

## TECHNICAL SUBMITTAL

**I-1. Statement of the Project.** The Pennsylvania Infrastructure Investment Authority (“Issuing Office”) seeks to acquire the services of a qualified contractor (“Offeror”) to provide the following:

- A.** Coordinate with the Issuing Office and other state agencies to develop and implement a public communications plan targeted toward municipalities and publicly and privately owned infrastructure including wastewater treatment facilities servicing the public with wastewater collection systems, decentralized wastewater treatment systems, non-point source (NPS) management and control facilities and stormwater facilities with municipal separate storm sewer system (MS4) permits that may have identified or documented potential water quality capital improvement needs.
- B.** Develop and implement a statewide needs survey system that identifies capital improvement needs for each of the following clean water subsets: wastewater, stormwater including MS4, NPS management and control, and decentralized wastewater treatment and collection infrastructure facilities in Pennsylvania.
- C.** Utilize existing tools, including but not limited to: the Pennsylvania Intended Use Plan, any and all relevant federal and state permit data, the Chesapeake Bay Phase III Watershed Improvement Plan (WIP), and any and all federal manuals or guidance pertaining to the U.S. Environmental Protection Agency’s Clean Watershed Needs Survey (CWNS) to perform a comprehensive assessment of the capital costs (or needs) to meet the water quality goals of the CWA in Pennsylvania and address water quality and water quality related public health concerns. The following have been included as attachments to this RFP: Work Plan Table for Scope of Work (SOW), EPA CWNS State Coordinator Manual dated March 2022 and list of prioritized clean water infrastructure in Pennsylvania.
- D.** Identify associated costs with enumerated capital improvement needs throughout Pennsylvania through a reasonably accurate project estimation system, including an organized regional total and cumulative statewide needs cost total. Follow the Work Plan for SOW as presented in the attachments and as amended by Issuing Office.

The successful Offeror must demonstrate a sound plan to effectively provide outreach to communities, providers and utilities to ultimately compile an accurate survey of Pennsylvania’s capital improvement needs with respect to clean water infrastructure. This outreach, surveying and research shall be accomplished by using file review procedures at entities including at the Pennsylvania Department of Environmental Protection (DEP) - See the following webpage for additional information on DEP’s Informal File Review procedures <https://www.dep.pa.gov/Citizens/PublicRecords/Pages/Informal-File-Review.aspx> .This survey will be used as a vital resource for EPA planning, state agency planning, and future federal resource planning. Particular attention should be focused on Environmental Justice (EJ) communities and disadvantaged communities.

State in succinct terms your understanding of the project presented, or the service required by this RFP.

### ***Offeror Response***

## **I-2. Qualifications.**

### **A. Offeror Overview.**

Based on the comprehensive overview of services requested, please include an overview of your experience, qualifications, and approach. In addition, please identify current clients for which you provide similar services.

Please identify any third-party ratings, references and/or awards that will help the Issuing Office identify your skills and competencies in the services requested.

### ***Offeror Response***

### **B. Prior Experience.**

Include experience in the types of services set forth in Section I-1 above, in particular services provided to other technical and financing agencies who serve municipal and private entities providing public water and sewer services. Experience shown should be work done by individuals who will be assigned to this project as well as that of the Offeror. Studies or projects referred to must be identified and the name of the customer shown, including the name, address, and telephone number of the responsible official of the customer who may be contacted.

1. Supply a description of relevant work completed in the last three years.
2. Describe the firm's experience and qualifications with respect to:
  - a. Developing and implementing a communications plan for outreach within the water/utility community;
  - b. Coordinating with municipalities, public and private utility operators, and any particular expertise in rural and/or urban areas;
  - c. Understanding and accurately estimating permitting, construction, and utility development processes;
  - d. Complying with federal and state reporting requirements, including project schedules, development of success metrics, and timely permitting.

- e. Coordinating with the U.S. Environmental Protection Agency (EPA) and required federal reporting, including but not limited to the completion and submission of a Clean Watershed Needs Survey on behalf of a State agency or State.

### ***Offeror Response***

#### **C. Personnel.**

Describe in narrative form the number of executive and professional personnel, analysts, auditors, researchers, programmers, consultants, etc., who will be engaged in the work, and indicate where these personnel will be physically located during the time they are engaged with Issuing Office. For key personnel, include the employee's name and, through a résumé or similar document, their education, certifications, licenses, and experience. Indicate the responsibilities each individual will have and how long each has been employed with the Offeror.

In addition, please identify any current and/or potential conflicts of interest with personnel and services to be provided in support of the Issuing Office.

### ***Offeror Response***

#### **D. Subcontractors.**

Provide a subcontracting plan for all subcontractors, including small diverse business and small business subcontractors, who will be assigned to this project. The selected Offeror is prohibited from subcontracting or outsourcing any part of the work plan without the express written approval from the Issuing Office. Upon award of the contract resulting from this RFP, subcontractors included in the proposal submission are deemed approved. For each position included in your subcontracting plan provide:

1. Name of subcontractor;
2. Address of subcontractor;
3. Number of years worked with the subcontractor;
4. Number of employees by job category to work on this project;
5. Description of services to be performed;
6. Percentage of time the staff will be dedicated to this project;
7. Geographical location of staff; and

8. Resumes (if appropriate and available);
9. Percentage of work to be complete by subcontractor for the work plan.

The Offeror's subcontractor information shall include (through a resume or a similar document) the employees' names, education and experience in the services outlined in this RFP. Information provided shall also indicate the responsibilities each individual will have in this Project and how long each has been with subcontractor's company.

***Offeror Response***

- I-3. Training.** If appropriate, indicate recommended training of personnel. Include the personnel to be trained, the number to be trained, duration of the program, place of training, curricula, training materials to be used, number and frequency of sessions, and number and level of instructors.

***Offeror Response***

**I-4. Financial Capability.**

- A.** The Issuing Office requires assurance that the Offeror is financially stable and requires that Offeror include with their response the latest annual report or a complete financial statement prepared by an independent certified public accountant, and include the balance sheet and the profit and loss statement for the Offeror's latest complete fiscal period. If a financial statement has not been completed for the fiscal period since the annual report of the Offeror, a statement from an independent certified public accountant must so state and the last complete financial statement must be included.

***Offeror Response***

- B.** A company or organization newly formed in order to respond to this RFP must demonstrate financial strength and stability through substantial commitment of the financial and business resources of the partners forming the new company. To that end, financial information must be submitted which substantiates that commitment and commits the partners to fulfilling the obligations of the new company that will act as Offeror.

***Offeror Response***

- C.** It is the prerogative of the Issuing Office to amend, waive, or otherwise change the specific provisions of this section as long as adequate financial information is submitted to demonstrate sufficient financial resources to follow-through on commitments made pursuant to this RFP, in accordance with all applicable laws or regulations. If the Offeror submits insufficient financial information or the financial information creates

just cause, the Issuing Office may require a performance bond or letter of credit in addition to the various service-level agreements (“SLAs”).

### **Offeror Response**

**I-5. Work Plan.** Describe in narrative form your technical plan for accomplishing the work using the task descriptions as your reference point. Modifications of the task descriptions are permitted; however, reasons for changes should be fully explained. Indicate the number of person hours allocated to each task. Include a Program Evaluation and Review Technique (“PERT”) or similar type display, time related, showing each event. If more than one approach is apparent, comment on why you chose this approach. See Exhibit A for a detailed Scope of Work (SOW).

**A. Tasks.** All tasks and reports are to be made available in an electronic format acceptable and compatible with the Issuing Office’s information systems. The Offeror will be responsible to develop a comprehensive, statewide needs survey system that engages clean water operators and utilities in, wastewater, and stormwater. This survey will detail capital improvement needs in each of the four clean water subsets (wastewater, stormwater, NPS and Decentralized facilities) and an estimated cost for those needs. This survey will ultimately serve as Pennsylvania’s submission to EPA’s Clean Watershed Needs Survey. Primarily, the Offeror will be responsible to:

1. Coordinate with the Issuing Office and other state agencies to develop and implement a public communication plan focusing on, but not limited to, municipal governments, public wastewater operators, non-profit organizations, and community groups focused on clean water or environmental stewardship;
2. Review the most current EPA Clean Watershed Needs Survey manuals and guidance;
3. Develop a survey of capital improvement plan needs identified in the Prioritized List of Capital Improvements – Exhibit C;
4. Develop a survey of capital improvement plan needs of entities not listed on the Prioritized List of Capital Improvements;
5. Develop a survey of capital improvement plan needs of entities with other infrastructure provided by Issuing Office during the project ;
6. Develop an ongoing communication plan with the Issuing Office and other state agencies to provide timely updates on the engagements of entities, ongoing planning and assistance, results, and responses;
7. Work with the Issuing Office and other state agencies to identify and coordinate any necessary follow-up activity as identified through initial communication;
8. Serve as a resource to provide educational and technical materials regarding potential infrastructure projects, as well as engage other program points of contact and external partners (where appropriate);

9. Compile and regularly update comprehensive documentation of program processes and activities to be made available to the Issuing Office and other state agencies upon request; and
10. Provide comprehensive, written progress reporting on the status of completed, ongoing, and anticipated efforts to the EPA, Issuing Office and other state agencies.

Please also provide an explanation of how Offeror can update the effort to scale based on the number of Recipients requesting assistance.

### ***Offeror Response***

**I-6. Reports and Project Control.** If the Issuing Office enters into an agreement with a successful Offeror, the Issuing Office will require submission of the following:

- A. **Status Report.** A comprehensive annual progress report and quarterly progress reports covering activities, problems, and recommendations. This report should be keyed to the work plan the Offeror developed in its proposal, as amended or approved by the Issuing Office.

### ***Offeror Response***

- B. **Problem Identification Report.** An “as required” report, identifying problem areas. The report should describe the problem and its impact on the overall project and on each affected task. It should list possible courses of action with advantages and disadvantages of each and include Offeror recommendations with supporting rationale.

### ***Offeror Response***

C. **Final Report.** A final report must be submitted to the EPA by the Issuing Office by May 31, 2023. As such, it is expected that the Offeror will submit a final submission for review by the Issuing Office and other state agencies no later than May 15, 2023. The Annual Final Report will detail the following:

1. Abstract or summarize the result of the study or service(s) provided in terminology that will be meaningful to management and others generally familiar with the subject areas.
2. Describe data collection and analytical and other techniques used during the study.
3. Summarize findings, conclusions and recommendations developed in each task.

4. Include all supporting documentation, e.g., flow-charts, forms, questionnaires, etc.
5. Recommend a time-phased work plan for implementing the recommendations.

### ***Offeror Response***

**I-7. Requirements/Emergency Preparedness.** To support continuity of operations during an emergency, including a pandemic, the Issuing Office needs a strategy for maintaining operations for an extended period of time. One part of this strategy is to ensure that essential contracts that provide critical business services to the Issuing Office have planned for such an emergency and put contingencies in place to provide needed goods and services.

**A.** Describe how the Offeror anticipates such a crisis will impact operations.

**B.** Describe the Offeror's emergency response continuity of operations plan. Please attach a copy of the plan, or at a minimum, summarize how the plan addresses the following aspects of pandemic preparedness:

1. Employee training (describe the Offeror's training plan, and how frequently the plan will be shared with personnel);
2. Identified essential business functions and key personnel (within the Offeror's organization) necessary to carry them out;
3. Contingency plans for:
  - i.. How the Offeror will handle staffing issues when a portion of key personnel are incapacitated due to illness, and
  - ii. How personnel in the Offeror's organization will carry out the essential functions if contagion control measures prevent them from coming to the primary workplace.
4. How the Offeror's organization will communicate with personnel and suppliers when primary communications systems are overloaded or otherwise fail, including key contacts, chain of communications (including suppliers), etc.; and
5. How and when the Offeror's emergency plan will be tested, and if the plan will be tested by a third-party.

### ***Offeror Response***

**I-8. Objections and Additions to Standard Contract Terms and Conditions.** The Offeror will identify which, if any, of the terms and conditions contained in the **Buyer**

**Attachments** section that it would like to negotiate and what additional terms and conditions the Offeror would like to add to the standard contract terms and conditions. The Offeror's failure to make a submission under this paragraph will result in its waiving its right to do so later, but the Issuing Office may consider late objections and requests for additions if to do so, in the Issuing Office's sole discretion, would be in the best interest of the Issuing Office. The Issuing Office may, in its sole discretion, accept or reject any requested changes to the standard contract terms and conditions. The Offeror shall not request changes to the other provisions of the RFP, nor shall the Offeror request to completely substitute its own terms and conditions for this RFP. All terms and conditions must appear in one integrated contract. The Issuing Office will not accept references to the Offeror's, or any other, online guides or online terms and conditions contained in any proposal.

Regardless of any objections set out in its proposal, the Offeror must submit its proposal, including the cost proposal, on the basis of the terms and conditions set out in the **Terms and Conditions** contained in the **Buyer Attachment** section or to other provisions of the RFP.

### ***Offeror Response***

#### **I-9. Regulatory Compliance.**

- A. The Offeror shall be required to attest to specific regulatory requirements as part of this Commonwealth contracting agreement. By acknowledging and affirming in a statement below, the Offeror agrees:
1. To be required to execute a tax certification in accordance with the applicable laws for the Commonwealth of Pennsylvania and the United States of America. The Offeror shall also attest in writing that they are not now in default of current or prior year tax payment to any level of government;
  2. That the Offeror and all subcontractors are authorized to do business in Pennsylvania. The Offeror acknowledges that if it is currently under suspension or debarment, its RFP proposals are disqualified. In addition, if the Offeror enters into any subcontracts under the contract with subcontractors who are currently suspended or debarred by the Commonwealth of Pennsylvania or federal government, or who become suspended or debarred by the Commonwealth of Pennsylvania or federal government during the term of the contract or any extensions or renewals thereof, the Issuing Office has the right to require the Offeror to terminate such contracts;
  3. That neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation, by any federal department or agency, from transactions involving the use of federal funds. Where the Offeror is unable to certify to any of the statements in this certification, the Offeror shall attach an explanation to their offer;



4. That as a governmental unit, the Issuing Office and its partners require that all suppliers doing business with the Issuing Office provide a statement of non-discrimination. By signing and submitting their proposal, the Offeror certifies that they do not discriminate in their employment practices with regard to race, gender, color, sexual orientation, gender identity or expression, creed, religion, age, ancestry, national origin, or disability;
5. That the proposal of the Offeror becomes public information. Proprietary information can be protected under limited circumstances such as client lists and non-public financial statements but may be subject to disclosure under the Pennsylvania Right to Know law. Pricing and service elements are not considered proprietary. An entire proposal may not be marked as proprietary. The Issuing Office has the right to use any or all ideas presented in any RFP proposal. Selection or rejection of the RFP proposal does not affect this right;
6. That the Issuing Office is exempt from Pennsylvania Sales and Use Tax and enjoys other federal and state tax exemptions afforded to public school entities and/or similar political subdivisions; and
7. That the Offeror will be required to negotiate terms and conditions for non-performance of contracted obligations mutually agreed upon and negotiated, consistent with the parameters in section I-5 (“Work Plan”).

***Offeror Response***