

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, public and private water systems, including drinking water, wastewater, and stormwater facilities, and potential non-point source project sponsors, that may have water infrastructure needs which would benefit from State Revolving Fund (SRF) Funding. The primary goal of the communication campaign is to increase awareness of availability of Infrastructure Investment and Jobs Act (IIJA) funding and educate applicants on the process to submit a complete funding application for SRF eligible capital improvement projects.
- B.** Develop and implement a technical assistance plan for eligible recipients (i.e. municipalities, public and private water systems, including drinking water, wastewater, and stormwater facilities, municipal separate storm sewer systems (MS4s) and potential non-point source project sponsors) that may have water infrastructure needs which would benefit from SRF Funding. For the purpose of this project, water system technical assistance is defined as assistance which increases the capacity of an eligible system to access the State Revolving Fund program by assisting in identification of needs, development of a plan to address those system specific needs, aid in the solicitation of technical professionals to design and permit solutions, and ready the project for submission of an accurate and complete funding request in a timely manner. This scope of technical assistance primarily includes but is not limited to: completing system specific feasibility studies, costs analyses, alternatives analysis, developing a prioritized work plan for a single project or multiple projects based on feasibility study findings, assisting with bidding project costs, and/or cultivating applicant acceptance and ownership of a project or projects.
- C.** Provide technical assistance to in-house or contracted engineering and/or design professionals within interested entities to accelerate projects toward design & engineering readiness. This type of assistance will be primarily directed towards but not limited to small and/or disadvantaged communities that may lack the capacity to facilitate project development and navigate the SRF or other funding mechanism processes and to non-point source project sponsors who may lack the technical and managerial skills to develop and implement an SRF eligible project.
- D.** Identify community water quality regulatory and financial needs and solutions including potential project funding, project timelines, construction durations, state and federal permitting requirements, and eligibility for the Pennsylvania’s SRF.

- E. Coordinate with the Issuing Office and other state agencies to highlight and promote highly qualified-projects that are eligible and ideal for technical assistance, culminating in on-going reporting to the Issuing Office and other agencies as identified.
- F. Provide technical assistance through training activities and outreach for Federal Davis-Bacon Prevailing Wage Rate Requirements and Disadvantaged Business Enterprise (DBE) Requirements. Training activities and outreach will be targeted to eligible recipients seeking SRF funding to ensure compliance with Davis-Bacon and DBE requirements. Coordination will be required with federal agencies with primary oversight of these federal requirements for SRF funding of projects including U.S. Department of Labor for most up-to-date requirements.

While there is no specific numeric goal of communities to engage in technical assistance, the successful Offeror must demonstrate a sound plan to effectively communicate the availability of this program to communities and potential project sponsors across the Commonwealth, with a particular focus on Environmental Justice (EJ) communities with respect to the federal Executive Order 14008 (Justice 40), small and/or disadvantaged communities, distressed communities, and communities that are in introductory stages of development.

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 detailed documentation of your specific experience, qualifications and approach completing the services requested for water infrastructure projects within the state of Pennsylvania. 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 within the state of Pennsylvania 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.

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. What 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.

- 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 for outreach and guidance to provide preliminary technical assistance to communities and project sponsors facing water infrastructure needs. The overall goal of this effort is to assess, and ultimately plan out, anticipated or unanticipated water infrastructure needs by: (1) providing clear and direct outreach to communities and entities throughout Pennsylvania; (2) identifying and engaging with communities and entities that have a potential need for technical assistance with respect to water infrastructure projects; and, (3) recommending appropriate actions through a work plan. 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, eligible recipients;
2. Develop and implement an outreach plan to interested facilities that details initial contact, development and scope of a feasibility study

and/or alternatives analysis, and any follow-up that may need to be done;

3. Identify critical components of potential infrastructure planning for interested entities, including water quality benefits, public health impacts, cost, impact on system-wide ratepayers, design and construction timelines, and overall contribution to Pennsylvania's water and environmental goals;
4. Serve as a resource for interested parties to address necessary procedural requirements, including design & engineering of a potential system improvements, the Commonwealth's IUP and project eligibility, Pennsylvania Department of Environmental Protection permitting requirements, and any and all state and federal construction requirements, as applicable;
5. Work with the Issuing Office and other state agencies to prioritize identified infrastructure needs that may be eligible for funding;
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 from participating entities;
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. Prepare efficient initial schedules for potential design and engineering, construction, permitting, and follow-up activities;
9. Provide educational and technical materials regarding potential infrastructure projects, and engage other program points of contact and external partners where appropriate;
10. 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
11. Provide comprehensive, written quarterly program reporting on the status of completed, ongoing, and anticipated efforts to 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 will be submitted at the end of FY2022-2023. This fiscal year end report will be submitted fifteen (15) days after the end of the prior fiscal year to the Issuing Office. 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.

1. Describe how the Offeror anticipates such a crisis will impact operations.
2. 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:
 - a. Employee training (describe the Offeror’s training plan, and how frequently the plan will be shared with personnel);

- b. Identified essential business functions and key personnel (within the Offeror's organization) necessary to carry them out;
- c. 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.
- d. 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
- e. 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