



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

<u>Section</u>	<u>Attachments</u>
RFP Instructions	1
Sample Contract Chapter One, Chapter Two & Chapter Three	2, 3, 4
Code of Business Ethics – Certification	5
Utilization Plan	6
Diversity Questionnaire	7
Use of Service-Disabled Veteran-Owned Business Enterprises	8
Classification & Rate Form	9
Base & Total Cost Spreadsheet	10
DASNY Multiplier Form	11
Sample Insurance Certificate & Requirements	12
W-9 Form	13
Procurement Lobbying Law – Certification	14
NYS Vendor Responsibility Questionnaire For-Profit Business Entity (Non-Construction)	15
Attachment A - Study	16
Attachment B – Directions	17

Section 1 - General Information:

1.1 Background

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 from Design Professionals to provide architectural/engineering design and construction administration services for the renovation of Building 39, New York State Office of Mental Health’s Central New York Psychiatric Center, located at 9005 Old River Road Marcy, New York (“the Project”). The rehabilitation project’s construction work will be within an occupied, forensic mental health care environment, with at least four (4) phases over an estimated eight (8) year period.

1.3 Key Events and Dates

<u>Event</u>	<u>Date</u>
Issuance of RFP	09/08/17
Pre-Proposal Meeting/Site Visit (Optional)	09/13/17 (10:00 AM)
Deadline for RFP Questions	09/21/17 (5:00 PM)
Post Responses to RFP Questions	09/26/17
Proposal Due Date	10/03/17 (5:00 PM)
Interviews/Presentations (no earlier than)	10/05/17
Notice of Award (no earlier than)	10/11/17

A **Pre-Proposal Meeting** will be held at **Central New York Psychiatric Center, Marcy, New York on September 13th at 10:00 AM**. Due to space limitations, firms are requested to limit the number of attendees to two (2) per team.

Firms attending the Pre-Proposal Meeting must submit the name(s) of the team members to the RFP Coordinator via e-mail (RFPCoordinator@dasny.org) no later than September 11, 2017.

The purpose of this meeting is to describe the project, goals and to answer any questions presented by the proposers. Representatives of DASNY, NYS Office of Mental Health, and Central New York Psychiatric

Center will be available to answer questions regarding this RFP. Immediately following the Pre-Proposal Meeting a tour of the site will be conducted.

Section 2 - Engagement Requirements:

2.1 Project Background

In 2009, DASNY engaged the services Delta Engineers, Architects, & Land Surveyors to conduct a study to provide information and recommendations regarding window replacement along with entire building heating, ventilation, and air conditioning (HVAC) upgrades at the OMH's Central New York Psychiatric Center. As referenced in the revised study volumes 1-6, this RFP seeks to bring Building #39 up to code and energy standards.

2.2 Project Scope of Work

The scope of services to be provided for this project is included within Chapter Two of the attached Sample Contract.

2.3 Qualifications and Certification Requirements

The Design Professional must demonstrate the following:

- Experience with projects of similar size, scope, and budget;
- NYS licensed architect/engineer;
- Project estimating capabilities;
- Experience with phased construction projects in occupied buildings;
- Experience with high security forensic facilities;
- Experience with projects utilizing USGBC LEED BD&C Certification; and
- Experience with projects utilizing Building Information Modeling Software.

2.4 Project Milestone Dates and Schedule

The following dates represent anticipated milestone dates. It should be noted that the construction of the Project will be phased based upon scope, budget, schedule, and other factors. This will be determined during the Design Phase of the Project. Construction phasing will be a critical component of the project and shall consider early bid packages to facilitate an expedited schedule.

Design Start (no earlier than)	November 1, 2017
Design Complete	May 31, 2019
Construction Start	July 30, 2019
Construction Complete	December 1, 2027

2.5 Project Construction Budget

The anticipated budget for the Project is between \$125 - \$150 million dollars. The budget shall be inclusive of design contingency, bid contingency and escalation to midpoint of construction.

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, 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. The primary contacts name, title, telephone number, fax number and email address for each subconsultant who will perform work under this contract.
 - c. The identities of the primary staff proposed to provide services relating to this RFP.
 - d. 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.
 - e. 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. If the proposer is a joint venture, the proposal shall be signed by the joint venture. Anyone signing the proposal as an agent shall file with it, legal evidence of his or her authority to execute such proposal.
- Tab 2. Provide a description of your firm's organization, team makeup including subconsultants and the resumes of partners, principals, associates, and other key staff proposed to provide services to DASNY, with particular emphasis on major capital renovation projects.
- Tab 3. A description of the firm's relevant experience providing architectural/engineering services on major capital renovation projects, specifically involving phased mental health, residential and healthcare programs, with a construction value greater than \$100 million (20-page limit). Project examples must include the following information:
- a. Official project name and location;
 - b. Building area (square feet) and number of beds, if applicable;
 - c. The design consultant of record, if other than your firm;
 - d. Overall project value;
 - e. The value of the work designed by your firm;
 - f. The timeframe in which the work was performed;
 - g. Summary of services provided;
 - h. References excluding DASNY employees with name, title, and phone number; and
 - i. Other experience of your firm that may be relevant to this selection.
- Tab 4. Provide a detailed description of your firm's approach to providing the requested scope of services (5-page limit). Include a timeline and schedule for completion of all aspects of the engagement, including a preliminary project schedule.

- Tab 5. Provide a completed Utilization Plan included in this RFP as an attachment, listing all proposed subconsultants including ESD Certified M/WBE firms you “may” use if selected for this contract. **No dollar amounts should be entered at this time.** Upon selection, 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 subconsultants.
- Tab 6. 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 7. Provide a completed Use of Service-Disabled Veteran-Owned Businesses Plan, included in this RFP as an attachment listing all proposed subconsultants 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. **No dollar amounts should be entered at this time.** Upon selection, a new plan with dollar amounts will be required. The SDVOB goals for this contract are 3%.
- Tab 8. Provide license numbers or copies of registration certificates, as appropriate. Business entities proposing to provide Professional Engineering Services must possess a Certificate of Authorization to provide Engineering Services in New York State from the State Education Department. Include a copy of this certificate if proposing engineering services.
- Tab 9. 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 10. Additional Information - The proposer must also provide statements regarding the following:
- 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.
 - 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.
 - Provide a description of how your firm will monitor the allotment and performance of work in order to achieve an efficient administration of the project.
 - Disclose any potential conflicts of interest (refer to the “Code of Business Ethics - Certification” attached).
- Tab 11. Executive Summary of why your firm should be selected for this project (1-page limit).

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:
- 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.
 - A statement to the effect that the price quoted is an irrevocable offer good for 120 days.
 - 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 subconsultants (if any) by using **one** of the following methods:
- Submit an approved Standard Cost Proposal Form or a previously approved multiplier from another State Agency.
 - Submit a request for a multiplier 2.5 or less on your firm's letterhead.
 - Submit the attached DASNY Multiplier Form with a current financial statement for a multiplier greater than 2.5.
 - 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. If submitting an approved Standard Cost Proposal Form a Classification & Rate Form is not required.
- Tab 4. Provide estimated manpower requirements and costs associated with performing the identified Scope of Services, as per the Base & Total Cost Spreadsheet included as an attachment to this RFP. A final total should be included.
- Tab 5. 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 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 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 October 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

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.

2. A proposer may withdraw a proposal any time 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 subconsultants 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 subconsultants. 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.

Attachment A

Building 39 Window/HVAC Study, prepared by Delta Engineers, Architects & Land Surveyors,
dated 05/20/2015

Link to Study: Will be sent in an email to each of the shortlisted firms.

Attachment B

Directions to pre-proposers meeting:

Driving Directions

From NYS Thruway (I-90): Take Exit 31 (Utica).
After toll, bear right onto North Genesee Street.
Right onto Rt. 5 West at first light.
Take first right onto Rt. 790 West.
Take Rt. 790 West for 2 miles to Rt. 49 West.
Take Rt. 49 West for 2.5 miles to Rt. 291 North.
From 291 North, take first left onto River Road.
Approximately one mile, turn right onto Bigelow Drive.
At top of drive, bear right (one way).
Turn left onto Mason Street.
Turn left onto Wright Ave. at stop sign.
Take first right into parking lot.

