engineering studies that evaluate viable wastewater solutions in their areas.

NEIWPCC is serving as the Program Administrator for this grant program. NEIWPCC is a regional commission that helps the states of the Northeast preserve and advance water quality. It engages and convenes water quality professionals and other interested parties from New England and New York to collaborate on water, wastewater, and environmental science challenges across shared regions, ecosystems, and areas of expertise. Its mission is to advance clean water in the Northeast through collaboration with, and in service to, its member states. NEIWPCC's vision is for clean and sustainable water throughout the Northeast. It bases its work on the core values of leadership, collaboration, education, service, and science.

Area of Focus:

Palmer Lake is a 14-acre impoundment of Michael Brook, which is a tributary in the Croton Watershed System. The lake has a mean depth of 4 feet and a watershed area around the lake is 460 acres. The watershed to lake ratio is 33:1. The Palmer Lake Watershed primarily drains to forested and residential land. Palmer Lake flushes approximately 19 times per year or 1.6 times per month. However, local and regional precipitation patterns have shown that the flushing rates during the summer or growing season are lower than annual estimates. The lake was previously identified as an impaired waterbody as a result of excessive nutrients, algal growth, and overall reduced water clarity.

The Lake is within the limits of the towns of Kent and Carmel. Private club members have access to seasonal swimming and water recreation. The land around Palmer Lake is managed by the Hill and Dale Country Club with deeded lake rights. Homes first began being built around Palmer Lake in the 1920's after transportation advances allowed residents to winterize their home and remain within the Palmer Lake Watershed permanently. There are 4 miles of walkways and trails around the lake and the lake itself includes a generic assemblage of fish, some fit for consumption.

See Appendix F for a Map of the Project Location.

II. Project Goal

The scope of this project is to complete an engineering report (the "Project") that can be used to assist Kent in evaluating potential wastewater solutions to mitigate identified water quality impacts. The final engineering report would be of sufficient scope and detail to allow Kent to seek separate financing for the design and implementation of an identified wastewater solution through a different source, such as State or Federal programs, including but not limited to, funding provided under the New York State Clean Water Infrastructure Act, or its successors.

III. Scope of Work

This RFP is for services to develop an engineering report for Kent.

Project Tasks

Task 1	Submit Detailed Work Plan
Task 2	Develop Approved Quality Assurance Project Plan (QAPP)
Task 3	Submit Draft Engineering Report
Task 4	Submit Final Engineering Report
Task 4	Quarterly Progress Reports

IV. General Guidelines for Proposed

Engineers Eligibility

Proposed engineering firms must be qualified New York State licensed engineers and engineering firms.

Schedule

The Project is anticipated to require 10-12 months, with all final reports and paperwork due to NEIWPCB by December 1, 2021. The timeline for the project includes the following deadlines:

December 30, 2020 – Kent awards contract for consulting services. January 15, 2021 – Draft QAPP submitted to Kent.

July 23, 2021– Draft engineering report submitted to Kent and NEIWPCB

November 12, 2021 – Final engineering report submitted to Kent and NEIWPCB

The schedule for this RFP is as follows:

Proposals Due to Kent	October 30, 2020
Proposed Engineering Firms Notified of Funding Decisions	November 26, 2020
Detailed Project Work Plans Due	December 30, 2020
Project Start Date	December 30, 2020

Funding

The payment of the Engineering Services is solely for the actual, reasonable, and necessary costs incurred by the engineer or firm in performing the work required to complete a final Engineering Report up to the maximum amount allowed under available program funding. It is anticipated that one engineering firm will be chosen.

Awarded funds may only be used for expenses specifically related to the proposed Project.

Deliverables

The deliverables required for this project will be the following:

1. Detailed Project Work Plans due no later than December 30th, 2020
2. Draft Quality Assurance Project Plan due no later than January 15, 2021
3. Draft Engineering Report due no later than July 23, 2021
4. Final Engineering Report due no later than November 12, 2021
5. Quarterly Progress Reports
6. Provide analysis of preferred method of wastewater treatment and alternative method
7. Provide detailed cost analysis of installation and approximated unit cost to homeowners to connect
8. Provide analysis of a potential sewer district and feasibility of a wastewater treatment plan, if applicable

All deliverables are required to be submitted in draft form in Microsoft Word format for review by the Town and approval by NEIWPCC project manager (See Contact Information in Section IX). All final reports are to be delivered in bound hard copy (6 copies) *and* Adobe .pdf format upon approval by the project manager.

Specific Quality Assurance and Quality Control requirements for the Engineering Report are to be developed in a Quality Assurance Project Plan. An approved form can be found in Appendix A. Requirements for the Draft and Final Engineering Reports can be found in Appendix B. Quarterly progress reports will be due for each quarter for the duration of the work. Quarterly reports will be due on April 1 for the January to March quarter, on July 1 for the April to June quarter, on October 1 for the July to September quarter, and on January 1 for the October to December quarter.

Geographic Information System (GIS) Data Requirements

Any GIS data produced under this contract shall be in accordance with the following specifications. The data format of any vector data will be in ArcGIS version 10 or higher File Geodatabase Polygon, Point, or Line

“Feature Class”. Any raster/grid data will be in ArcGIS version 10 or higher File Geodatabase “Raster Dataset” format. All GIS data must use the UTM Zone 18 North NAD83 meters projection. Detailed metadata accompanying each “Feature Class” or “Raster Dataset” must be developed describing the dataset’s purpose, source information, methodology of development, identity of developer, accuracy, scale or spatial resolution, list of attributes and their meaning, any caveats to the data or limitations in its use/interpretation, and date of creation.

Insurance Requirements

The selected engineering firm must maintain and submit evidence of Workers Compensation, Employee and Disability Benefits Liability, General Liability insurance, and Professional Liability insurance throughout the term of the Project. More details will be provided to the proposed engineer selected for this Project. Note this applies for all contractors, including sole proprietors. If you cannot provide proof of insurance, please do not apply for this Project.

V. Proposal Requirements

Proposals must include a (1) cover letter, (2) title page with abstract, (3) narrative with citations, (4) timeline, (5) budget and budget justification, (6) description of qualifications, (7) letters of commitment or support, (8) business integrity form, (9) certificate of insurance and (10) non-collusion certification.

Page limits for each of these components are provided in the individual descriptions below. Proposals that do not contain all of the information requested and/or do not meet the format requirements will be eliminated from consideration. Pages that exceed the maximum number specified for each section will not be reviewed.

All full proposals submitted to Kent must be consistent with the corresponding pre-proposal submission, including funding amount requested.

Cover Letter

Please include a one-page cover letter, printed on official letterhead and signed by an authorized representative of the lead agency, firm, or institution, with each proposal. The cover letter must state that:

- You are applying to provide engineering services to develop an Engineering Report as required under this program.
- You acknowledge that funding is provided on a reimbursement basis based upon actual and reasonable costs incurred.

Title Page with Abstract

The title page must adhere to the format provided in Appendix C and include all of the following information, using a maximum of one single-spaced, one-sided, typed 8.5" x 11" page with 11-point font and 1-inch margins:

- Project Name: Use the exact project name as it appears throughout the proposal.
- Organization: Name of Licensed Engineer or Engineering Firm
- Primary Investigator Name and Contact Information: Provide the name, title, and affiliation of the primary investigator, as well as mailing address, phone number, and email address.
- Financial Contact Name and Contact Information (if applicable): Provide the name, title, and affiliation of the individual responsible for financial/contractual negotiations (if different from primary investigator), as well as mailing address, phone number, and email address.
- Project Partners (if any): Provide the names, titles, affiliations, for each of the additional investigators or support staff who will significantly contribute to the project (if any).
- Funds Requested: Provide the amount of money you are requesting from the Town of Kent for the project.
- Federal Tax Identification Number (FID)
- DUNS Number: A DUNS number is a unique, non-indicative 9-digit identifier that verifies the existence of a business entity globally. Contractors must provide NEIWPCC with a DUNS number to comply with an administrative condition of NEIWPCC (individuals are exempt). If you do not have a DUNS number, one can be obtained at the following web address: <https://fedgov.dnb.com/webform>
- Project Location Description (City, State): Provide the state and city where of the primary location of work will be completed.
- Abstract: The abstract must accurately describe the project being proposed and include: (1) the objectives of the project, (2) the methodology to be used, and (3) the expected outputs and outcomes of the project and how it addresses this RFP, including environmental benefits to Palmer Lake. **The abstract must fit within the title page.**

Proposal Narrative with Citations

The proposal narrative must not exceed 10 consecutively numbered, single-spaced, typed 8.5" x 11" pages with 11-point font and 1-inch margins. The 10-page narrative must include all of the following information:

- **Problem Description:** Briefly describe the project and its relevance to Kent and Palmer Lake. This section can also include brief background or introductory information.
- **Objectives:** Outline how the project will achieve the goal of this RFP.
- **Methodology:** Outline the project's design and describe the methods and techniques that will be used to meet the project's goal and tasks.
- **Expected outputs and outcomes:** Describe the project's expected outputs and outcomes, and list and describe each of the specific deliverables and end-products.
- Briefly discuss the **process to be used to evaluate the effectiveness and success** of the project.
- **Roles and Responsibilities:** Define the roles and responsibilities of all project participants.

Timeline

Provide a detailed timeline for meeting identified tasks and completing deliverables, with a completion date no later than November 12, 2021. All timelines should be stated in terms of Month #1, #2, #3, etc. rather than specific dates, e.g. "March 5, 2021." Although the project start date is anticipated to be on or about December 30, 2020, this date may change based on the time the actual agreement is established. The timeline must be no more than one 8.5" x 11" page with 1" margins and 11-point font.

Budget and Budget Justification

The project budget must be provided in two formats:

First, provide a complete, detailed budget using the format provided in Appendix D. The budget must be no more than one 8.5" x 11" page with 1" margins and 11-point font. Along with this budget, provide a brief justification (one page maximum) for the proposed costs in terms of meeting project objectives. Include an explanation of how indirect costs are calculated. Justify subcontracts, if any. Entities must provide documentation of their rates and costs for direct labor, overhead and profit and estimates of reimbursable costs to perform the work as set forth in the scope of engineering services as applicable. The cost proposal shall also clearly state the maximum total of all costs, expenses and fees payable to perform the tasks outlined in the scope of engineering services set forth in this RFP. This documentation does not count toward the page limit.

Final proposal budgets cannot exceed pre-proposal budgets.

Description of Qualifications

The engineering firm awarded the contract for this project should possess the academic and professional expertise and certifications in the relevant subject areas, have adequate resources for performance of all services described, and have a strong track record in delivering projects of this nature and facilitating successful working relationships with municipal and state government. Applications must include identification of a New York State Licensed Engineer as the project leader. Proposed engineers must be able to demonstrate extensive experience in developing engineering reports for wastewater projects similar in size and scope to this project. Attention to detail in documenting qualifications that meet the scoring requirements is strongly advised. The qualifications section, including resumes, CVs, descriptions of past projects, etc. must not exceed 10 pages.

Please provide:

- Experience with work within NYCDEP East of Hudson watershed
- Experience with work on TDMP and 303d listed phosphorous impaired basins

Letters of Commitment or Support

The applicant may submit letters of support as they see fit that would be relevant to the work to be completed under this RFP. Any letter of support should be no more than two pages in length and should be signed by the designated head of the submitting entity.

Business Integrity Review Form

Each engineer or firm, other than a government entity, must submit a certificate attesting to the aggregated value of all contracts funded with funds provided by New York City awarded to the engineering firm and its affiliates in the previous 12-month period, and a completed business integrity review form found in Appendix E. These will be used in a business integrity review to justify the award of public funds to the engineer or firm.

Certificate of Insurance

Each engineer or firm, other than a government entity, must submit a certificate of insurance showing the required insurance coverage,

Non-Collusion Certification

Each Proposal must be accompanied by a non-collusion certification as required by General Municipal Law Section 103(d). The certification shall be signed by the bidder. A copy of the required non-collusion certification is annexed hereto.

VI. Submission Process

Proposals must be submitted by email, mail, UPS, FEDEX or other delivery service no later than October 30, 2020 at 10:00 AM. No late submissions will be considered.

To submit your proposal via email, email **Yolanda Cappelli, Town Clerk** at lcappelli@townofkentny.gov. The subject line of the email must include "Proposal for: Lake Palmer Wastewater Planning Assistance Project – Town of Kent."

Proposals which are forwarded by mail, UPS, FedEx or other delivery service must include two (2) paper copies and one (1) digital copy and be enclosed in a separate envelope addressed as follows: Proposal for: Lake Palmer Wastewater Planning Assistance Project – Town of Kent

Town of Kent
Attn: Town Clerk
25 Sybil's Crossing
Kent Lakes, New York, 10512

All digital proposals must be submitted in wpd., doc. or PDF format.

VII. Proposal Evaluation Process

Kent will screen all proposals to ensure that they meet all requirements of this RFP, and if required by DEP, the selected engineering firm will be approved by DEP to ensure that a firm has a sufficient record of business integrity. If a proposal is found to be incomplete, or if an insufficient record of business integrity is identified, the proposal will be deemed ineligible and Kent will notify the proposed firm. To be considered complete, proposals must include all of components described in Section V. Proposal Requirements. Pages in excess of the limits specified for each component will not be reviewed. Complete and eligible proposals will be reviewed by a panel composed of Kent, and NEIWPCC. Proposals may also be submitted for external peer reviews. The review team will evaluate the proposals based upon the following criteria:

1. Contract price,
2. Qualification of key project staff,
3. Extent of previous experience with wastewater management projects and studies,
4. Previous experience providing engineering services to local governments,
5. Familiarity with state, local, and regional water and wastewater regulations in the study area, and
6. Sufficient record of business integrity.

The Town of Kent reserves the right to reject any and/or all proposals and to re-advertise for new Proposals.

VIII. Notification of Awards

Award notification to proposed engineers is expected by November 26, 2020. Award recipients may be asked to submit a revised work plan, timeline, and budget at this time. Projects cannot start until the contract is signed by both parties and all mandatory documentation is received by Kent. Please note that work may not begin until the QAPP is approved. Kent will not pay for expenses incurred prior to the contract start date. Detailed payment instructions for costs incurred will be incorporated into the resulting contract.

IX. Contacts

Kent will accept questions about this RFP and QAPP questions by email or phone through October 23, 2020 at 4:00 p.m. For information regarding the application process or RFP topic, contact:

Yolanda Cappelli, Town Clerk
Town of Kent
25 Sybil's Crossing
Kent Lakes, NY 10512
845-225-2067
lcappelli@townofkentny.gov

For questions regarding QAPP, contact:

**Maureen Fleming, Town Supervisor
Town of Kent
25 Sybil's Crossing
Kent Lakes, 10512
845-225-3943
mfleming@townofkentny.gov**

Appendix A

Quality Assurance & Quality Control Requirements

The NEIWPCC Quality Management Plan requires that Quality Assurance Project Plans (QAPPs) are developed and approved for all projects involving environmental data operations (i.e., collection, analysis, and/or manipulation of environmental data). The engineer will be responsible for developing the project QAPP and submitting it to NEIWPCC staff for review and approval by the NEIWPCC Project Manager and the NEIWPCC Quality Assurance Program Manager prior to any data collection or analysis. If your proposed project will include environmental data operations, development of the QAPP can be completed as a task under this project and should be included in the proposal narrative, timeline, and budget. While preparing your proposal, please account for the additional time and resources necessary for QAPP development. Allow a minimum of 30 days for the development of your QAPP and 10 days for the review and approval of your QAPP by NEIWPCC. It is appropriate for a proposed engineer to utilize or build upon an existing, relevant, approved QAPP if one exists.

There are two separate checklists that detail what is required in a QAPP depending on the type of data involved with the project. The first checklist ("EPA R-5...") is an example of what could be used to write a QAPP, especially one involving field sampling and laboratory analyses (i.e., primary data). To download this checklist, see: <http://neiwpc.org/wp-content/uploads/2019/09/R5-fillable-checklist-updated-for-FY20.docx>

The second checklist ("Modified EPA R-5...") is an example of what could be used to write a QAPP, especially one that calls solely for the collection and use of secondary data. To download this checklist, see: <http://neiwpc.org/wp-content/uploads/2019/09/Secondary-Data-Checklist-updated-for-FY20.docx>

For more information about QAPPs, see: <http://neiwpc.org/our-programs/assessment-and-research/quality-management/>. Questions regarding the QAPP process or the necessity of a QAPP for a proposed project should be directed to Maureen Fleming (see contact information in Section IX) by October 23, 2020 at 4:00 pm.

Appendix B

Draft and Final Engineering Report Requirements

Both the Draft and Final Engineering Report submitted to NEIWPCC must include associated supporting documentation and shall summarize and evaluate the viable wastewater solutions identified. The Engineering Report is to be used by the Program Participant to appropriately plan and evaluate costs of a variety of wastewater solutions and shall be of sufficient detail and in appropriate form to allow the Program Participant to seek financing through State and/or federal funding sources, including but not limited to funding under the New York State Clean Water Infrastructure Act or its successors.

Engineering Reports developed under the Program will specify, at a minimum, the following information for Eligible Areas. Each final Engineering Report shall be prepared, stamped, and dated by a New York State registered Professional Engineer and shall be developed in accordance with all applicable federal, state, and local standards as they related to wastewater treatment in the Eligible Area.

1. Title Page

2. Executive Summary – Provide a brief description of the purpose of the report, need for the project, evaluations conducted, recommended alternative, and the proposed course of action. Please include the following information:

- Staff Details
- Intended methods

3. Environmental Settings

- Project location and description of study area including municipal boundaries, and scaled maps
- Land use and zoning
- Number of properties and population served
- Existing utilities and water service
- Environmental resources including Federal, State, and locally mapped wetlands and watercourses, regulated adjacent areas, general overview of land cover, potentially impacted waterbodies or aquifers, etc.)

4. Environmental Conditions

- General description and history of existing wastewater infrastructure including:
 - Number and type of existing units
 - Age and condition
 - Flow estimates
- Suitability for septic systems
 - Size of each parcel in proposed district
 - Area of each parcel that is suitable for septic disposal (i.e., not constrained by slope, soil, groundwater, or setback from watercourse)
 - Soil types in district
 - Slopes
 - Depth to groundwater
 - Depth to ledge rock
 - Floodplains
 - Date of last inspection and pump-out

- Septic inspection and failure data from municipality and County records (date of last section)
- Date of most recent pump-out/inspection for each parcel
- Summary of water quality management actions to date, if any
- Water quality measurement criteria
 - Eutrophic indicators in waterbody
 - Lake perception
 - Biological condition
- Phosphorus load contributions by source (i.e. wastewater, stormwater, etc.)
- Water budget for lake (if applicable)

5. Evaluation of Treatment Options

- Delineate the area to be served
- Describe existing wastewater infrastructure in the vicinity of the study area, including but not limited to, existing sewer districts in and around the study area, existing WWTPs, gravity or force mains, etc.
- Evaluation of management actions shall include, but is not necessarily limited to, the following:
 - Septic maintenance district
 - Community septic system
 - Connection to existing WWTP
 - New WWTP

6. Recommended Treatment Practice

- Identify and describe the preferred treatment alternative, including but not limited to:
 - Proposed Sewer District Boundaries
 - Discharge location
 - Estimated wastewater flows, solids and nutrient loads
 - Proposed collection system layout

7. Potential Water Quality Impacts of the Recommended Treatment Practice

- Projected nutrient load reductions and impact on TMDL
- Impacts on downstream waterbodies and wetlands

8. Project considerations

- Permits/ Approvals
 - MS4 permit, found on the NYSDEC website ([link](#))
 - SPDES permit, found on NYSDEC website ([link](#)), if applicable
 - DEP Watershed Rules and Regulations ([link](#)), with potential requirements for additional permits, variances, or plans
 - County-Level Permits
 - Putnam County Forms, Requests, and Applications ([link](#))
 - Town-Level Permits, depending on the proposed project type
- Feasibility
 - Environmental constraints (ledge rock, wetlands, etc.)

- Required improvements to existing facilities or decommissioning, as applicable
- Land requirements and need for land acquisition if any
- Seasonal limitations, challenges, and requirements, if any
- Public support or other community considerations or non-monetary considerations (e.g. aesthetics, improved habitat, etc.)
- Financial Status
 - Briefly provide information regarding potential sources of income, current and/or future rate schedules, and other capital improvement programs

9. Estimated Cost of Recommended Treatment Practice

- General
- Design Costs
- Construction Costs
- Operation and Maintenance Costs
- Estimated annual costs per connection
- Potential Federal/State Funding sources (e.g. CW State Revolving Fund)

Appendix C
Title Page Format

Project Name:

Organization:

Primary Investigator Name and Contact Information:

Financial Contact Name and Contact Information (if applicable):

Project Partners (if any):

Funds Requested: \$

Federal Tax Identification Number:

DUNS Number:

Project Location Description (City, State):

Abstract:

Appendix D
Budget Table Format

PROJECT BUDGET		
BUDGET CATEGORY <i>(Add/remove itemizing lines below major categories as necessary, but do NOT delete major categories)</i>	MATCH	GRANT REQUEST
A. PERSONNEL (list individual names and titles below)	\$	\$
	\$	\$
	\$	\$
	\$	\$
B. FRINGE BENEFITS ___ % of ___ (e.g., 10% of total personnel costs) TOTAL:	\$	\$
C. TRAVEL (estimate number/purpose of trips below)	\$	\$
	\$	\$
	\$	\$
D. EQUIPMENT (itemize below) TOTAL:	\$	\$
	\$	\$
	\$	\$
E. SUPPLIES (itemize below) TOTAL:	\$	\$
	\$	\$
	\$	\$
F. CONTRACTS (identify & itemize below) TOTAL:	\$	\$
	\$	\$
	\$	\$
G. OTHER (identify & itemize below) TOTAL:	\$	\$
	\$	\$
	\$	\$
H. TOTAL DIRECT COSTS (SUM OF A-G)	\$	\$
I. INDIRECT COSTS ___ % of ___ (e.g., 10% of total direct costs) TOTAL:	\$	\$
J. TOTAL PROJECT COST (SUM OF H+I)	\$	\$

Appendix E

Business Integrity Review Form (Form begins on next page)

**ELIGIBLE APPLICANT PROJECT
CONTRACTOR APPROVAL FORM**

EOH COMMUNITY WASTEWATER GRANT PROGRAM
CONTRACTOR APPROVAL FORM
(DEP Contract Number: CRO-597; Registration No. CT 826 20201409228)
For Contractors of Eligible Applicants subject to Section 2.02(D) of the
EOH Community Wastewater Grant Program Agreement

Part I: CONTRACTOR INFORMATION:

Business Name of Program Project Contractor/ Prior Program Participant Contractor:

Principal Place of Business Address: (Street, State, zip code)

Business Contact Information:

Phone Number: _____

Email: _____

Fax: _____

Type of Business: (sole proprietorship, partnership, corporation, other)

Business EIN/SSN: _____

I hereby affirm that the information supplied is true and correct.

Signature _____ Title _____

Print Name _____ Date: _____

Part II: AGENCY REVIEW

AGENCY RESPONSE

Business Integrity Approved ____ **Business Integrity Rejected** ____

Appendix F
Map of Project Location

