



Department of
Environmental
Conservation

Hudson River
Estuary Program



NEIW PCC

&

NYS DEC Hudson River Estuary Program

REQUEST FOR PROPOSALS

Climate-adaptive Design Phase II

June 2021

NEIW PCC, in cooperation with the New York State Department of Environmental Conservation's (NYSDEC) Hudson River Estuary Program, is inviting proposals from engineering, landscape architecture and other relevant consultants to partner with an eligible community to select elements from their Climate-adaptive Design (CaD) Studio and develop them to an implementable, community supported project.

This RFP is eligible for publicly owned land only. Eligible communities are those that have hosted a CaD Studio (Phase I) and not yet received Phase II RFP funding: Village of Catskill, City of Hudson, City of Kingston, and Town and Village of Ossining, NY. CaD Studio locations that have previously received Climate-adaptive Design Phase II funding in 2019 are not eligible for this RFP and include Kingston Point and Village of Piermont. Study areas from the Block Park and Rondout CaD Studios in the City of Kingston are eligible.

Design elements chosen for the project must meet the goals of the Climate-adaptive Design process to increase community resilience to sea-level rise and climate change through an engaged stakeholder process. Eligible projects must also enhance habitat value while reducing the impacts of shoreline and/or stormwater flooding. This may include options for strategic relocation, natural and nature-based shorelines, floodable parks, adapted structures and infrastructure, and stormwater green infrastructure.

Deliverables of this RFP include an Inclusive Stakeholder Engagement Strategy, Summary of Baseline Data, Climate Projections and Site Analysis, Summary of Permitting Meeting, and Draft and Final Preliminary Designs and Implementation Plan that include cost estimates and are legally and technically feasible (compare to 30% design milestone).

The project is expected to be awarded in August 2021 and completed within 18 months or no later than February 28, 2023. The deadline for proposals is July 23, 2021. There is a total of \$125,000 available for this RFP. It is anticipated that at least one successful proposal will be chosen.

Visit our website to learn more about previous Climate-adaptive Design Phase II projects at <https://wri.cals.cornell.edu/hudson-river-estuary/climate-change-hudson-river-estuary/climate-adaptive-design/implementing-climate-adaptive-designs/>.

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I. Overview

NEIWPCC

NEIWPCC is a regional commission that helps the states of the Northeast preserve and advance water quality. We engage and convene water quality professionals and other interested parties from New England and New York to collaborate on water, wastewater, and environmental science challenges across shared regions, ecosystems, and areas of expertise.

Hudson River Estuary Program

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

A Vital River Ecosystem:

- Sustainable Estuarine Fisheries
- Robust River Habitats
- Clean Hudson River Water

A Thriving Watershed:

- Healthy & Resilient Tributaries
- Resilient Waterfront Communities
- Conserved Natural Areas for Wildlife, Source Water, Climate Resilience, and Scenery

People Living Well with Nature: Recreation, Education, and Inspiration:

- An Informed and Engaged Public
- An Accessible Hudson River for People of All Ages and Abilities

The Estuary Program collaborates with many partners: nonprofit organizations, businesses, local governments, state, and federal agencies, and interested citizens to deliver these benefits. It develops knowledgeable and effective stewards of the estuary, using an understanding of ecology as a foundation for all its work. The program is guided by New York State's *Hudson River Estuary Action Agenda*—a forward-looking plan developed through significant community participation up and down the river. The Hudson River Estuary Program achieves real progress by providing technical assistance, grants, contracts, and scientific research to empower citizens and communities to make informed choices.

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

Diversity Equity, Inclusion and Justice (DEIJ)

NEIWPC and the Estuary Program recognize the importance and necessity of Diversity Equity, Inclusion and Justice (DEIJ) in the field of environmental conservation. Historically, Black, Indigenous and People of Color (BIPOC) have been under-represented in watershed conservation, protection and restoration efforts, and individuals with disabilities have been underserved by outdoor recreation opportunities. Low-income communities and rural low-income communities have also been historically left out of the environmental decision-making process. Communities with linguistic isolation such as refugee communities are also vulnerable to being left out of environmental conversations. A successful proposal will demonstrate how DEIJ will be addressed in their proposal.

Proposers should refer to the following websites and definitions of diversity, equity, inclusion, and environmental justice at:

- NYS DEC Diversity and Inclusion: <https://www.dec.ny.gov/about/121366.html>
- Office of Environmental Justice, NYS DEC: <https://www.dec.ny.gov/public/333.html>
- Diversity Resources in the Outdoors, Science, & Environmental Justice: <https://www.dec.ny.gov/public/120591.html>

[NEIWPC's Diversity, Equity, and Inclusion Commitment Statement](#) is available for reference as well.

The Climate-adaptive Design Process

Climate-adaptive Design is a three-phase process to inspire, advance and implement climate adaptation and resiliency projects in Hudson Riverfront communities. This RFP is only for Phase II projects, however the full process is described here for context.

Phase I: Inspiring change with the Climate-adaptive Design Studio (**already completed for eligible communities**)

Outcome: Student concept design boards

The Climate-adaptive Design (CaD) Studio is a program led by Professor Josh Cerra of the Cornell University Landscape Architecture Department, in partnership with the NYSDEC Hudson River Estuary Program. The CaD Studio links Cornell University graduate and undergraduate students in landscape architecture with high flood-risk Hudson Riverfront communities to explore design alternatives for more climate-resilient and connected waterfront areas. Community stakeholders are engaged throughout the studio to help inform the design process and support more usable results for the municipality that the student design teams are partnered with. The purpose of this phase is to engage and inspire communities to adapt to our changing climate using natural and nature-based solutions.

The four-month design process begins with student design teams studying the community's watershed setting, climate change projections, ecosystem context, and precedents for designing more climate-adaptive spaces, like floodable parks and wet flood-proofed buildings. Each community presents new challenges and opportunities for design innovation. Students infuse their designs with knowledge, opportunities, and challenges specific to each community that they uncover during site visits and engagement with local stakeholders. To date, the CaD Studio has been completed in the municipalities of Village of Catskill, City of Hudson, City of Kingston, Town and Village of Ossining, Village of Piermont, NY, and has produced design concept boards in each community.

- Watch a 5-minute video on the CaD Studio: <https://youtu.be/alkffkAwPwY>
- Read more information on the CaD Studio: <https://wri.cals.cornell.edu/hudson-river-estuary/climate-change-hudson-river-estuary/Climate-adaptive-design/>
- View concept design boards from previous CaD Studios: <https://trophic.design/cad/>

Phase II: Advancing Climate-adaptive Design (**supported by this RFP**)

Outcomes: Final preliminary designs and implementation plan (compare to 30% design milestone) for a community-supported project

The NYSDEC Hudson River Estuary Program and NEIWPC support, through this RFP, a consultant, in partnership with the municipality, to engage diverse stakeholders, review and select CaD Studio (Phase I) concepts, and design an implementable project at a specific site or sites. The purpose of this phase is to position projects for implementation (Phase III, not supported by this project) by building community support and completing preliminary designs with cost estimates and an implementation strategy including materials necessary for preliminary regulatory review and applying for possible future state or federal funding for final engineering, permitting and construction.

- Read about previous Advancing Climate-adaptive Design engineering projects: <https://wri.cals.cornell.edu/hudson-river-estuary/climate-change-hudson-river-estuary/climate-adaptive-design/implementing-climate-adaptive-designs/>
- Watch the Sustainable Shorelines webinar recording on Resilient Hudson River Shoreline Designs from the 2019 Climate-adaptive Design Phase II in Kingston and Piermont completed in 2020: <https://youtu.be/SjGR5wzWAuM>

Phase III: Implementing Climate-adaptive Design (**future and separate project**)

Outcomes: Final design and construction of a Climate-adaptive Design project

The NYSDEC Hudson River Estuary Program envisions the municipality or other public landowner implementing projects developed in Phase II, possibly with the help of funding from Environmental

Facilities Corporation (EFC), NYSDEC, Department of State (DOS), Federal Emergency Management Agency (FEMA) and other state or federal agencies.

- Read about current funding opportunities for climate adaptation:
<https://wri.cals.cornell.edu/hudson-river-estuary/climate-change-hudson-river-estuary/helping-communities-become-climate-resilient/funding-climate/>
- Read about previous implementation funding for climate adaptation:
http://www.dec.ny.gov/docs/remediation_hudson_pdf/financewr2019.pdf
- Learn about climate adaptation projects that have already been implemented on the Hudson: *Sustainable Shorelines Case Studies: Demonstration Site Network*:
<https://www.hrner.org/hudson-river-sustainable-shorelines/> and *Scenic Hudson's climate-adapted Long Dock Park in Beacon, NY*:
<https://landscapearchitecturemagazine.org/2016/03/29/alive-on-the-edge/>

II. Project Goal

The overall goal of this RFP is to support a consultant to partner with a community to select elements from their Climate-adaptive Design (CaD) Studio (Phase I) and develop them to an implementable project. See links to conceptual design boards in Appendix D.

When selecting design elements from previous CaD Studios and advancing and justifying overall project design, the successful proposal must directly address the Climate-adaptive Design Principles, as listed in the Scope of Work, as well as consider key resources from Sustainable Shorelines, listed in the appendix.

After the work supported by this RFP is complete, we anticipate the next step (Phase III) will be final design and construction led by the municipality or landowner, possibly with the support of additional state or federal funding resources.

Please see Appendix D for a list of helpful reference materials for preparing your project proposal.

Implementation of climate adaptation projects has been identified as a priority of the following NYSDEC's *Draft Hudson River 2021-2025 Action Agenda* Target:

By 2030, all high-risk waterfront communities have a climate adaptation plan and are implementing innovative strategies to adapt their waterfront to flooding, heat, and drought associated with rapid (medium high or high) climate change through the end of the century

This RFP also promotes adaptation actions from the NYS Climate Smart Communities Program, *Pledge Element 7: Enhance community resilience to climate change* (<https://climatesmart.ny.gov/actions-certification/actions/>).

III. Scope of Work

This RFP seeks a consultant to partner with an eligible municipality to complete Climate-adaptive Design Phase II, which includes final preliminary designs and implementation plan, using an engaged and inclusive stakeholder process and working from concepts developed by Cornell's Department of Landscape Architecture Climate-adaptive Design (CaD) Studio (Phase I).

The "planning team" for this work will comprise the consultant, municipal partner, Estuary Program and NEIWPC staff, and additional landowner(s), if relevant. Staff at the NYSDEC Hudson River Estuary Program and from the partnering municipality must be engaged throughout the project duration.

Minimum project deliverables are listed on page 11.

Project Tasks:

- A. Quality Assurance Project Plan:** If any environmental data are to be collected, an approved quality assurance project plan (QAPP) will be required before any data collection is done. See details on NEIWPC's Quality Management website: <http://neiwpc.org/our-programs/assessment-and-research/quality-management/> and in the "Quality Assurance & Quality Control Requirements" section below.
- B. Advance DEI in the field of conservation and stewardship:** Build relationships with traditionally underrepresented groups and individuals or disadvantaged communities, where applicable, or through other measures. While this will remain as a separate task for reporting metrics and adding additional emphasis to the issue, applicants should demonstrate how DEI will be addressed. Options might include but are not limited to:
- Demonstrating inclusion practices which are designed to build trust and involve underrepresented and underserved groups in environmental conservation and stewardship projects such as this one.
 - Addressing indigenous people and their relationship to the tributaries of the Hudson
 - Demonstrating an institutional commitment to DEI, such as adopting a DEI roadmap, participating diversity celebration months (e.g., Native American Heritage Month, Hispanic Heritage Month, Asian Pacific Heritage Month, Pride Month, Caribbean American Heritage Month, and Black History Month) or other proactive company policy.
 - Demonstrating how the voices and experiences of unrepresented, underserved, or disadvantaged groups or communities will be centered in any outreach or newsletter for the project.
 - Carrying out other methods which advance DEI goals, such as prioritizing actions which address flooding vulnerabilities affecting disadvantaged communities, where applicable.
 - Identify how the proposed Climate-adaptive Design Phase II project will benefit underserved or vulnerable communities, localized neighborhoods conditions, and build resiliency into infrastructure and access during extreme events.
 - Complete a summary of how DEI will be advanced in this project, including considerations and recommendations for community engagement and the design process as a result.
- C. Inclusive Stakeholder Engagement:** Create and implement an inclusive stakeholder strategy to ensure effective engagement of the community, municipality, landowner and community-based organizations as collaborators through the design process (see Inclusive Planning resources in Appendix D). Additionally, staff at the Hudson River National Estuarine Research Reserve and NYS Department of State, as well as relevant state and federal regulatory staff are key stakeholders to be consulted early in the design phase. It is recommended that a specific staff person with experience in community outreach be designated to lead direct stakeholder engagement. At minimum this task will include:
- Inclusive stakeholder engagement strategy document, developed with and approved by the planning team (municipal partner, Estuary Program, NEIWPC, and other

landowner(s), if relevant), that outlines who/how/when a representative cross-section of the community will be collaborators throughout the design process,

- Monthly calls with the planning team to review and adjust project plans and progress,
- Three or more meetings with community and agency stakeholders, including at minimum:
 - a kick-off meeting describing project goals and seeking feedback on the project approach, including site priorities, selecting which CaD Studio concepts to develop and municipal funding and implementation preferences,
 - an interim community stakeholder meeting to review and provide feedback on draft designs and implementation strategy, and
 - a final community stakeholder meeting to review final design and implementation strategy and discuss recommended next steps,
- One or more opportunities for the public to provide input on the design process via in-person comment boards, online surveys, meetings (combined with or in addition to those listed in the previous step), events, and/or other avenues, and
- One or more presentation of final designs to the public, via posters in public spaces, events, meetings, webinars, and/or other avenues.

D. Review & Select Design Concepts: Review existing conceptual design boards developed by students in the CaD Studio (see download links in Appendix D) for the identified site(s) and consider the Climate-adaptive Design Principles (listed below), community input and other state guidance and resources (see Appendix D). Complete a summary of the design concept review process, considerations, and outcomes.

Principles of Climate-adaptive Design

The design process and implementable project developed through this work should:

- meet the standards for receiving all applicable state and local permits and be justifiable as reasonable and necessary,
- consider up-to-date maps and data (see links below for regional climate projections and mappers for flooding and tidal wetland migration, etc.) on current and future projected conditions,
- adequately and cost-effectively withstand flood and erosion risk now and over the life of the project,
- be cost-effective over the long term given operation, ongoing maintenance, and replacement costs,
- maintain and add ecological value to the site(s) by conserving or restoring existing natural features and their potential pathways to migrate over time (for example, wetlands moving upland with sea-level rise),
- improve or create water-dependent or water-enhanced uses and/or relocate water-independent uses out of risk areas,
- aim to improve Diversity, Equity, and Inclusion (DEI) and mitigate negative impacts like green gentrification,
- create new opportunities for public access, education and/or interpretation that can be enjoyed throughout the year, and
- address contaminated soils, brownfields, etc.

E. Collect Baseline Data and Future Climate Projections for Designs: Compile existing data, climate projections and perform a site assessment and sampling needed to advance designs:

- Review existing data, documentation, and reports on present and projected future physical conditions at the site(s) and, if relevant, in the adjacent Hudson River, as well as natural resource information from publicly available sources.
 - New York State adopted Sea-Level Rise Projections, 6 NYCRR Part 490, inches of rise relative to 2000-2004 baseline: <https://www.dec.ny.gov/energy/102559.html>

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

- Hudson River Flood Impact mapper <http://www.ciesin.columbia.edu/hudson-river-flood-map/>
- NYSGIS Clearinghouse: <http://gis.ny.gov/gisdata/inventories/details.cfm?DSID=1136>
- NYS Climate Change Clearinghouse: <https://www.nyclimatescience.org/>
- Natural Heritage Database: <https://www.ncnhp.org/>
- Additional data and mapping resources in Appendix D
- Conduct a preliminary site visit attended by project partners including the Hudson River Estuary Program, NYSDEC and NYS DOS staff and municipal and elected officials.
- If relevant, conduct topographic and hydrographic surveys and soils evaluation. Evaluate legal or contaminant issues associated with project site(s).
- Complete a summary of the baseline data, climate projections and site analysis, including considerations and recommendations for the project design as a result.

F. Draft Preliminary Designs and Implementation Plan: With stakeholder input, complete draft preliminary designs and implementation plan for review and approval by the planning team. The draft implementation plan must include, at minimum:

- summary of project goals and community priorities,
- narrative of design selection process based on goals and priorities, existing site conditions, Climate-adaptive Design Principles and concepts, and input from planning team and community stakeholders),
- draft designs,
- visual renderings of proposed conditions,
- summary of stakeholder input,
- description of proposed site opportunities for public access and interpretation, including visual element for public interpretation of how the design addresses climate adaptation and resilience,
- key findings and proposed responses to identified regulatory issues,
- estimated construction costs,
- proposed funding source(s), and
- if applicable, phasing strategies.

G. Permitting Strategy: Attend a permitting meeting with relevant state and federal regulatory staff and the project planning team (municipal partner, Estuary Program, NEIWPC, and

other landowner(s), if relevant) for input on regulatory issues and permitting feasibility of proposed designs. Complete a summary of the meeting, including permitting feedback, considerations, next steps, and any changes that will be made to the project design as a result.

H. Final Preliminary Designs and Implementation Plan: Upon approval of draft preliminary designs and implementation plan by the planning team, and considering additional stakeholder input and permitting pre-application meeting, develop final preliminary designs (compare to 30% design milestone) and implementation plan. These deliverables should provide enough information for the municipality to enter final design and construction (Phase III), under a future and separate project, including:

- general project engineering design documents for proposed project at a specific site or site(s),
- summary of project goals and community priorities,
- descriptions of existing and build out conditions,
- detailed visual renderings for the proposed project design,
- justification for the proposed designs based on addressing goals and priorities, Climate-adaptive Design Principles and concepts, and input from planning team, regulatory staff, and community stakeholders,
- summary of stakeholder input,
- description of site opportunities for public access and interpretation, including rendering(s) of visual element for public interpretation of how the design addresses climate adaptation and resilience,
- summary of permitting requirements, considerations and recommendations for final design and construction of the project, including phasing,
- estimates for construction and ongoing maintenance costs,
- estimates for permitting, construction and phasing (if applicable) timelines,
- recommended project specifications, with detailed construction, maintenance and monitoring considerations,
 - if a shoreline treatment is proposed, the report must also include a draft project monitoring plan with measurable engineering and ecological success criteria for the shoreline site(s) that will be used to assess project success after construction using Sustainable Shorelines Assessing Ecological and Physical Performance: <https://www.hrnerr.org/udson-river-sustainable-shorelines/assessing-ecological-physical-performance>
- proposed funding source(s) and timeline,
- recommendations to incorporate this project into the municipality's hazard mitigation plan, local waterfront revitalization plan, brownfield opportunity area, or other process, and
- general implementation recommendations.

I. Completion of quarterly and final project status reports. These reports will be required to be provided to NEIWPCC and NYSDEC oversight staff for review. Delivery of reports on time and approval by NEIWPCC and NYSDEC oversight will be a condition of payment to the selected applicant.

The successful proposer will be expected to review drafts with NYSDEC, NEIWPCC, and the municipality and revise as needed. The NEIWPCC Project Manager, assisted by Estuary Program staff,

must approve drafts before the final product is produced. The selected consultant should plan for at least a month of time for review and revisions to the final design report in the timeline.

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

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

IV. General Guidelines for Proposals

Eligibility

Proposals are being sought from engineering, landscape architecture or other relevant consulting firms. The proposal must demonstrate clear support from the municipality (Village of Catskill, City of Hudson, City of Kingston, and Town and/or Village of Ossining) and any additional site public property owner(s) (e.g., state or federal agency). Non-profit organizations may also be project partners.

To be eligible for this RFP, the project site(s) must be publicly owned and within a previous Climate-adaptive Design (CaD) Studio study area in the Village of Catskill, City of Hudson, City of Kingston, and Town and Village of Ossining, NY. CaD Studio locations that have previously received Climate-adaptive Design Phase II funding in 2019 are not eligible for this RFP and include Kingston Point and Village of Piermont. Study areas from the Block Park and Rondout CaD Studios in the City of Kingston are eligible.

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

Schedule

All final reports and paperwork must be received and approved by the NEIWPCCC project manager by February 28, 2023.

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

Informational Pre-Proposal Virtual Meeting	June 30, 2021 10:00am
Proposals Due to NEIWPCCC	July 23, 2021 12:00 PM (noon)
Proposers Notified of Funding Decisions (subject to change)	August 6, 2021
Detailed Project Work Plans Due	August 20, 2021
Anticipated Project Start Date (subject to change)	September 10, 2021
Quality Assurance Project Plan (QAPP)	To be completed prior to data collection activities
Quarterly Reports	10th of the month following each quarter's close
Draft Final Progress Report Due	January 29, 2023
Approved Final Report and all Approved Deliverables Due to NEIWPCCC	February 28, 2023

*Schedule is subject to change.

Funding

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

Indirect Cost Policy

NEIWPCC recognizes that in some instances, applicants may have costs that are not directly attributable to projects or activities being funded but that the recovery of those indirect costs is necessary to effectively implement the respective projects or activities. In those situations, the following indirect cost policy applies:

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

Match

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

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

Deliverables

The primary deliverables for this project will be the following:

1. **Approved Quality Assurance Project Plan (QAPP)**. See below for additional information about this deliverable (Task A).
2. **Summary of DEIJ Activities Completed** (Task B).
3. **Stakeholder Engagement Strategy Document** outlining process, designated staff person and list of target stakeholders, and **meeting summaries** for all community meetings, in PDF format (Task C).
4. **Summary of CaD Studio Student Conceptual Design Review** (Task D).
5. **Summary of Baseline Data, Climate Projections, and Site Assessment** (Task E).

6. **Draft Preliminary Design Products** in PDF format (Task F).
7. **Draft Implementation Plan** in PDF format including (Task F) that includes all elements listed in Task F above.
8. **Permit Meeting Summary** including permitting feedback, considerations, next steps, and any changes that will be made to the project design as a result (Task G).
9. **Final Preliminary Designs** in PDF format as well as three paper copies (Task H).
10. **Final Implementation Plan** in PDF format as well as three paper copies including (Task H) that includes all elements listed in Task H above.
11. **Quarterly and Final Progress Reports** in PDF format. Quarterly reports need to be delivered to the NEIWPCP project manager no later than the 10th day of January, April, July, and October during the duration of the project. Payment of invoices will be contingent on approval of quarterly and final progress reports by NEIWPCP.

Quality Assurance & Quality Control Requirements

The NEIWPCP 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 NEIWPCP staff for review after the start of the contract period. NEIWPCP will provide guidelines for QAPP development. The QAPP must be approved by the NEIWPCP Project Manager and the NEIWPCP Quality Assurance Program Manager or his designee 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 60 days for the review and approval of your QAPP by NEIWPCP. It is appropriate for a consultant to utilize or build upon an existing, relevant, approved QAPP if one exists.

For more information about QAPPs, see <http://neiwpcp.org/our-programs/assessment-and-research/quality-management/> and <https://www.epa.gov/quality/guidance-quality-assurance-project-plans-epa-qag-5>

Questions regarding the QAPP process or the necessity of a QAPP for a proposed project should be directed to the NEIWPCP 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 NEIWPCP shall be made available to NEIWPCP and the NYSDEC Hudson River Estuary Program in the formats in which it is stored or maintained. NEIWPCP and the NYSDEC Hudson River Estuary Program shall have an unrestricted right to use any materials, software, maps, studies, reports, and other products or data generated using assistance funds or specified to be delivered. The contractor shall not obtain, attempt to obtain, or file for a patent, copyright, trademark or any other interest in any such materials, software, maps, reports, and other products or data without the express, written consent of NEIWPCP and subject to any other approvals required by state or federal law. Reports and other deliverables will credit NEIWPCP and the NYSDEC Hudson River Estuary Program for any work completed under the award.

Project Informational Signage

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

Insurance Requirements

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

Compliance Reporting Requirements

In addition to the quarterly reporting described above, the successful applicant must submit NYS DEC's "MBE Workforce Employment Utilization Report (Form EO162)" on a quarterly basis. The MBE Workforce Employment Utilization Report shall be submitted by the 6th day after the end of each calendar quarter. NEIWPC will provide copies of forms and instructions with the fully executed contract.

Vendor Responsibility Questionnaire

If at any time during project performance the total compensation to the successful applicant (or its subcontractor) exceeds or is expected to exceed \$100,000, or as otherwise requested by NYS DEC, the successful applicant shall be required to certify and submit a Vendor Responsibility Questionnaire.

Ethics Requirements

The successful applicant and its subcontractors (if any) shall not engage any person who is, or has been at any time, in the employ of the State of New York to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the "Ethics Requirements.") The successful applicant will make sure that its employees and its subcontractors' employees who are former employees of the State of New York comply with all applicable laws and prohibitions.

The State of New York may request that the successful applicant provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed as part of the project would be in conflict with any of the Ethics Requirements. The State shall have the right to terminate any agreement resulting from this process at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

V. Proposal Requirements

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

requirements may be eliminated from consideration. Pages that exceed the maximum number specified for each section may 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://neiwpc.org/about-us/working-with-neiwpc/>. 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.
- **Matching Funds:** Provide the amount of matching funds you and/or your partners will be contributing to the project (if any).
- **Federal Tax Identification Number (FID)**
- **DUNS Number:** A DUNS number is a unique, non-indicative 9-digit identifier that verifies the existence of a business entity globally. Contractors must provide 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.
- **Project Location Description (City, State):** Provide the state and city where of the primary location where work will be completed.
- **Project Location Coordinates (Latitude, Longitude):** Provide the latitude and longitude coordinates for the primary location where work will be completed.
- **Abstract:** The abstract must accurately describe the project being proposed and include: (1) the objectives of the project, (2) the methodology to be used, and (3) the expected outputs and outcomes of the project and how it addresses this RFP, including environmental benefits to Hudson River estuary. The abstract must fit within the title page.

Proposal Narrative

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

- **Project Description:** Briefly describe the project its relevance to the Resilient Communities benefit of the Hudson River Estuary Action Agenda. This section can also include brief background or introductory information.
- **Objectives:** Outline how the project will achieve the goal of this RFP.
- **Methodology:** Outline the project’s design and describe the methods and techniques that will be used to meet the project’s goal and tasks.
- **Site Identification:** Brief description of site(s) under consideration for the demonstration project. The site(s) must be located in a community that has completed a Climate-adaptive Design (CaD) Studio, be publicly-owned or provide a potential opportunity for public access.
- **Description of documented permission and support from the municipality** and, if applicable, any additional public landowners.
- **Expected outputs and outcomes:** Describe the project’s expected tangible outputs and outcomes, and list and describe each of the specific deliverables and end products.
- **Roles and Responsibilities:** Define the roles and responsibilities of all project participants.
- **Citations:** Include references as appropriate within the proposal narrative.

Timeline

Provide a detailed timeline for meeting identified tasks and completing deliverables, with a completion date no later than February 28, 2023. All timelines should be stated in terms of Month #1, #2, #3, etc. rather than specific dates, e.g. “March 5, 2021.” The project award notification is anticipated to be on or about August 6, 2021 with an estimated start date of September 10, 2021. The actual start date may change based on the time required to negotiate the contractual agreement. The timeline must be no more than one 8.5” x 11” page with 1-inch margins and 11-point font.

Budget

The project budget must be provided in two formats:

First, provide a complete, detailed budget using the format provided in Appendix B. For your convenience, an electronic version of the budget form is available at <http://neiwpc.org/about-us/working-with-neiwpc/>. The budget must be no more than one 8.5” x 11” page with 1” margins and 11-point font. Along with this budget, provide a brief justification (one-page maximum) for the proposed costs in terms of meeting project objectives. Include an explanation of how indirect costs are calculated. Justify subcontracts, if any. Identify and describe current and pending financial resources (including the source) for non-federal cost share or matching funds that are intended to support the project. Entities intending to use a Negotiated Indirect Cost Rate must provide documentation of their rate. This documentation does not count toward the page limit.

Second, prepare a budget that is broken down by project tasks, as shown in Appendix C. For your convenience, an electronic version of the budget form is available at <http://neiwpc.org/about-us/working-with-neiwpc/>. **As you develop this budget, keep in mind that contractual payments will be made based on this task-based budget, once tasks are completed.** Matching funds should not be included in the task-based budget.

Preferred Qualifications

The consultant chosen for this project should possess the academic and professional expertise and certifications in the relevant subject areas, and have a strong track record in delivering projects of this nature. Consultants should have experience and capacity to conduct and manage effective meetings with agency staff, partners and community stakeholders. Proposals must include identification of a New York State licensed engineer and landscape architect as the project co-lead. Consultants must be able to demonstrate extensive experience, as relevant to the project, in climate-adaptive strategies and

design, natural and nature-based solutions, sea-level rise, coastal and inland flood and erosion causes and processes, engineering, waterfront design as well as understanding of the current and future projected physical conditions of the Hudson River estuary. Depending on the project, legal expertise may also be needed on the project team. Attention to detail in documenting qualifications that meet the scoring requirements is strongly advised. Consultants must submit a resume for the team leader and additional technical support staff showing level of experience and educational background. Any members of the consultant's team that are former employees of New York State need to be listed as such in this section. The qualifications section, including resumes, descriptions of past projects, etc. must not exceed 6 pages.

Letters of Support/Testimonials

The proposing team must secure and document permission and support from the partner municipality that completed a Climate-adaptive Design (CaD) Studio (Phase I). This letter should clearly show that the partner municipality will be a key project partner and active member of the planning team, by dedicating a minimum of 25 hours to attend meetings/calls, support stakeholder engagement, provide design feedback and generally advance the project. It should also identify a municipal liaison that will be the primary point of contact (e.g., sustainability manager, planner, or other municipal staff). The benefit to the partner municipality is advancement of a resiliency project, including engineering development and stakeholder engagement, with no additional direct investment other than staff and volunteer time.

If a public landowner other than the partner municipality is identified in the proposal, a letter of strong support and willingness to participate in the process is also required from that property owner (e.g., state or federal agency). This RFP is eligible for publicly-owned land only.

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

VI. Submittal Process

Proposals must be submitted by no later than **12:00 PM (noon) on July 23, 2021**. No late submissions will be considered. Applicants **must submit their proposals electronically** through the NEIWPCC website. Proposals received through e-mail, postal delivery, or any other delivery method will not be accepted.

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

Submission Confirmation” confirming receipt of your submission. For questions regarding submittal of proposals, contact Peter Zaykoski, NEIWPC, pzaykoski@neiwpc.org (978) 349-2522.

Pre-Application Virtual Meeting

A virtual meeting will be held on **Wednesday, June 30 at 10:00 AM EST** to answer clarifying questions submitted by potential proposers. If you want to participate in the meeting, please send a request to participate to Libby Zemaitis, libby.zemaitis@dec.ny.gov by **12:00 PM on Wednesday, June 23, 2021**. 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 meeting will be answered and no additional questions will be answered after the meeting. It is not necessary to submit a question to participate in the meeting. All interested proposers will be contacted by email with details for joining the meeting. 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).

VII. Proposal Evaluation Process

NEIWPC 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 may be eliminated from the competition. If a proposal is eliminated, NEIWPC will notify the proposer. 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 may not be reviewed.

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

Technical review (0-30 points)

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

- Overall approach
- Consideration of Climate-adaptive Design Principles
- Stakeholder engagement process, including best practices for inclusive planning and current NYS Covid-19 protocols
- Permitting considerations and process
- Consideration of existing community goals and plans, and practicality to fully implement project
- Potential for proposed project site to become more adaptive or resilient to climate risks

Experience and qualifications (0-15 points)

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 score based on the following criteria with up to 5 points assigned to each, as follows: adequate = 1 point, average = 3 points, exceptional = 5 points, inadequate = 0 points:

- Overall experience and success of the team members conducting the type of work described in all tasks

- Relevant technical knowledge as it applies to practical applications on Hudson River waterfronts
- Experience and success of the team engaging and working with community, municipal, and state and federal agency stakeholders

Advance Diversity, Equity, Inclusion and Justice (DEIJ) in the field of conservation (0-10 points)

Points will be awarded on a sliding scale based on the degree to which the proposal incorporates DEIJ into proposal

- Clear, actionable path to address DEIJ specifically for this project (5-10 points)
- Proactive, institutional commitment to DEIJ, but proposes no specifics related to this project (1-5 points)
- Commitment to address DEIJ but does not provide clear details for how this will be attained (0-1 points)
- DEIJ not addressed (0 points)

Proposal clarity and readability (0-10 pts)

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

Letters of support (0-15 points)

Letters of support are provided by the municipality and any key landowner and/or stakeholders required to complete the tasks and ultimately implement the project and letters of support from other entities. Letters of support and testimonials about the capability of the proposer from stakeholders or clients from projects of a similar nature (up to 15 points: adequate = up to 5 points, average = 5 to 10 points, exceptional = 10 to 15 points, no letters of support = 0 points).

Cost effectiveness and implementation feasibility (0-20 points)

The financial evaluation will be based on cost effectiveness from the standpoint of cost, balance, value and justification (up to 20 points):

- the project budget is cost-effective for the value provided, is well-balanced and does not contain extraneous expenses. Funding is accurately justified and described. Factors are added which provide exceptional value. = 10-20 points,
- the project budget is of average or acceptable cost-effectiveness, and is appropriate for the complexity and size of the project = 1-10 points,
- the project budget is not cost-effective, is confusing, is extraneous or excessive, or is not well aligned with the project purpose = 0 points

VIII. Notification of Awards

Award notification to proposers is anticipated to be on or around August 6, 2021. Selected proposers may be asked to submit a revised work plan, timeline, and budget at this time. Projects cannot start until the contract is signed by both parties. If your project includes environmental data operations, this work may not begin until the QAPP is approved. **Note: NEIWPCC will not pay for expenses incurred prior to the contract start date.** Payment for costs incurred will be on a reimbursement basis per the contract payment schedule and contingent upon completion of quarterly progress reports and project deliverables.

IX. Contacts

NEIWPC and NYSDEC Hudson River Estuary Program will accept questions about the RFP topic by email through 12:00 PM (noon) on Wednesday, June 23, 2021. All questions will be addressed on the informational virtual meeting. To submit questions or indicate interest in participating in the meeting, please contact the NYS DEC Hudson River Estuary Program Project Manager:

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

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

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

For information regarding the proposal process, contact:

Peter Zaykoski
NEIWPC
650 Suffolk Street, Suite 410
Lowell, MA 01854
978-349-2522
pzaykoski@neiwpc.org