



Hudson River Estuary Program (NYSDEC)

Request for Proposals Restoration of Watershed Connectivity February 2017

The New England Interstate Water Pollution Control Commission (NEIWPCC), in cooperation with the New York State Department of Environmental Conservation's (NYS DEC) Hudson River Estuary Program, is inviting proposals for projects that will help restore aquatic habitat connectivity for herring and eel, and reduce localized flood risks and conditions on Hudson River Estuary tributaries. NEIWPCC is accepting proposals to for the following three types of projects:

Project Type 1) Produce an inventory of road-stream crossings compiling field assessments of all culverts and bridges where a public road crosses a stream within an area specified by the applicant and using the protocols of the [North Atlantic Aquatic Connectivity Collaborative](#) (NAACC).

Project Type 2) Develop a municipal management plan for prioritizing & mitigating documented aquatic barriers (dams, bridges and culverts) to improve fish passage and reduce localized flooding caused by such barriers. The management plan should include conceptual-level barrier mitigation designs and at least one 100% shovel-ready design for mitigation. The management plan should be prepared for municipal adoption.

Project Type 3.) Produce 100% shovel-ready engineering designs for mitigating culverts that are barriers to fish migration at priority road-stream crossings assessed using NAACC protocols.

Each proposal is limited to one of three project types, however applicants may submit more than one proposal.

A total of \$200,000 will be made available for this RFP and we expect to fund multiple projects from each of the three project lists. NEIWPCC reserve the right to shift amounts allocated to project types in order to fund qualified proposals and may partially fund proposals as funding allows. The estimated allocation of funds per category is: \$50,000 for Project Type 1, \$75,000 for Project Type 2 and \$75,000 for Project Type 3.

This request for proposals (RFP) includes information on:

- I. Overview**
- II. Project Goal**
- III. Scope of Work**
- IV. General Guidelines for Applicants**
- V. Proposal Requirements**
- VI. Submission Process**
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Appendix A: Title Page Format

Appendix B: Overall Budget Form

Appendix C: Task-Based Budget Format

I. Overview

Streams and rivers are long, linear habitats that are vulnerable to degradation and fragmentation. Human infrastructure such as road-stream crossings (bridges and culverts) and dams can serve as barriers to the movement of aquatic and riparian organisms. Migratory fish such as river herring and American eel are especially sensitive to these disconnections as they require access to both aquatic and marine water bodies to successfully reproduce.

In addition to fragmenting aquatic habitat, undersized culverts and bridges may contribute to localized flooding and road washout, due to stream flow constriction.

Although road-stream crossings are widespread, there is no comprehensive database of road-stream crossings that is available across municipal boundaries and accessible by the public. The Hudson River Estuary Program has been conducting field assessments of road-stream crossings following the [North Atlantic Aquatic Connectivity Collaborative](#) protocols to support the development of a comprehensive database. Approximately 25% of the estuary watershed has been assessed as of 2016. A map of the assessed area is available at the [New York State Water Resources Institute](#) website. There is a need to continue to conduct road-stream crossing assessments in order to assess 50% of the estuary watershed by 2020, a priority of the Hudson River Estuary Program Action Agenda (2015-2020) to substantially improve water quality and reconnect habitat for migratory and resident fish.

Stream/road crossing inventories exist for a number of watersheds and municipalities that have NAACC documented road-stream crossings. The crossings within these inventories are ranked according to their passability score or coarse scale aquatic organism passage (AOP) score. Priority crossings for mitigation within these inventories receive a score of significant and severe barriers and sites having no AOP. The next step for these inventories is to prioritize road-stream

crossings for fish passage improvement, and bring in community needs and concerns such as addressing and mitigating localized flooding or road damage risks. Conceptual and shovel-ready mitigation designs are a necessary step for the construction of fully passable, flood resilient road-stream crossings.

This RFP seeks to fund road-stream crossing assessments, prioritizing the mitigation of road-stream crossings at a municipal-scale using existing assessments and designs for correcting inadequate road-stream crossings.

NEIWPCC

NEIWPCC is a not-for-profit interstate organization, 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 helps people enjoy, protect and revitalize the Hudson River 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 of its work. The program is guided by New York State's 2015-2020 *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. We coordinate with state and federal agencies.

In recent years, the Estuary Program has put increasing staff effort and program resources into helping communities adapt to climate change while also improving the long-term resiliency of the ecosystem. The project to be implemented through this RFP fulfills Benefits 1, 2, and 3 of the *Hudson River Estuary Action Agenda*, which can be found at: <http://www.dec.ny.gov/lands/5104.html>.

Using available resources, the successful applicant(s) will help achieve Benefit 2, Target 2 of the *Hudson River Estuary Action Agenda* and the following priorities:

- Conserve and restore habitat for migratory fish in tributary streams of the estuary;
- Support the restoration of free-flowing waters to benefit water quality, stream habitat and aquatic connectivity in tributaries of the estuary;
- Help communities with existing and projected impacts of localized flooding along tributaries of the Estuary;
- Conserve for future generations, the rich diversity of plants, animals and habitats of the Hudson River estuary ecosystem.

In addition to implementing the NYSDEC Hudson River Estuary Action Agenda, this RFP helps implement the Hudson River Estuary Habitat Restoration Plan, and it also supports the recommendations of the New York State's Comprehensive Wildlife Conservation Strategy and the protection of New York's Species of Greatest Conservation Need (SGCN).

II. Project Goal

The overall goal of this project is to improve habitat conditions for aquatic organisms, especially herring and eel, by restoring tributaries of the estuary to free flowing conditions that benefit stream habitat, aquatic connectivity and water quality. To accomplish this goal, three project types are identified in this RFP:

Project Type 1.) Produce an inventory of road-stream crossings within a defined geographic area,

Project Type 2.) Develop a municipal management plan for prioritizing and mitigating documented road-stream crossings that are barriers to aquatic organisms, and

Project Type 3.) Produce 100% engineering plans for mitigating a road-stream crossing that is a NAACC documented barrier to aquatic organisms. Each of the three project types have their own goals, scope of work and deliverables.

III. Scope of Work

This RFP is for services to accomplish the following three project types.

Each proposal is limited to a single project type (Project Type 1, 2 or 3), however applicants may submit more than one proposal.

The Scope of Work Tasks A, B and D are identical for each project type; Tasks C and E are project type-specific and refer to the Technical Review and Project Deliverables.

Project Type 1) Produce an inventory of road-stream crossings:

Produce an inventory compiling field assessments of all locations where a public road crosses a stream, using the protocols of the [North Atlantic Aquatic Connectivity Collaborative](#) (NAACC). The inventory should cover a manageable geographic area such as a HUC 12 sub-watershed or town. The applicant must identify the area. Approximately 25% of the Hudson River Estuary Watershed has already been assessed through the NYSDEC Hudson River Estuary Program Culvert Prioritization Project by agency and partner organization staff. More information about the project can be found at: <http://www.dec.ny.gov/lands/99489.html>. Applicants should focus on an area which has not yet been assessed. A map of currently assessed barriers can be found at: <http://wri.cals.cornell.edu/hudson-river-estuary/watershed-management/aquatic-connectivity-and-barrier-removal-culvert-dams>. Predicted road-stream crossings can be generated using the NAACC database. Please note that the scoring system for evaluating proposals favors those locations closer to the Hudson, because these are more likely to be biologically important barriers to mitigate for the movement of migratory fish such as herring and eel.

It is anticipated that budgets for this type of project will be scoped between \$8,000 and - \$11,000 to assess approximately 10,000 acres or 100 crossings.

Below are the tasks associated with this project type.

- A. Quality Assurance Project Plan (QAPP): Develop, submit and acquire approval of a Quality Assurance Project Plan (QAPP) for all project activities involving environmental data operations. This project will involve environmental data operations, and therefore the contractor is responsible for developing the project QAPP and submitting it to NEIWPC staff for review (see Quality Assurance Project Plan on page 9).
- B. Engage stakeholders and community throughout the project duration, including hosting a kick-off meeting describing project goals, involving NYSDEC Hudson River Estuary Program. The kick-off meeting should educate stakeholders on the importance of aquatic connectivity to ecology, water quality and resiliency to climate change. A wrap up meeting should also be scheduled. (see task D below).
- C. Conduct field assessments of all locations where a public road crosses a stream (culverts and bridges) using the North Atlantic Aquatic Connectivity Collaborative (NAACC) protocols. NAACC protocols will be followed in terms of data collection and quality control. Training can be provided by the NYSDEC Hudson River Estuary Program for applicants who have not yet been trained in the use of this protocol.
- D. Present results to stakeholders and community, including the NYSDEC Hudson River Estuary Program, in the form of a presentation and press release.
- E. Deliver a final report to the Hudson River Estuary Program, stakeholders and NEIWPC that includes: a map of the study area and data in the form of an ArcGIS geodatabase and Microsoft Excel workbook.

Project Type 2) Develop municipal barrier management plan:

Approximately 25% of the Hudson River Estuary Watershed has been assessed through the NYSDEC Hudson River Estuary Program's Culvert Prioritization Project by agency and partner organization staff. Within areas that have already been assessed, we are seeking proposals to develop locally-adopted management plans for mitigating the assessed problematic barriers. For purposes of this RFP, the management plan would, at a minimum, prioritize road-stream crossings that will benefit migratory fish (herring and eel) and identify opportunities for reducing local flooding hazards at locations prioritized for migratory fish. The management plan should include conceptual-level barrier mitigation designs and at least one 100% shovel-ready design for mitigation. The plan may also address other community priorities, such as the age of the infrastructure or importance of the road. The plan can be a stand-alone document or be included in an existing town plan or Natural Resource Inventory that is being updated. A map of currently assessed barriers can be found at: <http://wri.cals.cornell.edu/hudson-river-estuary/watershed-management/aquatic-connectivity-and-barrier-removal-culvert-dams>. Please note that the scoring system for evaluating proposals favors those locations closer to the Hudson, because these are more likely more biologically important barriers to mitigate for the movement of migratory fish such as herring and eel.

It is anticipated that budgets for this type of project will be scoped between \$20,000 and \$30,000 to create or update an infrastructure management plan, produce conceptual level designs and at least one 100% shovel-ready design.

Below are the tasks associated with this project type.

- A. Quality Assurance Project Plan (QAPP): Develop, submit and acquire approval of a Quality Assurance Project Plan (QAPP) for all project activities involving environmental data operations. This project will involve environmental data operations, and therefore the contractor is responsible for developing the project QAPP and submitting it to NEIWPC staff for review (see Quality Assurance Project Plan on page 9).
- B. Engage stakeholders and community throughout the project duration, including hosting a kick-off meeting describing project goals, involving NYSDEC Hudson River Estuary Program. The kick-off meeting should educate on the importance of aquatic connectivity to ecology, water quality, flooding and resiliency to climate change. It should stress the benefits of having a prioritization plan in place proactively. At least one additional stakeholder meeting should be held during the project duration to update stakeholders on the project progress. A wrap up meeting should also be scheduled (see task D below).
- C. Rank and prioritize existing road-stream crossings for mitigation according to habitat reconnection potential, NAACC barrier ranking, flooding concerns and other community needs. The priorities must address, at a minimum, the barriers identified as "Severe," "Significant" or "No AOP" in the NAACC inventory, and should note the opportunity to mitigate flooding at those locations. Develop a management plan that prioritizes the sites for mitigation, including preliminary designs and cost estimates for the highest priority

road-stream crossings to be mitigated, and at least one shovel-ready design for the highest priority site. Designs (.pdf and paper) should include delineation of the watershed upstream of the barrier, land use characteristics, cost and permitting estimates and a stream restoration plan. More information on fully passable structures can be found here: <http://www.dec.ny.gov/permits/49060.html>. Aquatic passage and ability to convey the 1% annual chance storm (100-year flood) must be supported. Applicants must include a consultation with the Estuary Program to review project designs. Secure the approval of local authorities for the management plan.

- D. Present results to stakeholders and community, including the NYSDEC Hudson River Estuary Program, in the form of a presentation and press release.
- E. Deliver a municipally-focused management plan (digital and paper copies) to the Hudson River Estuary Program, stakeholders and NEIWPC that prioritizes road-stream crossings to benefit migratory fish (herring and eel) and identifies opportunities for reducing local flooding hazards. The management plan should include mitigation designs, maps of project locations, and information about the benefit to target species and municipalities.

Project Type 3.) Develop shovel-ready road-stream crossing final designs: Produce 100% engineering plans for mitigating culverts that are barriers to fish migration at priority road-stream crossings assessed using NAACC protocols.

Approximately 25% of the Hudson River Estuary Watershed has been assessed using NAACC protocols. Within the areas which have already been assessed, we seek proposals for partners to develop one or more shovel-ready designs (.pdf and paper) for mitigating road-stream crossings that have been assessed by the NAACC protocol as “Significant” or “Severe” or “No AOP” barriers where there are also known related hazards for localized flooding. Identify and draft necessary permits and/or exemptions as a part of this process. Mitigation may include removal, replacement with right-sized culverts that restore natural stream bottom, or replacement with a bridge. Please note that the scoring system for evaluating proposals favors those locations closer to the Hudson, because these are more likely more biologically important barriers to mitigate for the movement of migratory fish such as herring and eel.

It is anticipated that budgets for this type of proposal will be scoped between \$7,000 and \$10,000 to produce 100% shovel-ready designs for one site.

Below are the tasks associated with this project type.

- A. Quality Assurance Project Plan (QAPP): Develop, submit and acquire approval of a Quality Assurance Project Plan (QAPP) for all project activities involving environmental data operations. This project will involve environmental data operations, and therefore the contractor is responsible for developing the project QAPP and submitting it to NEIWPC staff for review (see Quality Assurance Project Plan on page 9).

- B. Engage stakeholders and community throughout the project duration, including hosting a kick-off meeting describing project goals, involving NYSDEC Hudson River Estuary Program. The kick-off meeting should educate on the importance of aquatic connectivity to ecology, water quality, flooding and resiliency to climate change. It should stress the benefits of having a prioritization plan in place proactively. A wrap up meeting should also be scheduled (see task D below).
- C. Produce shovel-ready engineering plans (.pdf and paper) for sites that will benefit herring, eel or both by reconnecting habitat and restoring the natural stream channel. Proposals must also address local flooding hazards and concerns by designing resilient structures that will pass a 1% annual chance (100 year storm) flood. Designs should include cost, description of the permitting process and stream restoration plans. Designs will delineate the watershed upstream of the barrier and characterize the land use within the upstream watershed area. More information on fully passable structures can be found here: <http://www.dec.ny.gov/permits/49060.html>. Aquatic passage must be supported, and ability to convey the 1% annual chance storm (100-year flood). Applicants must include a consultation with the Estuary Program to review project designs
- D. Present preliminary results to NEIWPC and the Hudson River Estuary Program, identify proposed sites for additional study, and agree on sites for which designs will be developed.
- E. Deliver a final report to the Hudson River Estuary Program, stakeholders and NEIWPC identifying the design sites and designs, benefit to target species, and benefit to communities.

IV. General Guidelines for Applicants

Eligibility

Applicants who are eligible to submit proposals in response to this RFP include: for-profit organizations, academic institutions, non-profit organizations, and municipalities. If an applicant is not a municipality, a letter of support from the impacted municipality(ies) within the study area is highly recommended.

To be eligible for this RFP, the project must be within the Hudson River Estuary watershed, from the Federal Dam at Troy to the Verazzano Narrows. (See map at http://www.dec.ny.gov/docs/remediation_hudson_pdf/hregrantmap.pdf). The geographic scale of potential projects has not been predetermined and it is up to the applicant to propose an appropriate and manageable scale to accomplish project objectives.

Schedule

The project should take no more than 12 months, with all final reports and paperwork received by May 31, 2018.

The schedule for this RFP is estimated to be:

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| Informational Conference Call for Applicants | March 22 th 2017 |
| Proposals Due to NEIWPC | April 14, 2017 12:00 PM EDT (noon) |
| Applicants Notified of Funding Decisions (subject to change) | April 28, 2017 |
| Detailed Project Work Plans Due | May 12 , 2017 |
| Anticipated Project Start Date (subject to change) | May 31, 2017 |
| Quality Assurance Project Plan (QAPP) | To be completed prior to data collection activities |
| Quarterly Report | July 10 th , 2017 |
| Quarterly Report | October 10 th , 2017 |
| Quarterly Report | January 10 th , 2017 |
| Quarterly Report | March 31, 2018 |
| Final Report Due to NEIWPC | May 31, 2018 |

Applicants are encouraged to participate in an information meeting in person or via conference call. Hudson River Estuary Program staff will be available to answer clarifying questions.

Funding

Single submissions that address more than one project-type category will be eliminated from funding consideration.

There is a total of \$200,000 available for projects through this RFP to be allocated for top-scoring proposals within each project type. In the event that the top scoring proposals in each type do not use up available dollars allocated, the balance may be allocated to fund top-scoring projects within a different project type.

Proposals with budgets that exceed the identified funding for each project type cannot be considered, and will be disqualified. 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 submission) by NEIWPC and must be justified in the proposal. Indirect costs are allowed, but must be in line with the following procedures: Applicants with a valid Negotiated Indirect Cost Rate Agreement with their cognizant federal agency must use that rate, and must provide documentation of the negotiated rate. Applicants that do not have a Negotiated Indirect Cost Rate Agreement may charge a maximum indirect rate of 10 percent of direct costs.

Match

No match is required, although local match is encouraged as an indication of local support. Match contribution is used to help measure cost effectiveness of the proposal in the evaluation criteria.

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. **Quarterly reports** delivered to the NEIWPC project manager no later than the 10th day of January, April, July, and October during the duration of the project.
2. Approved **Quality Assurance Project Plan**. See below for additional information about this deliverable.
3. **Final Report** Final reports are to be submitted for review by the project manager (See Contact Information in Section IX) as draft in Microsoft word before being delivered in Adobe .pdf format as final. Final reports must include all GIS (geodatabase or shapefile), and relevant field work related data. Applicants should be prepared to provide digital and paper copies to the Estuary Program and local partners.

Quality Assurance & Quality Control Requirements

The NEIWPC 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 NEIWPC staff for review after the start of the contract period. NEIWPC will provide guidelines for QAPP development. The QAPP must be approved by the NEIWPC Project Manager, and the NEIWPC 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 NEIWPC and EPA QA officers. 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://www.neiwpc.org/quality/>

Questions regarding the QAPP process or the necessity of a QAPP for a proposed project should be directed to the NEIWPC 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 NEIWPC shall be made available to NEIWPC and the NYS DEC

Hudson River Estuary Program in the formats in which it is stored or maintained. NEIWPCC and the NYS DEC 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 NYS DEC Hudson River Estuary Program for any work completed under the grant award.

Geographic Information System (GIS) Data Requirements

GIS data produced under this project must adhere to the requirements of EPA's National Geospatial Data Policy (see http://www.epa.gov/geospatial/docs/National_Geospatial_Data_Policy.pdf). Specifically, the selected contractor must provide documentation for all produced data, including source information for each digital data layer (i.e., scale and accuracy, map projection, coordinate system, etc.), and specific information about the data layer itself (i.e., method used, geographic extent of data layer, file format, date of creation, staff contact, description and definition of data fields and their contents, related files, if any, and description of data quality and quality assurance methods used). The EPA Metadata Editor (EME) was developed to simplify and standardize metadata development and is a recommended tool for streamlining production of required metadata. The EME and related training materials can be downloaded from <https://edg.epa.gov/EME/>. Specific technical guidance on geospatial deliverables and acceptable formats can be found at <http://www.epa.gov/region02/gis/r2gisdeliverables.html>. GIS data produced under this project will be submitted to NEIWPCC as a deliverable.

Insurance Requirements

NEIWPCC requires its contractors to maintain workers compensation and liability insurance. More details will be provided to applicants selected for funding. Note this applies for all contractors, including sole proprietors. 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 any collaborators.. Page limits for each of these components are provided in the individual descriptions below. Proposals that do not contain all of the information requested and/or do not meet the format requirements will be eliminated from consideration. Pages that exceed the maximum number specified for each section will not be reviewed.

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://www.neiwpsc.org/contractors/opportunities.asp>. 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 NEIWPC for the project.
- Federal Tax Identification Number (FID)
- DUNS Number¹: A DUNS number is a unique, non-indicative 9-digit identifier that verifies the existence of a business entity globally. Contractors must provide NEIWPC with a DUNS number to comply with an administrative condition of NEIWPC's EPA grant (individuals are exempt).
- Certified Disadvantaged Business Enterprise (DBE): Indicate if your organization is a DBE.
- 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 the Hudson River estuary. **The abstract must fit within the title page.**

¹ Obtaining a DUNS number is free for all entities doing business with the Federal government. Under normal circumstances the DUNS number is issued within 1-2 business days when using the web form process (<http://fedgov.dnb.com/webform>).

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 of the following information:

- **Problem Description:** Briefly describe the project and any brief background or introductory information, including photos and GPS coordinates where relevant.
- **Objectives:** Outline how the project will achieve the goals of this RFP.
- **Methodology:** Outline the project's design and describe the methods and techniques that will be used to meet the project's goal and tasks.
- **Expected outputs and outcomes:** Describe the project's expected outputs and outcomes, and list and describe each of the specific deliverables and end-products.
- **Roles and Responsibilities:** Define the roles and responsibilities of all project participants.
- **Citations:** Include references as appropriate within the proposal narrative.

Map

Provide a map of the proposed study area that shows the watershed boundary.

Timeline

Provide a detailed timeline for meeting identified tasks and completing deliverables, with a completion date no later than March 31, 2018. All timelines should be stated in terms of Month #1, #2, #3, etc. rather than specific dates, e.g. "March 5, 2017." Although the project start date is anticipated to be on or about May 31, 2017, this date may change based on the time the actual agreement is established. The timeline must be no more than one 8.5" x 11" page with 1" margins and 11-point font.

Budget

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://www.neiwpc.org/contractors/opportunities.asp>. 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 multi-year budget that is broken down by project tasks split into 2017 effort and 2018 effort, as shown in Appendix C. For your convenience, an electronic version of the budget form is available at <http://www.neiwpc.org/contractors/opportunities.asp>. As you

develop this budget, keep in mind that contractual payments will be made based on this budget. This budget must be no more than two 8.5” x 11” pages with 1” margins and 11-point font. Matching funds should not be included in the task-based budget.

Qualifications

The applicant chosen for this project should possess the academic and/or professional expertise and certifications in the relevant subject areas, and have a strong track record in delivering projects of this nature and facilitating successful working relationships with communities, and municipal and state government. Applications must include identification of a New York State Licensed Engineer or landscape architect as part of project team. Applicants must be able to demonstrate extensive experience conducting flood mitigation studies, watershed hydrology/hydraulic surveys, review and interpretation of FEMA data and models including HEC-RAS, and knowledge of natural systems as potential flood mitigation features. Applicants should have experience and capacity to conduct and manage effective public meetings. Attention to detail in documenting qualifications that meet the scoring requirements is strongly advised. The qualifications section, including resumes, CVs, descriptions of past projects, etc. must not exceed 3 pages.

Letters of Support

Letters of support addressed to NYS DEC Hudson River Estuary Program to document organizational, state legislative, and/or community support for the project may also be attached. Letters of support must be submitted with the proposal. If an applicant is not a local government within the watershed, letter(s) of support from the municipalities in the study area is highly recommended.

There is no page limit for letters of support.

VI.Submission Process

Proposals must be submitted by no later than **12:00 PM EDT (noon) on April 14, 2017**. No late submissions will be considered. Applicants **must submit their proposals electronically** through the NEIWPC website. Unless prior approval is given, proposals received through e-mail, postal delivery, or any other delivery method will not be accepted.

To submit your proposal, go to www.neiwpc.org/RFP2/ 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 multiple files are to be submitted, you will need to create an archive file (.zip, or .rar) containing all of the files you wish to submit. The file name should be in the following format: **“Hudson River Estuary Program Restoration of Watershed Connectivity_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

submitted successfully, you will receive an email from NEIWPCCC (mail@neiwpc.org) with the subject line “RFP Submission Confirmation” confirming your submission. For questions regarding submission of proposals, contact Mike Jennings, NEIWPCCC, mjennings@neiwpc.org, (978)349-2520.

Pre Application Conference Call

A conference call will be held on **Wednesday March 22, 2017 at 10:00 AM EDT** to answer clarifying questions submitted by potential applicants. If you want to participate in the conference call, please send a request to participate to Megan Lung, Megan.Lung@dec.ny.gov by **close of business on March 20, 2017**. 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.

VII.Proposal Evaluation Process

NEIWPCCC 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 NEIWPCCC 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 on a sliding scale of points based upon the following criteria:

A. Technical and review (0-40 points)

Applicant should describe in detail the approach that will be used to implement each of the tasks identified in this Request for Proposals. Proposals will be evaluated based on the appropriateness and feasibility of the approach and methods

1. Overall proposal clarity (20 points)
 - a. Is the overall proposal and scope of work clear? (10 points)
 - b. Are clear deliverables described? (10 points)
2. Approach to the technical content of task C for the project type (20 points).
 - a) Does the approach align with appropriate methods? (15 points)
 - b) As described, do the final deliverables meet conservation expectations? (5 points)

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 up to two 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 also 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:

1. Experience and success of the team conducting the type of work described in the tasks. (5 points)
2. Knowledge of stream restoration principles and importance of aquatic passage as it relates to municipal infrastructure (5 points)
3. Experience and success of the team in restoration of Aquatic Organism Passage. (if provided, 10 points)

C. Watershed Characteristics and Biological Relevance to Hudson Estuary (3-40 pts)

Characteristics of the watershed or barrier being assessed or designed will be evaluated for relevance to the goals of this RFP. The applicant is encouraged to provide supporting information and data in the proposal to be awarded the points.

Importance of location (3-15 pts)

Proposals will receive only one score for questions one through four

1. Will this project type impact or address the first artificial barrier upstream on a Hudson River tributary? (15 points) OR
2. Will the project type impact or address the second artificial barrier upstream on a Hudson River tributary? (10 points) OR
3. Will the project type impact or address the third artificial barrier on a Hudson River tributary? (5 points) OR
4. Will the project type impact or address artificial barriers beyond the third barrier upstream on a Hudson River tributary? (3 points)

Biological Justification (10 points)

Is the importance of the project biologically justified, such as but not limited to, providing the presence of American Eel in the system being assessed or mitigated?

- Presence documented with citations from literature or studies (10 points)
- Presence noted without citations from literature or studies (5 points)
- No Presence (0 points)

Flood risk reduction potential (0-10 pts)

Degree to which the project will likely reduce documented local flood risk

- Project addresses or mitigates a Repetitive Loss Property(ies)
https://www.fema.gov/txt/rebuild/repetitive_loss_faqs.txt (5 points)
- Other relevant flood loss or risk data provided that illustrates need for project (5 points)

To receive flood risk reduction points, the applicant must provide documentation or reference to support claims. Culvert mitigation designs must pass a 1% annual chance storm (100 year storm) or greater.

Environmental Justice Location (0-5 pts)

The project contains, or is contained within, an environmental justice area as defined in DEC map (5 points) <http://www.dec.ny.gov/public/899.html>.

D. Local support from stakeholders. (0-10 points)

If an applicant is not a local government within the watershed, letter(s) of support from those municipalities in the study are highly recommended.

- Community support is demonstrated through letters of support from municipality(ies) in study area (5 points)
- Letters of support are provided by other stakeholders, such as watershed groups, county agencies, etc. (5 points)

E. Cost Effectiveness (0-30 points)

Cost effectiveness will be evaluated from the standpoint of both cost, balance and value. How well does the budget demonstrate value for cost? How well does the budget and project costs compare to other similar work, including competing proposals, in terms of providing the preferred values for habitat and flood resilience, and how well does it justify the balance of expenses across budget categories.

1. The project budget is exceptionally cost-effective for the ecological value provided, is well-balanced and does not contain extraneous expenses. Funding is accurately justified and described: (25 points) OR
2. The project budget is of average cost-effectiveness, and is appropriate for the complexity and size of the project: (10 points) OR
3. The project budget is not cost-effective, is confusing, is extraneous or excessive, or is not aligned with the project purpose: (0 points)
4. Applicant provides a match of 20% or greater (5 points)

VIII. Notification of Awards

Award notification to applicants is anticipated to be on or around April 28, 2017. Award recipients will be asked to submit a full scope of work, 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. NEIWPC 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

For information regarding the application process, contact Mike Jennings, the NEIWPC Project Manager:

Mike Jennings
New England Interstate Water Pollution Control Commission
650 Suffolk Street, Suite 410
Lowell, MA 01854
978-349-2520
mjennings@neiwpc.org

For information regarding the RFP topic, contact:

Megan Lung
NEIWPC/NYSDEC
21 South Putt Corners Road
New Paltz, NY 12561.
Megan.Lung@dec.ny.gov
845-633-5449

Appendix A: Title Page Format

Project Name:

Organization:

Primary Investigator Name and Contact Information:

Financial Contact Name and Contact Information (if applicable):

Project Partners (if any):

Funds Requested: \$

Federal Tax Identification Number:

DUNS Number:

Certified Disadvantaged Business Enterprise (DBE): (Yes or No)

Project Abstract

The abstract must fit within this title page, using a maximum of one single-spaced, one sided typed 8.5" x 11" page with 11 point font and 1" margins (remove this instructional text when completing page and prior to submitting proposal).

Appendix B: Overall Budget Form

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

Appendix C: Task-Based Budget Format

2017 Task-Based Budget

| Cost | Task Number | Task Name | Expected Date of Completion |
|-------------|--------------------|------------------|------------------------------------|
| | | | |
| | | | |
| | | | |

2018 Task-Based Budget

| Cost | Task Number | Task Name | Expected Date of Completion |
|-------------|--------------------|------------------|------------------------------------|
| | | | |
| | | | |
| | | | |