

**Information Bulletin No. 1**  
Request for Proposals (RFP) Guidelines and Checklist

The following is intended to guide you, as the WWTP Owner, through the process of soliciting an Engineer through the use of a Request for Proposal (RFP). Please refer to the following documents as you prepare for this process:

- Section 4.02 of the Upgrade Contract, “Selection of Engineering Services”;
- Task 1 of the WWTP Owner’s Scope of Work, “Procurement of Engineering Services”;
- Appendix A, Attachment A, “Engineer Request for Proposal”; and
- Appendix A, Attachment B , “Schedule of Work”, Milestones M1 & M2.

1. The **Notice to Commence Work** from EFC establishes the Commencement Date and officially begins the Schedule of Work under the Upgrade Contract. Consistent with the terms of the Upgrade Contract, the WWTP Owner is required by milestone M1 of the Schedule of Work to choose a minimum of two engineers and distribute RFPs to these Engineers within two months of the Commencement Date.
2. **The RFP is included in the Upgrade Contract package as Attachment A to Appendix A** and is located immediately after the WWTP Owner’s Scope of Work. Page four of the RFP includes blanks where the WWTP Owner is to enter the name, address, and telephone number of the WWTP Owner’s contact person and the date on which the engineering proposals are due. The complete RFP document, including **all seven sections** (see attached checklist), should be copied from the Upgrade Contract and sent to the engineers.
3. The Scope of Engineering Services (RFP Section 2) to be performed by the Engineer does not include specific administrative or program management tasks. At the WWTP Owner’s discretion, administrative or program management tasks may be required of the Engineer. Possible administrative or program management tasks include preparing Disbursement Requests (Appendix C - Payment Instructions and Forms) and Monthly Reports (Appendix F - Progress Report Requirements). The administrative or program management tasks you wish to have the Engineer perform should be outlined in the cover letter transmitting the RFPs to the Engineers. The appropriate Appendices for these extra services should be attached to the RFP you send to the Engineer. (see attached checklist)
4. As the WWTP Owner, you must send the RFP to a minimum of two engineers. Please forward a copy of the RFP cover letters to EFC, along with the administrative and program management information outlined in number 3 above, to indicate compliance with milestone M1. (see attached checklist)
5. Per Section 4.02 of the Upgrade Contract, engineers eligible to submit an engineering proposal to provide engineering services for a particular WWTP Upgrade must be listed on the Pre-Qualified Engineers List or have performed services at the WWTP in the past. The Pre-Qualified Engineers List was mailed to all WWTP Owners during April 1998 and is also available at EFC’s web site ([www.nysefc.org](http://www.nysefc.org)). An additional copy may be

obtained by contacting EFC.

Engineers who are not included on the Pre-Qualified Engineers List, but who have worked at your WWTP in the past, must additionally complete a qualification submittal as described in the Request For Qualifications (RFQ). This step is necessary to ensure minimum qualifications for all engineers involved in the WWTP Upgrade Program. The RFQ was sent to all WWTP Owners in November 1997, however, an additional copy may be obtained by contacting EFC.

6. NYCDEP requires that substantive technical questions and issues raised by Engineers which the WWTP Owner is not able to resolve may be forwarded to EFC. Such questions and issues must be submitted in writing to EFC by the WWTP Owner no later than 4:00 PM on the date five business days prior to the deadline for submission of engineering proposals to the WWTP Owner. EFC will solicit a response from NYCDEP and will transmit the response to the WWTP Owner for forwarding to the Engineer. EFC encourages the use of fax transmittals whenever possible.
7. If the WWTP Owner is planning to perform any of the engineering or construction management work with their own employees, a Technical Engineering Force Account proposal must be prepared by the WWTP Owner and included with the Engineering Proposals when submitted to EFC. The Technical Engineering Force Account proposal should be in accordance with Appendix B and should utilize the Force Account forms found in the Disbursement Request Procedure Manual.
8. If the proposed project includes funding for SPDES Upgrade work (Section 3.02D of the Upgrade Contract) the tasks included by the Engineer in Part I, Section B of the Engineering Proposal (RFP page 5) must be separated into SPDES and Regulatory Upgrade categories. If there are tasks which you desire to have your Engineer complete which are not covered by the SPDES or Regulatory Upgrade Program, please direct the engineer to list these separately under the heading of "Non-eligible".
9. In accordance with Section 4.04 of the Upgrade Contract, the approved Engineer should complete the appropriate City Vendor Information Exchange System ("VENDEX") questionnaire and submit the questionnaire to the City immediately at the following address: NYCDEP, 59-17 Junction Boulevard, 19<sup>th</sup> Floor, Corona, New York 11368, Attention: Agency Chief Contracting Officer. Any questions regarding the VENDEX procedure or requirements should be directed to Sandra Salter Jackson, Esq. at (718) 595-3520. EFC should be copied on the letter transmitting the VENDEX questionnaire. Note that previous VENDEX questionnaire/submittal(s) may not be valid and the above named person should be contacted directly to verify previously submitted VENDEX information.
10. Upon completing your review of the engineering proposals, you must submit two copies of the two best qualified and cost effective proposals to EFC for NYCDEP approval. The cover letter accompanying the proposals must include a statement indicating your preferred choice of Engineer and a statement of your determination that the two proposals

are the best qualified and cost effective proposals received. Per the Schedule of Work in the Upgrade Contract, the Engineering Proposals must be submitted to EFC no later than two months from the date the RFPs are sent to the engineers.

11. The Engineering Proposal from your preferred firm must be reviewed by EFC and reviewed and approved by NYCDEP. EFC may contact the WWTP Owner regarding the need for clarification or additional information during the review of the Engineering Proposals. Be sure to indicate the name and phone number of the person with your organization who may be contacted with questions regarding your preferred engineer.
12. After NYCDEP has approved the Engineering Proposal, the WWTP Owner will be authorized in writing by EFC to begin negotiating the engineering contract with the Engineer. The authorization letter from EFC will contain an additional *Information Bulletin* to guide the WWTP Owner through the contract negotiation process. The engineering contract and the Engineer's insurance must be approved by NYCDEP and the contract executed by the WWTP Owner and the Engineer before the Engineer may begin any work on the project.

Please send all correspondence and refer any questions regarding the RFP process to:

NYS Environmental Facilities Corporation

625 Broadway

Albany, NY 12207-2997

Att: Robert H. Sammons, P.E.

Phone: (518) 402-7461 or (800) 882-9721 (within NYS only)

Fax: (518) 486-9248

## RFP Preparation Checklist

*[This checklist is intended to assist you in preparing RFP packages to send to engineers of your choice from the Pre-Qualified Engineers List.]*

- Complete the RFP information (contact person, submission deadline, etc.)

The following RFP sections 1-7 must be included with all RFP packages:

- 1. Request for Proposals
- 2. Scope of Engineering Services
- 3. Standard Technical Specifications
- 4. Operation & Maintenance Manual Standards
- 5. Standard Engineering Clauses
- 6. Engineering Invoice Format
- 7. Preliminary Engineering Scope

The following items should be attached to the RFP **if** the Engineer is to provide the administrative services described in each:

- Appendix C - Payment Instructions and Forms
- Appendix F - Progress Report Requirements

The cover letter with the RFP packages should include the following information:

- Deadline for submissions
- Description of administrative or program management tasks to be performed by the Engineer
- A requirement that the engineer perform a site visit prior to submitting an Engineering Proposal
- A requirement that VENDEX forms be included with the Engineering Proposal
- A requirement that tasks and costs be broken into Regulatory Upgrade, SPDES Upgrade (*if applicable*), and Non-eligible.
- If the Owner is planning to perform Technical Construction Force Account work, state the nature of the proposed work.
- A copy to EFC's Technical Advisory Services unit, Attn: R. Sammons

The following item should be included if the Engineer is not listed on the Pre-Qualified Engineers List:

- Request For Qualifications (November 1997)

