



**Request for Proposal (RFP)  
Table of Contents**

<b><u>Section</u></b>	<b><u>Attachments</u></b>
RFP Instructions	1
Sample Contract	2
Code of Business Ethics – Certification	3
NYS Vendor Responsibility Questionnaire For-Profit Business Entity (Non-Construction)	4
W-9 Form	5
Classification & Rate Form	6
DASNY Multiplier Form	7
Procurement Lobbying Law – Certification	8
Sample Insurance Certificate & Requirements	9
Utilization Plan	10
Diversity Questionnaire	11
Use of Service-Disabled Veteran-Owned Business Enterprises	12

## **Section 1 - General Information:**

### **1.1 Introduction to DASNY**

The Dormitory Authority State of New York (DASNY) is a public benefit corporation of the State of New York empowered by Titles 4 and 4-B of the Public Authorities Law (the “Act”), to provide design and project management services to, and to issue its bonds, notes and other obligations, for a wide variety of public purposes. Under the Act, DASNY provides a multitude of services in various forms in connection with the design, construction and financing of capital facilities for State University of New York, including dormitories and educational facilities; City University of New York Senior Colleges; Community Colleges; Boards of Cooperative Educational Services; Cities and Counties with respect to Court Facilities and combined occupancy structures, as defined by law; the Department of Education of the State of New York with respect to certain facilities under its jurisdiction; other State and local governmental entities; independent colleges and universities; facilities for the aged; certain not-for-profit hospitals and nursing homes, as well as a wide variety of other not-for-profit organizations specifically described in the Act.

### **1.2 Purpose**

DASNY seeks proposals for the services of qualified firms to provide water treatment consulting services at various City University of New York (CUNY) Community and Senior College campuses. The focus of the program is to support and evaluate the existing standard water treatment program with the objective of optimizing performance of energy consuming equipment, extending the life of equipment and components and complying with NYC DOH mandates.

### **1.3 Key Events and Dates**

<u>Event</u>	<u>Date</u>
Issuance of RFP	01/19/17
Optional Pre-Proposal Meeting	02/13/17 (10:30 AM)
Deadline for RFP Questions	02/16/17 (5:00 PM)
Post Responses to RFP Questions	02/24/17
Proposal Due Date	03/03/17 (5:00 PM)
Interviews/Presentations (not earlier than)	03/20/17
Notice of Award (not earlier than)	04/10/17

**An Optional Pre-Proposal Meeting will be held at DASNY’s New York City Office, located at One Penn Plaza, 52<sup>nd</sup> Floor, New York, New York on February 13, 2017 at 10:30 AM. Firms interested in attending must submit an e-mail with the words “Pre-Proposal Meeting” in the subject line to [RFPCoordinator@dasny.org](mailto:RFPCoordinator@dasny.org) by February 9, 2017. In the body of the message, include your firms name and the first and last name of each attendee. Failure to provide this information may result in access being denied by Building Security. Due to space limitations, firms are requested to limit the number of attendees.**

The purpose of this meeting is to describe the project, goals and to answer any questions presented by the proposers. Representatives of DASNY and CUNY will be available to answer questions regarding this RFP.

## **Section 2 - Engagement Requirements:**

### **2.1 Project Scope of Work**

The scope of services to be provided for this project is included in Appendix “A” of the attached Sample Contract.

### **2.2 Qualifications and Certification Requirements**

- have extensive relevant experience providing similar services;
- employ experienced staff with thorough knowledge of their area(s) of expertise;
- have at least one employee with a NYS Cooling Tower 7G certification;
- have access to NELAC accredited and certified laboratories; and
- have extensive experience providing field evaluations and reportings.

## **Section 3 - Content of Technical Proposal:**

### **3.1 Information to be Provided by Proposers**

The following is a list of required information that must be provided by the proposer. Provide your response in the same order in which it is requested using numbered side tabs that correspond with each of the numbered tabs below. Your technical proposal must contain sufficient information to assure DASNY of its accuracy.

Tab 1. Include a **cover letter** with the following items:

- a. The name and address of your firm including all other office locations, if any.
- b. The name, title, telephone number, fax number and email address of the individual within your firm who will be DASNY’s primary contact concerning this RFP.
- c. The primary contacts name, title, telephone number, fax number and email address for each sub-consultant who will perform work under this contract.
- d. The identities of the primary staff proposed to provide services relating to this RFP.
- e. A statement to the effect that your firm is willing to perform all services identified in Section 2.1 above and will abide by the terms of the RFP, including all attachments.
- f. The cover letter must be signed by the individual(s) authorized to bind your firm contractually. Indicate the title or position that the signer holds within your firm. DASNY reserves the right to reject a technical proposal that contains an unsigned cover letter.

Tab 2. Provide a description of your firm’s organization, team makeup including sub-consultants and the resumes of partners, principals, associates and other key staff proposed to provide services to DASNY.

- Tab 3. Provide a list of major programs your firm has recent experience overseeing. Include the names, titles and phone numbers of at least five (5) references excluding DASNY employees and a summary of the services provided.
- Tab 4. Provide a description of programs your firm has created within the last five years that included purchasing strategies and the ability to review current available sources. Include sample procurement specifications that were developed for each program.
- Tab 5. Provide a detailed description of your firm's approach to providing the requested scope of services.
- Tab 6. Provide a summary of your firms proposed program. Include the following:
- a. Expectations for performance optimization, extension of operational life and long-term reduction of repair cost;
  - b. Methodology for acquiring equipment inventory and determining the end use of equipment;
  - c. Identification of current operating problems and condition of systems;
  - d. Procedures for establishing recommendations for cleaning, flushing, repairing or replacing deficient components;
  - e. Methodology for providing chemical analysis of all water sources for operational equipment, including acquisition of historical data and review of former analysis; and
  - f. Recommendation of test parameters for Raw Water, Condenser Water, Low Pressure Steam Systems Make-up Water, Closed Loop Water, Deposits and Spool Piece Assemblies with Coupons.
- Tab 7. Provide your firms experience with training of operations personnel. Include topics and training agenda.
- Tab 8. Provide your firms experience with current routine auditing. Include the size and complexity of each location, audit cycle, required staffing and methodology to monitor the water quality.
- Tab 9. Provide a list of NELAC accredited and certified laboratory facilities utilized by your firm. Provide verification that each laboratory has CDC ELITE and NYS ELAP certifications.
- Tab 10. Provide your firm's laboratory quality control procedures, including typical treatment product parameters, description of destructive pipe sample analysis, particle count procedures and filter performance evaluations.
- Tab 11. Provide your firms field evaluation procedures with dissolved oxygen testing, softener elution study and sampling for Legionella (MMP Plan).
- Tab 12. Provide a list of all affiliations your firm has with water treatment suppliers and/or vendors.
- Tab 13. Provide examples of your firm's reports for routine monitoring (report card approach). Include examples of ultrasonic pipe testing, borescope inspections of chillers and boilers,

destructive pipe analysis, new chiller and boiler inspections, Legionella Prevention Plan consistent with ASHRAE 188 and NYC/NYS regulations and any other experience that is beneficial in determining capabilities.

- Tab 14. Provide how your firm will monitor the allotment and performance of work in order to achieve an efficient administration of the project.
- Tab 15. Provide copies of registration or accreditation certificates as applicable. At least one employee must have a NYS Cooling Tower 7G certification. Include a copy of this certification.
- Tab 16. Provide a completed Utilization Plan, included in this RFP as an attachment, listing all proposed sub-consultants including ESD Certified M/WBE firms you “may” use if selected for this contract. **No dollar amounts should be entered at this time.** With each project assignment, a new plan with dollar amounts will be required. The goals for this contract are 18% MBE & 12% WBE. The goals refer to the percentage of utilization of your M/WBE sub-consultants.
- Tab 17. Provide a complete Diversity Questionnaire, included in this RFP as an attachment. It is the goal of DASNY to utilize qualified firms that have a demonstrated history of hiring, training, developing, promoting and retaining minority and women staff and to encourage participation by certified MWBE firms. This questionnaire elicits information about each responding firm in order to verify that its work environment demonstrates a strong commitment to diversity.
- Tab 18. Provide a completed Use of Service-Disabled Veteran-Owned Businesses Plan, included in this RFP as an attachment listing all proposed sub-consultants including OGS Certified Service-Disabled Veteran-Owned Businesses (SDVOB) that are of equal quality to those that may be obtained from non-SDVOBs if selected for this contract. Certified SDVOBs can be identified at [http://ogs.ny.gov/core/docs/CertifiedNYS\\_SDVOB.pdf](http://ogs.ny.gov/core/docs/CertifiedNYS_SDVOB.pdf). **No dollar amounts should be entered at this time.** With each project assignment, a new plan with dollar amounts will be required. The SDVOB goals for this contract are 3%.
- Tab 19. Provide a completed W-9 Form, included in this RFP as an attachment. If the proposer is a joint venture, provide a W-9 in the name of the joint venture and provide a copy of the executed joint venture agreement.
- Tab 20. Additional Information - The proposer must also provide statements regarding the following:
- a. The proposer must agree to provide DASNY with pre- and post-audit access to documents, personnel and other information necessary to conduct audits on request during the term of the Contract and for six years thereafter.
  - b. The proposal submitted must contain a representation that the proposer is willing and ready to provide any services requested or required in a timely manner.
  - c. Disclose any potential conflicts of interest (refer to the “Code of Business Ethics - Certification” attached).

**Section 4 - Content of Cost Proposal:**

**4.1 Information to be Provided by Proposers**

The following is a list of required information that must be provided by the proposer. Provide your response in the same order in which it is requested using numbered side tabs that correspond with each of the numbered tabs below. Your cost proposal must contain sufficient information to assure DASNY of its accuracy.

- Tab 1. Include a **cover letter** with the following items:
- a. The name, title, telephone number, fax number and email address of the individual within your firm who will be DASNY's primary contact concerning this RFP.
  - b. A statement to the effect that the price quoted is an irrevocable offer good for 120 days.
  - c. The cover letter must be signed by the individual(s) authorized to bind your firm contractually. Indicate the title or position that the signer holds within your firm. DASNY reserves the right to reject a cost proposal that contains an unsigned cover letter.
- Tab 2. Provide documentation indicating your firm's Overhead and Profit Multiplier and that of your sub-consultants (if any) by using **one** of the following methods:
- a. Submit a previously approved multiplier by DASNY or another State Agency.
  - b. Submit a request for a multiplier 2.5 or less on your firm's letterhead.
  - c. Submit the attached DASNY Multiplier Form with a current financial statement for a multiplier greater than 2.5.
  - d. Submit an approved FARs audited financial statement from your firm's most recent year-end.
- Tab 3. Complete the attached Classification & Rate Form to support the unloaded salaries and rates of your employees under this contract.
- Tab 4. Provide a statement indicating your firm is able to obtain the required insurances as listed in the attached Sample Insurance Certificate & Requirements.

**Provide the following forms loosely. Do not include these forms in your technical or cost proposal.**

A NYS Vendor Responsibility Questionnaire included in this RFP as an attachment. **DASNY recommends that all firms file the required Questionnaire online via the New York State VendRep System and only provide a copy of the certification page to DASNY.** To enroll in and use the New York State VendRep System, see the VendRep System Instructions available at [http://www.osc.state.ny.us/vendrep\\_index.htm](http://www.osc.state.ny.us/vendrep_index.htm) or go directly to the VendRep System online at <https://portal.osc.state.ny.us>.

A completed Procurement Lobbying Law – Certification included in this RFP as an attachment.

## **Section 5 - Evaluation of Proposals:**

The selection process will begin with the review and evaluation of each of the written proposals. The purpose of this evaluation process is twofold: (1) to examine the responses for compliance with this RFP; (2) to identify the complying firms that have the highest probability of satisfactorily performing the scope of services. The evaluation process will be conducted in a comprehensive and impartial manner. The evaluation will be conducted as set forth herein.

### **5.1 Preliminary Review**

DASNY reserves the right to reject and return to the proposer all proposals received after the RFP due date and time. All proposals will be reviewed to determine if they contain all required submittals specified in Sections 3 and 4. Incomplete proposals may be rejected.

### **5.2 Evaluation**

Proposals will undergo an evaluation process conducted by a Committee selected by DASNY. The Committee will evaluate the proposals based upon the criteria for selection set forth below.

### **5.3 Criteria for Selection**

The criteria for selection shall be the qualifications required by Section 2 and Section 3.

### **5.4 Interviews**

DASNY reserves the right to determine whether interviews will be necessary. The purpose of the interview is to further document the proposer's ability to provide the required services and to impart to the Committee an understanding of how specific services will be furnished. The proposed lead principal, as well as all other key personnel proposed to provide the services must be present and participate in the interview. The interview will be evaluated on the basis of whether it substantiates the characteristics and attributes claimed by the proposer in its written response to this RFP and any other information requested by the Committee prior to the interview.

## **Section 6 - Submission of Proposals:**

### **6.1 Submission of Technical and Cost Proposal**

Firms are encouraged to submit environmentally-friendly proposals. The following is a list of suggestions:

- use reusable binders;
- reduce the use of plastic dividers,
- reduce margins in page layouts,
- print in black and white only,
- use recycled paper; and
- use your firms own creative ideas.

Eight (8) double-sided copies of your technical proposal and three (3) double-sided copies of your cost proposal should be submitted on or before 5:00 p.m. on March 3, 2017 to:

Nicole White  
RFP Coordinator  
DASNY  
515 Broadway  
Albany, New York 12207-2964

**Section 7 - Important Information Affecting Proposers:**

**7.1 Proposal Requirements**

1. All inquiries regarding this RFP should be addressed to the following individual:

Nicole White  
Email: [RFPCoordinator@dasny.org](mailto:RFPCoordinator@dasny.org)

All questions must be submitted in writing to the RFP Coordinator by email, citing the particular proposal section and paragraph number. Proposers should note that all clarifications and exceptions, including those related to the terms and conditions of the contract are to be resolved prior to the submission of a proposal. A list of all substantive inquiries received with relevant responses will be posted on DASNY's website, [www.dasny.org](http://www.dasny.org).

2. A proposer may withdraw a proposal anytime prior to the final due date and time by written notification, signed by an authorized agent, to the contact person identified in Section 7.1.1 above. The proposal may thereafter be resubmitted, but not after the final due date and time. Modifications offered in any other manner, oral or written, will not be considered.
3. If a proposer discovers an ambiguity, conflict, discrepancy, omission or other error in this RFP, the proposer should immediately notify the contact person identified in Section 7.1.1 above. Notice of such error or omission should be submitted prior to the final due date and time for submission of proposals. Modifications shall be made by addenda to this RFP. Such clarifications will be given by written notice to all parties who have received this RFP.
4. If a proposer fails, prior to the final due date and time for submission of proposals, to notify DASNY of a known error or an error that reasonably should have been known, the proposer shall assume the risk of proposing. If awarded the contract, the proposer shall not be entitled to additional compensation or time by reason of the error or its late correction.
5. A proposer indicates its acceptance of the provisions and conditions enumerated in this RFP by submitting a proposal.



## **7.2 DASNY Requirements**

1. By submitting a proposal, the proposer covenants that the proposer will not make any claims for or have any right to damages because of any misinterpretation or misunderstanding of the specifications or because of lack of information.
2. DASNY shall not be liable for any cost incurred by the proposer in proposal preparation or in activities related to the review of this RFP or any interview costs.
3. Other than the contact person identified in Section 7.1.1 above, or their designee(s), prospective proposers shall not approach DASNY employees during the period of this RFP process about any matters related to this RFP or any proposals submitted pursuant thereto.

## **7.3 DASNY Rights and Prerogatives**

DASNY reserves the right to exercise the following prerogatives:

1. To accept or reject any or all proposals and amend, modify or withdraw this RFP.
2. To correct any arithmetic errors in the proposals.
3. To change the final due date and time for proposals.
4. To accept or reject any of the firm's employees or proposed sub-consultants assigned to provide services on this project and to require their replacement at any time. The proposer shall obtain the written approval of DASNY of changes to the technical proposal after it is submitted, including any changes with respect to sub-consultants. DASNY shall have the right to reject any proposed change to the proposer's technical proposal.
5. To waive or modify any irregularities in proposals received after prior notification to the proposer. This will in no way modify the RFP documents or excuse the proposer from full compliance with its requirements.
6. To consider modifications to proposals at any time before the award is made, if such action is in the best interest of DASNY.
7. To request a revised cost proposal from firms selected as finalists.
8. To accept a proposal for the engagement containing other than the lowest cost proposal.
9. To interview proposers prior to selection.
10. To reject any proposal containing false or misleading statements or that provides references that do not support an attribute or condition claimed by the proposer.

11. To begin negotiations with the next most responsive proposer to this RFP should DASNY be unsuccessful in negotiating a contract with the selected proposer within a reasonable time frame.
12. To contract with more than one firm.

#### **7.4 Contractual Requirements**

##### 1. Contract

- a. By submitting a proposal, the successful proposer agrees to reference the RFP as part of the resulting contract.
- b. DASNY may award a contract for any or all parts of a proposal and may negotiate contract terms and conditions to meet client program requirements consistent with the RFP.
- c. Award of a contract is subject to contract negotiation and approval of such contract by the appropriate DASNY authorities.

##### 2. Modification of Contract

- a. Any modification to the original contract signed between the successful proposer and DASNY will require the mutual consent of the successful proposer and DASNY.
- b. Any contract or amendments thereto will be considered effective only after approval by the appropriate DASNY authorities.

##### 3. Interpretation

The contract shall be construed and interpreted in accordance with the laws of New York State. New York State shall be the forum for disputes.

##### 4. Public Announcements

Upon selection of the successful proposer and contract execution, public announcements or news releases pertaining to the contract shall not be made without prior written consent of DASNY.

#### **Section 8 – Negotiation:**

After completion of the selection process, DASNY will commence finalization of the project scope and fee negotiations with the selected firm(s).

#### **Section 9 – Notification:**

Upon completion of the selection process, DASNY will notify all firms of its decision. Notification will be sent to the primary contact only. Shortly after notification the selected firm(s) will be posted on DASNY's website.