Hudson River Estuary Program (NYSDEC)
Request for Proposals
Climate-Adaptive Design Project Development

MARCH 2019

The New England Interstate Water Pollution Control Commission (NEIWPCC), in cooperation with the New York State Department of Environmental Conservation's (NYSDEC) Hudson River Estuary Program, is inviting proposals to design a feasible and implementable "Climate-Adaptive Design" (CAD) project in one or more of the municipalities where a CAD studio has taken place: Catskill, Kingston, Piermont or Hudson, NY. The purpose of this project is for a consultant, with support from the municipality, to use an engaged stakeholder process to review CAD concepts, select appropriate elements, and design an implementable project at a specific site or sites.

Elements chosen for further design must meet the goals of the Climate-Adaptive Design studio to increase community resilience to sea-level rise and climate change through an engaged stakeholder process. These elements must also be technically feasible and appropriate for the location, supported by the community, cost effective, and permittable. Eligible projects must reduce shoreline or stormwater flooding and erosion risk while enhancing habitat value, which may include options for strategic relocation, resilient waterfront structures and infrastructure, natural and nature-based shoreline design and stormwater green infrastructure.

The design process will require involvement of stakeholders including the staff from the New York State DEC's Hudson River Estuary Program, Hudson River National Estuarine Research Reserve and Department of State, as well as relevant state and federal regulatory staff. The result of the project will be significant advancement of a CAD project, with minimum deliverables including engagement of key stakeholders through an inclusive design review process, selection of design elements from CAD concepts, interim progress report and final report with the information needed to begin final design and construction (under future and separate project), including preliminary engineering designs, project justification, cost estimates, permitting materials and an implementation strategy. The geographic scope of this study is the waterfront areas that have been the subject of previous CAD studios in Catskill, Hudson, Kingston and Piermont, NY. The project is expected to be awarded in May 2019 and to be completed no later than September 30, 2020. No contract extensions will be allowed. The deadline for applications is April 19, 2019 12:00 PM (noon).

There is a total of $125,000 available for this RFP. It is anticipated that at least one successful project or proposal will be chosen. This request for proposals (RFP) includes information on:

I. Overview

I. Overview

NEIWPCC

NEIWPCC is a not-for-profit interstate agency, established by Congress in 1947 to serve and assist its member states individually and collectively by providing coordination, research, public education, training, and leadership in the management and protection of water quality in the New England states and New York. NEIWPCC strives to coordinate activities and forums that encourage cooperation among the states, educate the public about key water quality issues, support research projects, train environmental professionals, and provide overall leadership in the management and protection of water quality.

Hudson River Estuary Program

The Hudson River Estuary Program of the New York State Department of Environmental Conservation helps people enjoy, protect and revitalize the Hudson estuary. Created in 1987 through the Hudson River Estuary Management Act (ECL 11-0306), the program focuses on the tidal Hudson and its surrounding watershed from the federal dam at Troy to the Verrazano Narrows in New York City. The mission of the Estuary Program is built around six key benefits people receive from the results of our work:

- Clean Water
- Resilient Communities
- Vital Estuary Ecosystem
- Estuary Fish, Wildlife and Habitats
- Natural Scenery
- Education, River Access, Recreation and Inspiration

The Estuary Program collaborates with many partners: nonprofit organizations, businesses, local governments, state and federal agencies, and interested citizens to deliver these benefits. It develops knowledgeable and effective stewards of the estuary, using an understanding of ecology

as a foundation for all its work. The program is guided by New York State's *Hudson River Estuary Action Agenda*—a forward-looking plan developed through significant community participation up and down the river. The Hudson River Estuary Program achieves real progress by providing technical assistance, grants, contracts and scientific research to empower citizens and communities to make informed choices.

A description of the Estuary Program and links to the *Hudson River Estuary Action Agenda* and other background information are available at http://www.dec.ny.gov/lands/5104.html.

The Climate-Adaptive Design (CAD) Program

The Climate Adaptive Design studio is a program of the Cornell University Landscape Architecture Department and the NYS DEC Hudson River Estuary Program. The CAD Studio links Cornell University graduate and undergraduate students in landscape architecture with high flood-risk Hudson Riverfront communities to explore design alternatives for more climate resilient and connected waterfront areas. Community stakeholders are engaged throughout the studio to help inform the design process and support more usable results for the municipality that CAD is partnered with. To date, the CAD Studio has been completed in the municipalities of Village of Catskill, City of Kingston, Village of Piermont and City of Hudson, NY, and has produced five to ten design concept boards in each community.

The four-month design process begins with student design teams studying the community's watershed setting, climate change projections, ecosystem context, and precedents for designing more climate-adaptive spaces, like floodable parks and wet flood-proofed buildings. Each community presents new design challenges and opportunities for design innovation. Students infuse their designs with knowledge, opportunities, and challenges specific to each community that they uncover during site visits and engagement with local stakeholders.

A description of the Climate-Adaptive Design Program is available at https://wri.cals.cornell.edu/hudson-river-estuary/climate-change-hudson-river-estuary/climate-adaptive-design/

II. Project Goal

The overall goal of this project is to help a community to take elements from its CAD concepts and develop them to an implementable design. All final CAD design concepts can be found online at the following links:

- Village of Catskill https://cornell.box.com/v/CADCatskill
- City of Hudson https://cornell.box.com/v/CADHudson
- City of Kingston
  - Block Park https://cornell.box.com/v/CADKingstonI
  - City of Kingston Point https://cornell.box.com/v/CADKingstonII
  - Rondout East Strand https://cornell.box.com/v/CADKingstonIII
- Village of Piermont https://cornell.box.com/v/CADPiermont

Climate-Adaptive Design Considerations

Elements chosen for further design must meet the goals of the Climate-Adaptive Design studio to increase community resilience to sea-level rise and climate change through an engaged stakeholder process. These elements must also be technically feasible and appropriate for the location, supported by the community, cost effective, financially sustainable and permittable. Eligible projects must reduce risks from shoreline or stormwater flooding and erosion while enhancing habitat value, which may include options for strategic relocation, resilient waterfront structures and infrastructure, natural and nature-based shoreline design and stormwater green infrastructure.

When selecting elements from the CAD concepts and advancing and justifying overall project design, the successful applicant must directly address the following CAD design principles:

Proposed designs must, when applicable:

- Meet the standards for receiving all applicable state and local permits and be justifiable as reasonable and necessary
- Consider up-to-date maps and data (see links below for regional climate projections and mappers for flooding and tidal wetland migration, etc.) on current and future projected conditions
- Adequately and cost-effectively withstand flood and erosion risk now and over the life of the project
- Be cost-effective over the long term given operation, ongoing maintenance and replacement costs
- Maintain and add ecological value to the site(s) by conserving or restoring existing natural features and their potential pathways to migrate over time (for example, wetlands moving upland with sea-level rise)
- Improve or create water-dependent or water-enhanced uses and/or relocate water-independent uses out of risk areas
- Create new opportunities for public access, education and/or interpretation that can be enjoyed throughout the year
- Address contaminated soils, brown fields, etc.

Minimum project deliverables:

- Engagement of key stakeholders through an inclusive design review process
- Selection of design elements from CAD concepts
- Interim progress report
- Final report with the information needed to begin final design and construction (under future and separate project) and is acceptable to project managers, including:
    - Descriptions of existing and build-out conditions
    - Proposed project design for a specific site or sites, with detailed visual renditions and preliminary engineering documents
    - Justification for the proposed designs that address CAD design principles
    - Description of interpretative signs and other visual elements which describe how the design addresses climate adaptation and resilience
    - Description of opportunities for public access

- Compiled permit application materials and recommendations for obtaining any necessary permits for the project
- Implementation strategy that estimates construction and long-term maintenance costs, permitting and construction timelines, recommended project specifications, with detailed construction, maintenance and monitoring considerations, proposed funding source(s), and general implementation recommendations. Identification of potential funding sources to pay for construction, including their minimum requirements

In addition, the project must be undertaken with the concurrence of the CAD municipality as evidenced by a letter of support. If the property is owned by a public agency or private owner other than the CAD municipality identified in the proposal, a letter of support from the property owner is also required.

Implementation of CAD-inspired projects has been identified as a priority of the NYSDEC's *Hudson River Estuary Action Agenda (2015-2020).* Using available resources, the successful applicant(s) will help achieve the following *Action Agenda* Target and outcomes established for completion by 2020:

BENEFIT 2 – RESILIENT COMMUNITIES, LONG RANGE TARGET 1: *Waterfront communities along the Hudson are resilient to flooding, heat and drought and contribute to a clean estuary and a vital ecosystem.*

Outcomes:

B2T1a *Six Hudson riverfront communities have reduced key vulnerabilities to flooding, heat and drought and improved environmental conditions by implementing nature-based solutions, infrastructure improvements, and land-use practices, consistent with recommendations from waterfront flooding task forces, New York State sustainability plans, New York Rising plans and storm recovery goals.*

We anticipate the next step of this project will be final design and construction, possibly with the support of additional state funding resources related to waterfront resilience, including Department of State's Local Waterfront Revitalization Program, Department of Environmental Conservation's Climate Smart Community or Water Quality Improvement Program, or Environmental Facilities Corporation's Green Infrastructure Grant Program. You can download our fact sheet on state and federal funding resources for communities: https://wri.cals.cornell.edu/sites/wri.cals.cornell.edu/files/shared/documents/financefr3.pdf

This RFP also helps to implement Governor Cuomo's Resilient NY priorities as expressed in the January 2018 State of the State address. (https://www.ny.gov/programs/2018-state-state-address). These recommendations, designed to make New York more resilient to strong storms and climate change, emphasize strengthening existing infrastructure, rebuilding smarter, encouraging the use of green and natural infrastructure, promoting integrated planning and decision-making, and enhancing institutional coordination.

To accomplish these project goals, we are soliciting proposals for work to identify and design feasible projects intended for near-term implementation, as identified in the scope of work below.

Helpful reference materials that may be useful in preparing your proposal and your project include:

- Climate-adaptive Design studio https://wri.cals.cornell.edu/hudson-river-estuary/climate-change-hudson-river-estuary/climate-adaptive-design/
- Climate Projections for the Hudson Valley https://wri.cals.cornell.edu/hudson-river-estuary/climate-change-hudson-river-estuary/helping-communities-become-climate-resilient/climate-projections-nys/
- Hudson River Flood Impact mapper http://www.ciesin.columbia.edu/hudson-river-flood-map/
- Protecting the Pathways: Sea-Level Rise Affecting Marsh Migration https://scenichudson.maps.arcgis.com/apps/MapSeries/index.html?appid=9190b7560a574ad69cd91b43e383b203
- Sustainable Shorelines https://www.hrnerr.org/hudson-river-sustainable-shorelines
  - Design considerations https://www.hrnerr.org/hudson-river-sustainable-shorelines/design-considerations
  - Regulatory guidance https://www.hrnerr.org/hudson-river-sustainable-shorelines/regulatory-guidance
- Scenic Hudson's Revitalizing Hudson Waterfronts https://www.scenichudson.org/sites/default/files/u2/revitalizing-hudson-riverfronts.pdf
- NYS ClimAid Report, New York State Sea-Level Rise Projections

Time Range	2020s	2050s	2080s	2100
Mid-Hudson Valley Region Sea-level rise (inches)	Up to 9	Up to 27	Up to 54	Up to 71
Lower Hudson Valley/NYC Region sea-level rise (inches)	Up to 10	Up to 30	Up to 58	Up to 75

III. Scope of Work

This RFP is to provide a consultant, with the support of a CAD municipality (Village of Catskill, City of Hudson, City of Kingston or Village of Piermont, NY), the financial resources to make significant progress toward implementing a "CAD project," inspired by Cornell's Department of Landscape Architecture Climate-Adaptive Design (CAD) studio. The project will engage key stakeholders, select appropriate elements from a CAD concept and design an implementable project.

Project Tasks:

A. If any environmental data are to be collected, an approved quality assurance project plan (QAPP)

will be required before any data collection is done http://neiwpcc.org/our-programs/assessment-and-research/quality-management/

B. Outline stakeholder engagement strategy to ensure any appropriate community, municipal and landowner stakeholders and the NYSDEC Hudson River Estuary Program are engaged throughout the project duration. The NYSDEC Hudson River National Estuarine Research Reserve and the NYS Department of State, as well as relevant state and federal regulatory staff are key stakeholders to be consulted early in the project. The applicant should identify other key stakeholders to be included. At minimum this task should include:
    - A kick-off meeting describing project goals and seeking feedback on the project approach.
    - Additional stakeholder meetings to be scheduled after the kick-off meeting, including, at a minimum, an intermediate presentation of findings and recommendations and a wrap up meeting to present the findings and report to interested stakeholders.
    - At least two consultations with the Estuary Program staff should be scheduled at key decision points to review and adjust project plans and progress.
C. Review existing CAD concepts for the identified site(s) and select which design elements to advance based on Climate-Adaptive Design considerations.
D. Perform any additional site assessment or sampling needed to advance designs:
    - Review existing data, documentation and reports on present and projected future physical conditions at the site(s) and, if relevant, in the adjacent Hudson River, as well as natural resource information from publicly available sources including the NYSGIS Clearinghouse (http://gis.ny.gov/gisdata/inventories/details.cfm?DSID=1136), NYS Climate Change Clearinghouse (https://www.nyclimatescience.org/) and the Natural Heritage Database (https://www.ncnhp.org/).
        - If necessary, conduct a preliminary site visit attended by project partners including the Hudson River Estuary Program, NYSDEC and NYS DOS staff and municipal and elected officials.
        - If relevant, conduct topographic and hydrographic surveys and soils evaluation. Evaluate legal or contaminant issues associated with project site(s).
E. Coordinate development of designs with project partners including the New York State Department of Environmental Conservation (NYSDEC)'s Hudson River Estuary Program, the municipality, landowner(s) and relevant state and federal regulatory staff. Engage key stakeholders and community residents to provide feedback during the design process.
F. Work with stakeholders to consider each of the CAD design principles listed in Section II.
G. Attend a pre-application meeting with relevant state and federal regulatory staff to review preliminary plans.
H. Produce preliminary designs based on existing site conditions, site priorities, and input from project partners for review by NYSDEC regulatory and Hudson River Estuary Program staff, and municipal elected officials and staff. Preliminary designs must include visual renditions of proposed conditions and estimated construction costs.
I. Upon approval by Hudson River Estuary Program and NEIWPCC staff, considering stakeholder input, develop design and final engineering report with the information needed to begin final design and construction (under future and separate project), including:
    - Descriptions of existing and build out conditions
    - Proposed project design for a specific site or sites, with detailed visual renditions and preliminary engineering documents

- Justification for the proposed designs that address CAD design principles
- Description of visual element for public interpretation of how the design addresses climate adaptation and resilience
- Description of opportunities for public access and interpretation
- Compiled permit application materials and recommendations for achieving any necessary permits for the project
- Implementation strategy that estimates construction and ongoing maintenance costs, permitting and construction timelines, recommended project specifications, with detailed construction, maintenance and monitoring considerations, proposed funding source(s), and general implementation recommendations
- If a shoreline treatment is proposed, the report must also include a draft project monitoring plan with measurable engineering and ecological success criteria for the shoreline site(s) that will be used to assess project success after construction (Sustainable Shorelines Assessing Ecological and Physical Performance https://www.hrnerr.org/hudson-river-sustainable-shorelines/assessing-ecological-physical-performance)
- Description of how key project findings can be incorporated into the inventory, analysis and proposed projects sections of the municipality's local waterfront revitalization plan, if applicable
- Optional: bid specifications, if the applicant will be managing the bid process
- Optional: completed permit forms

The successful applicant will be expected to review drafts with NYSDEC and the municipality and revise as needed. The NEIWPCC Project Manager, assisted by Estuary Program staff, must approve drafts before the final product is produced.

***Please Note: This request does not require submitting a permit application or construction of the project. However, the justification for the proposed design (Task I) will be used for the project's permit application narrative. The justification must address project goals and any engineering requirements and regulatory thresholds.*

Please read the scoring system for evaluating proposals (below) as you develop your proposal to assure that you are meeting expectations as well as possible and so that your proposal is structured in a way that review teams can easily find answers to scoring questions.

General Guidelines for Applicants

Eligibility

Eligible applicants are engineering, landscape architecture or other relevant consulting firms. The applicant must demonstrate clear support from the municipality (Village of Catskill, City of Hudson, City of Kingston or Village of Piermont, NY) and the property owner (public or private) for the application. Non-profit organizations may also be project partners.

To be eligible for this RFP, the project site(s) must be within a previous Climate-Adaptive

Design (CAD) studio study area in City of Kingston, Village of Catskill, City of Hudson or Village of Piermont, NY.

It is up to the applicant to propose an appropriate and manageable scale to accomplish project objectives using cost-effective methods.

Schedule
All final reports and paperwork must be received by the NEIWPCC project manager by September 30, 2020. No extensions for project completion will be allowed.

The schedule for this RFP is estimated to be as follows and will be revised to insert project deliverables according to the schedule presented by the successful applicant:

Informational Meeting Call for Applicants	April 4, 2019 2:00 PM
Proposals Due to NEIWPCC	April 19, 2019 12:00 PM (noon)
Applicants Notified of Funding Decisions (subject to change)	May 3, 2019
Detailed Project Work Plans Due	May 17, 2019
Anticipated Project Start Date (subject to change)	May 31, 2019
Quarterly Report	July 10, 2019
Quarterly Report	October 10, 2019
Quarterly Report	January 10, 2020
Quarterly Report	April 10, 2020
Quarterly Report	July 10, 2020
Initial Draft of Final Report Due	August 31, 2020
Final Report and all Deliverables Due to NEIWPCC	September 30, 2020

Funding

There is $125,000 available for this project, and it is anticipated that at least one successful project or proposal will be chosen, with the option for no projects or proposals to be funded. Proposals with budgets that exceed the identified funding cannot be considered. Awarded funds may be used for expenses specifically related to the proposed project, including wages and consultant fees. Expendable and non-expendable equipment directly related to the proposed project may qualify for funding, but requires pre-approval (prior to proposal submittal) by NEIWPCC and must be justified in the proposal. Value for cost is a significant factor in the scoring criteria. Applicants may apply for more than one project site within the proposal.

Indirect Cost Policy

NEIWPCC recognizes that in some instances, applicants may have costs that are not directly attributable to projects or activities being funded but that the recovery of those indirect costs is

necessary to effectively implement the respective projects or activities. In those situations, the following indirect cost policy applies:

- Applicants that do not have a Negotiated Indirect Cost Rate Agreement may charge a maximum indirect rate of 10 percent of direct costs (de minimis rate).
- Applicants (including academic institutions) with a valid Negotiated Indirect Cost Rate Agreement (NICRA) with their cognizant federal agency can charge indirect costs to projects based on their negotiated indirect cost rate, but not to exceed 25% of the direct project cost project's total budget, whichever is less.
    - A valid NICRA is one in which the effective period has not expired. Applicants must provide a copy of their valid NICRA with their application in order for indirect costs reimbursement to be considered. If the effective period of the NICRA has expired but the grantee has documented evidence (via an indirect cost rate proposal) that they have reapplied for a new rate, the expired rate may be accepted.
    - Where an applicant has a NICRA higher than 25%, the difference may be applied to match if allowable under NEIWPCC's prime agreement with the funding entity.

Match

Although cost share or match is not required, projects providing non-federal cost share or match will receive favorable consideration over projects without cost share or match.

Cost share or match can be satisfied with cash or in-kind services, or a combination of both. Cash contributions are those funds used to purchase goods or services associated with the project. In-kind contributions represent the value of non-cash contributions provided by the applicant. Any contributions must be clearly explained in the proposal and must be documented.

Deliverables

The primary deliverables for this project will be the following:

1. **Approved quality assurance project plan (QAPP).** See below for additional information about this deliverable (Task A).
2. **Stakeholder engagement strategy** outlining process and listing target stakeholders in PDF format (Task B).
3. **Interim progress report** in PDF format including (End of Task D):
    a. Summary of project goals
    b. Summary of stakeholder engagement
    c. Summary of existing site conditions and any additional surveys or data collection
    d. Summary of evaluation of CAD design considerations in selecting elements from CAD concepts
    e. Preliminary plans including existing and proposed conditions, cost estimates and visual renditions of proposed conditions
    f. Summary of key findings and proposed responses to identified regulatory issues.
4. **Meeting summary** for pre-application meeting with regulatory staff (Task G).
5. **Preliminary design products** in PDF format (Task H).
6. **Final design products** in PDF format as well as three paper copies (Task I).
7. **Final engineering report** that includes all elements listed in the tasks above, in PDF format as well as three paper copies (Task I).
8. **Quarterly reports** in PDF format, including meeting summaries from any stakeholder

meetings, delivered to the NEIWPCC project manager no later than the 10th day of January, April, July, and October during the duration of the project.

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). For projects that involve environmental data operations, the contractor will be responsible for developing the project QAPP and submitting it to NEIWPCC staff for review after the start of the contract period. NEIWPCC will provide guidelines for QAPP development. The QAPP must be approved 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 90 days for the review and approval of your QAPP by NEIWPCC. It is appropriate for an applicant to utilize or build upon an existing, relevant, approved QAPP if one exists.

For more information about QAPPs, see http://neiwpcc.org/our-programs/assessment-and-research/quality-management/ and http://www.epa.gov/quality/qapps.html

Questions regarding the QAPP process or the necessity of a QAPP for a proposed project should be directed to the NEIWPCC Project Manager (see contact information in Section IX).

Deliverables, Ownership, and Credit Due

All materials, software, maps, studies, reports, and other products or data, regardless of physical form or characteristics, produced as a result of this solicitation and funded, in whole or in part, under an agreement with NEIWPCC shall be made available to NEIWPCC and the NYSDEC Hudson River Estuary Program in the formats in which it is stored or maintained. NEIWPCC and the NYSDEC Hudson River Estuary Program shall have an unrestricted right to use any materials, software, maps, studies, reports, and other products or data generated using assistance funds or specified to be delivered. The contractor shall not obtain, attempt to obtain, or file for a patent, copyright, trademark or any other interest in any such materials, software, maps, reports, and other products or data without the express, written consent of NEIWPCC and subject to any other approvals required by state or federal law. Reports and other deliverables will credit NEIWPCC and the NYSDEC Hudson River Estuary Program for any work completed under the grant award.

Project Informational Signage

Project implementation sites must display, where appropriate and practicable, a permanent sign indicating that the project has received funding through NEIWPCC, and include the NEIWPCC and NYS DEC Hudson River Estuary Program logos. Signage should also identify other contributing partners.

Insurance Requirements

NEIWPCC requires its contractors (including sole proprietors) to maintain workers' compensation and liability insurance. More details will be provided to applicants selected for funding. If you cannot provide proof of insurance, please do not apply for this funding opportunity.

V. Proposal Requirements

Proposals must include a (1) cover letter, (2) title page with abstract, (3) narrative with citations, (4) map, (5) timeline, (6) budgets (both overall and task-based budget formats), (7) budget justification, (8) description of qualifications, and (9) letters of support from the municipality, property owners, and other key collaborators. Page limits for each of these components are provided in the individual descriptions below. Proposals that do not contain all 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.

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 for funds under this program.
- You acknowledge that funding is provided on a reimbursement basis.

Title Page

For your convenience, an electronic version of the title page is available as a Microsoft Word document at http://neiwpcc.org/about-us/working-with-neiwpcc/. The title page must adhere to the format provided in Appendix A 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.
- 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 NEIWPCC for the project.
- Matching Funds: Provide the amount of matching funds you and/or your partners will be contributing to the project (if any).
- 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's EPA grant (individuals are exempt).
- Certified Disadvantaged Business Enterprise (DBE): Indicate if your organization is a DBE.
- Project Location Description (City, State): Provide the state and city where of the primary location where work will be completed.
- Project Location Coordinates (Latitude, Longitude): Provide the latitude and longitude coordinates for the primary location where 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 Hudson River estuary. The abstract must fit within the title page.

Proposal Narrative

The proposal narrative must not exceed 5 consecutively numbered, single-spaced, typed 8.5" x 11" pages with 11-point font and 1-inch margins. The 5-page narrative must include all the following information:

- **Project Description:** Briefly describe the project its relevance to the Resilient Communities benefit of the Hudson River Estuary Action Agenda. 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.
- **Site Identification:** Brief description of site(s) under consideration for the demonstration project. The site(s) must be located in a community that has completed a Climate-adaptive Design (CAD) studio, be publicly-owned or provide a potential opportunity for public access.
- **Documented landowner and municipal permission and support**.
- **Expected outputs and outcomes**: Describe the project's expected tangible outputs and outcomes, and list and describe each of the specific deliverables and end products.
- **Roles and Responsibilities**: Define the roles and responsibilities of all project participants.
- **Citations:** Include references as appropriate within the proposal narrative.

Timeline

Provide a detailed timeline for meeting identified tasks and completing deliverables, with a completion date no later than September 30, 2020. All timelines should be stated in terms of Month #1, #2, #3, etc. rather than specific dates, e.g. "March 5, 2018." The project award notification is anticipated to be on or about May 3, 2019 with an estimated start date of May 31, 2019. The actual start date may change based on the time required to negotiate the

contractual agreement. The timeline must be no more than one 8.5" x 11" page with 1-inch margins and 11-point font.

Budget

The project budget must be provided in two formats:

First, provide a complete, detailed budget using the format provided in Appendix B. For your convenience, an electronic version of the budget form is available at http://neiwpcc.org/about-us/working-with-neiwpcc/. 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. Identify and describe current and pending financial resources (including the source) for non-federal cost share or matching funds that are intended to support the project. Entities intending to use a Negotiated Indirect Cost Rate must provide documentation of their rate. This documentation does not count toward the page limit.

Second, prepare a budget that is broken down by project tasks and divided into two phases that correspond to calendar years, as shown in Appendix C. For your convenience, an electronic version of the budget form is available at http://neiwpcc.org/about-us/working-with-neiwpcc/. The first phase of the project will be from the start date until December 31, 2019 and the second phase will be from January 1, 2020 to the end date of the project (no later than September 30, 2020). **As you develop this budget, keep in mind that contractual payments will be made based on this task-based budget, once tasks are completed.** Matching funds should not be included in the task-based budget.

Qualifications

The applicant chosen for this project should possess the academic and professional expertise and certifications in the relevant subject areas, and have a strong track record in delivering projects of this nature. Applicants should have experience and capacity to conduct and manage effective meetings with agency staff, partners and community stakeholders. Applications must include identification of a New York State licensed engineer and landscape architect as the project co-lead. Applicants must be able to demonstrate extensive experience, as relevant to the project, in climate-adaptive strategies and design, natural and nature-based solutions, sea-level rise, coastal and inland flood and erosion causes and processes, engineering, waterfront design as well as understanding of the current and future projected physical conditions of the Hudson River estuary. Depending on the project, legal expertise may also be needed on the project team. Attention to detail in documenting qualifications that meet the scoring requirements is strongly advised. Applicants must submit a resume for the team leader and additional technical support staff showing level of experience and educational background. The qualifications section, including resumes, descriptions of past projects, etc. must not exceed 6 pages.

Letters of Support/Testimonials

The applicant must secure and document permission and support from the CAD municipality. If the property is owned by a public agency or private owner other than the CAD municipality

identified in the proposal, a letter of support from the property owner is also required. Letters of support to document organizational, state legislative, and/or community support for the project and/or for the applicant's qualifications may also be attached but are not required. Applications including letters from stakeholders or clients from projects of a similar nature that provide compelling testimonials as to the applicant's ability to provide a useful product and follow a useful approach and/or provide commitments to implement a demonstration project are not required but could receive added points in the evaluation and scoring process. There is no page limit for letters of support.

Pre-Application Conference Call

A conference call will be held on **Thursday, April 4, 2019 at 2:00 PM EST** to answer clarifying questions submitted by potential applicants. If you want to participate in the conference call, please send a request to participate to Libby Zemaitis, libby.zemaitis@dec.ny.gov by **12:00 PM on Friday, March 29, 2019**. Your request should include your name, affiliation, email, and phone number, and any questions you would like answered. Only questions submitted by email prior to the call will be answered and no additional questions will be answered after the conference call. It is not necessary to submit a question to participate in the call. All interested applicants will be contacted by email with details for joining the call. Questions regarding the QAPP process or the necessity of a QAPP for a proposed project should be directed to the NEIWPCC Project Manager (see contact information in Section IX).

VI. Submittal Process

Proposals must be submitted by no later than **12:00 PM (noon) on April 19, 2019.** No late submissions will be considered. Applicants **must submit their proposals electronically** through the NEIWPCC website. Proposals received through e-mail, postal delivery, or any other delivery method will not be accepted**.**

To submit your proposal, go to http://neiwpcc.org/about-us/working-with-neiwpcc/contractor-proposal-submissions/ and follow the instructions provided for uploading your file(s). It is highly preferred that the proposal and all supporting information are submitted as a single PDF document. This requires Adobe Acrobat or similar Adobe product (the free Adobe Reader does not allow the conversion of documents into PDF format), or a scanner. If several files are to be submitted, you will need to create an archive file (.zip, or .rar) containing all the files you wish to submit. The file name should be in the following format: **"Hudson River Estuary Program Climate-Adaptive Design Demo Project _NAME OF YOUR ORGANIZATION."** Once you have clicked the "submit" button, please allow adequate time for your submission to process and do not hit the back button or close your browser window. The process is not considered complete until you have reached the confirmation page. If your application was submitted successfully, you will receive an email from NEIWPCC (mail@neiwpcc.org) with the subject line "RFP Submission Confirmation" confirming receipt of your submission. For questions regarding submittal of proposals, contact Peter Zaykoski, NEIWPCC, pzaykoski@neiwpcc.org (978) 349-2526.

VII. Proposal Evaluation Process

NEIWPCC will screen all proposals to ensure that they meet all requirements of this RFP. All projects will be evaluated under the same criteria. If a proposal is found to be incomplete, the proposal will be eliminated from the competition, and NEIWPCC will notify the applicant. 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. Scoring will occur within each project type, with the top scoring projects for each project type being funded.

Proposals will be evaluated based upon the following criteria. Some criteria will be scored on a sliding scale of points. Up to 100 points are available per proposal. If two or more reviewers assign a score of zero in any category, as described below, the project will be disqualified.

A. Technical review (0-35 points)

Applicant should describe in detail the approach that will be used to implement each of the tasks identified in this request for proposals. The technical evaluation will be based on the appropriateness and feasibility of the approach and methods, including the following factors, with up to 5 points assigned to each factor, as follows: adequate = 1 point, average = 3 points, exceptional = 5 points, inadequate = 0 points:

- Overall approach
- Use of CAD considerations or principles (see CAD design principles under Project Goal)
- Stakeholder engagement process
- Permitting considerations and process
- Considerations of practicality to fully implement project
- Demonstration of landowner and stakeholder support
- Likelihood that implementation of the proposed project would result in an increase in adaptive or resilient conditions in the selected community

B. Experience and qualifications (0-20 points)

All applicants must designate a team leader and submit, as part of their team qualifications, a resume for the team leader and additional technical support staff showing level of experience and educational background. In addition to the resumes, a short narrative addressing the items listed below should be included. Team experience will be evaluated to ensure that the team 1) meets the minimum criteria listed in the mandatory requirements above and 2) will receive a ranking based on the following criteria with up to 5 points assigned to each, as follows: adequate = 1 point, average = 3 points, exceptional = 5 points, inadequate = 0 points:

1. Overall experience and success of the team members conducting the type of work described in all of the tasks.
2. Relevant technical knowledge as it applies to practical applications on Hudson River waterfronts.
3. Experience and success of the team educating and working with municipalities, and

state and federal agencies.

4. Experience and success of the team in stakeholder outreach and engagement.

C. Proposal clarity and readability (0-10 pts)

The overall proposal and scope of work is clear, logical and well explained (up to 5 points: adequate = 1 point, average = 3 points, exceptional = 5 points, inadequate = 0 points). The deliverables are described clearly (up to 5 points: adequate = 1 point, average = 3 points, exceptional = 5 points, inadequate = 0 points).

D. Letters of support and testimonials about the capability of the applicant from stakeholders or clients from projects of a similar nature. (0-5 points)

Letters of support are provided by the municipality and any key landowner and/or stakeholders required to complete the tasks and ultimately implement the project and letters of support from other entities. (up to 5 points: adequate = 1 point, average = 3 points, exceptional = 5 points, no letters of support = 0 points).

E. Cost Effectiveness and Implementation Feasibility (0-30 points)

The financial evaluation will be based on cost effectiveness from the standpoint of cost, balance, value and justification.

- The project budget is exceptionally cost-effective for the value provided, is well-balanced and does not contain extraneous expenses. Funding is accurately justified and described (15-30 points)
- The project budget is of average or acceptable cost-effectiveness, and is appropriate for the complexity and size of the project (1-15 points)
- The project budget is not cost-effective, is confusing, is extraneous or excessive, or is not well aligned with the project purpose (0 points).

VIII. Notification of Awards

Award notification to applicants is anticipated to be on or around May 3, 2019. 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. If your project includes environmental data operations, this work may not begin until the QAPP is approved. **Note: NEIWPCC will not pay for expenses incurred prior to the contract start date.** Payment for costs incurred will be on a reimbursement basis per the contract payment schedule and contingent upon completion of quarterly progress reports and project deliverables.

IX. Contacts

NEIWPCC and NYSDEC Hudson River Estuary Program will accept questions about the RFP topic by email through 12:00 PM (noon) on Friday, March 29, 2019. All questions will be addressed on the informational conference call. To submit questions or indicate interest in participating in the call, please contact the NYS DEC Hudson River Estuary Program Project Manager:

Libby Zemaitis
845-256-3153
Libby.zemaitis@dec.ny.gov

Questions regarding the QAPP process or the necessity of a QAPP for a proposed project should be directed to the NEIWPCC Project Manager:

Daniel Miller
(845) 889-4745 x110
Daniel.miller@dec.ny.gov

For information regarding the application process, contact:

Peter Zaykoski
NEIWPCC
650 Suffolk Street, Suite 410
Lowell, MA 01854
978-349-2526
pzaykoski@neiwpcc.org