

Release Date: April 8, 2016

Lake Champlain Basin Program Announcement

Request for Proposals

Technical assistance in asset management for small and medium sized wastewater treatment facilities and associated infrastructure

The Lake Champlain Basin Program (LCBP) is pleased to announce a Request for Proposals (RFP) for services to operate a program of technical assistance in asset management, targeting governing boards, managers, and operators of small and medium-sized (less than 2.0 MGD) publicly-owned treatment plants in New York and Vermont. Up to **\$380,000** is available for this project. The successful applicant will deliver asset management training opportunities to small and medium sized wastewater treatment facilities in the New York and Vermont portions of the Lake Champlain watershed. The successful applicant will work with a minimum of twelve facilities to develop asset management plans tailored to each facility, and provide assistance with implementation of these asset management plans.

This work is applicable to Chapter 4 of the LCBP's long-term management plan - *Opportunities for Action: An Evolving Plan for the Future of the Lake Champlain Basin*. This project is supported by funds awarded to the New England Interstate Water Pollution Control Commission (NEIWGCC) by the US Environmental Protection Agency (US EPA) in support of the Lake Champlain Basin Program.

This Request for Proposals is available from the Lake Champlain Basin Program website. Look for the link on our homepage at www.lcbp.org. To receive a copy of the RFP via U.S. Postal Service, contact the Lake Champlain Basin Program office at (802) 372-3213 or toll free at (800) 468-LCBP in New York and Vermont.

To facilitate the review process, applicants must submit proposals in electronic format ONLY. Please see the RFP and the attached proposal format information for complete details.

DEADLINE NOTICE:

Electronic versions (no facsimiles or hardcopies will be accepted) of proposals must be RECEIVED by the Lake Champlain Basin Program office by 4:30pm EST on:

May 12th, 2016

LATE OR INCOMPLETE PROPOSALS WILL NOT BE CONSIDERED.

The successful applicant will be notified by late June, 2016. LCBP anticipates granting one (1) award from this RFP.

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0. Overview

Congress designated Lake Champlain as a resource of national significance with the Lake Champlain Special Designation Act of 1990. The Special Designation Act also established the Lake Champlain Basin Program (LCBP) and authorized it to receive direct support from U.S. EPA under the Clean Water Act. The LCBP works in partnership with government agencies from New York, Vermont, and Québec, private organizations, local communities, and individuals to coordinate and fund efforts that benefit the Lake Champlain Basin's water quality, fisheries, wetlands, wildlife, recreation, and cultural resources. These efforts are guided by the comprehensive management plan *Opportunities for Action: An Evolving Plan for the Future of the Lake Champlain Basin*.

Since 1992, the New England Interstate Water Pollution Control Commission (NEIWPCC) has served as the primary program administrator of LCBP at the request of the LCBP's Steering Committee, and administers the program's personnel and finances. NEIWPCC is a congressionally authorized not-for-profit interstate organization whose membership includes all six New England states and New York State and whose mission is to help its member states to realize their individual and collective clean water program goals.

I. Background

Municipalities are facing unprecedented needs associated with reducing nutrient load, as well as managing aging and deteriorating sewer infrastructure systems. Deteriorating systems pose real threats to human health and the environment. Aging systems also drive up the operation and maintenance costs, compromise service, and force municipalities to continually seek ways to defer maintenance or avoid upgrades.

Asset management provides operational, maintenance, and financial guidance to municipalities and wastewater treatment governing boards and plant operators in the management of public infrastructure investments. This approach involves identifying and mapping wastewater system assets, evaluating their condition and level of service needs, enacting management systems that maintain and replace equipment based on life cycle costing, optimizing phosphorus removal, improving plant efficiencies to reduce operational costs, and establishing a long-term funding plan to support existing and future demand for services and pollution reduction obligations.

II. Project Tasks and Deliverables

The Lake Champlain Basin Program seeks proposals for services to operate a program of technical assistance in asset management, targeting governing boards, managers, and operators of small and medium-sized publicly owned treatment plants in New York and Vermont. The project will use a programmatic structure that delivers technical assistance in asset management, optimized treatment plant operation at targeted plants with a focus on phosphorus removal, enhanced protection of public health, and improved environmental protection associated with reductions in phosphorus loadings to Lake Champlain and its tributaries. The contractor will seek to work collaboratively with municipalities to provide technical assistance and financial guidance in asset management of small and medium-sized publicly owned wastewater treatment plants in the New York and Vermont regions of the Lake Champlain Basin.

Outcomes of this project will result in improved wastewater treatment facility planning and performance, increased plant longevity, increased efficiencies, improved phosphorus removal, and fewer effluent limit violations.

Anticipated tasks will include the following elements:

1. Development of, or modification of existing, asset management training materials and workshops for priority publicly-owned small to medium wastewater treatment facilities (less than 2.0 MGD facilities). Asset management training opportunities should include standard components of WWTF asset management concepts, including, but not limited to, identification and mapping of wastewater system assets, installation of management systems that maintain and replace equipment based on life cycle costing, optimizing phosphorus removal, improving operating efficiency to reduce overhead costs, and establishing long-term funding plans for the facility.
2. Delivery of technical assistance in the form of asset management training services to WWTFs in the NY and VT portions of the Lake Champlain watershed. Completion of this deliverable will provide at least 6 WWTFs in New York and Vermont (minimum of 12 total) with an asset management plan specific to each WWTF that addresses the concepts, at minimum, identified in Task 1 above. Selection criteria for the 12 facilities should be provided in the proposal.
3. Provide a minimum of 6 months of assistance, post-development of the asset management training, to help the WWTFs identified in Task 2 above with implementation of their asset management plans. This may also include assistance in application for funding opportunities, e.g. for USDA Rural Development or other funds available to implement projects identified for facilities with asset management plans, or for State Revolving Fund programs targeting wastewater treatment facilities.

4. Provide documentation of improvements to each WWTF as direct outcomes of this project, as well as potential improvements (e.g. projects with identified funding streams beyond the scope of this award) to be made at each facility.

III. Summary of Other Requirements for the Selected Proposal

The selected applicant will be required to complete the following additional tasks:

1. Following initial notification of the award, a workplan must be approved by the LCBP before a contract agreement can be executed and the work begun. The workplan will detail the logistical elements of the project, including deliverables and project timeline. Information about the LCBP grant process, workplan development guidelines, and reporting requirements can be found on the LCBP website at: <http://www.lcbp.org/about-us/grants-rfps/grant-toolkit/>. The successful applicant will enter into a contract with NEIWPC in order to complete the work and will be compensated based on the completion of workplan deliverables.
2. The successful applicant will prepare brief quarterly reports documenting progress on each objective and task in the project (see attached Proposal Format Requirements). A final report fully documenting the project’s results will be required at project completion.
3. When approved, the final report will be edited for content and style in consultation with the successful respondent and may be published as part of the Lake Champlain Basin Program’s Technical Report Series, located here: <http://www.lcbp.org/media-center/publications-library/technical-reports/>. Some content of this report may also be used for future LCBP public outreach materials.
4. The successful applicant will complete the project according to the following schedule*:

Proposals Due to LCBP	4:30 PM EST, May 12th, 2016
Applicants Notified of Funding Decisions	Late June, 2016
Detailed Project Workplan Due	Mid July, 2016
Project Start Date	August 1, 2016
Project Deliverables and Final Report Due	March 30, 2018

*Schedule is subject to change.

5. All materials and work products, regardless of physical form or characteristics, produced as a result of this project shall be made available to LCBP, NEIWPC, EPA and the GLFC in a suitable file format. LCBP, NEIWPC, EPA and the GLFC 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, or work products without the expressed, written consent of LCBP and NEIWPCC, and subject to any other approvals required by state or federal law. Reports and other deliverables will credit LCBP, NEIWPCC, EPA, and the GLFC as funding partners for any work completed under the project contract.

6. GIS data produced under this project must adhere to the requirements of EPA's National Geospatial Data Policy (see http://www.epa.gov/geospatial/docs/National_Geospatial_Data_Policy.pdf). Specifically, the selected contractor must provide documentation for all produced data, including source information for each digital data layer and specific information about the data layer itself. GIS data produced under this project will be submitted to NEIWPCC as a deliverable.
7. If this project is funded through a U.S. EPA Assistance Agreement with NEIWPCC, NEIWPCC cannot use these funds to support a survey without completion of an Information Collection Request (ICR) describing the survey. The ICR must be submitted to the U.S. EPA Office of Management and Budget (OMB) for review and approval. This is an extensive process that can take several months to complete. A survey is defined as the collection of identical information from ten or more non-Federal respondents within a 12-month period. OMB approval must be received before any survey activities supported by NEIWPCC funds can begin.
8. NEIWPCC requires its contractors to maintain workers compensation and liability insurance. More details will be provided to the successful applicant at the time of contracting.

IV. Eligibility

Eligible organizations include colleges, universities, nonprofit organizations, for-profit companies, and non-federal government agencies. The selected contractor will be responsible for the completion of all project tasks. Individuals and representatives from organizations that participated in the development or review of this RFP and its contents are ineligible to apply.

V. Proposal Evaluation and Selection Criteria

Proposals received in response to this RFP will undergo an external peer review, and will be judged according to the following criteria:

1. Demonstrated technical knowledge of asset management programs for wastewater treatment facilities in the Lake Champlain region.
2. Demonstrated experience teaching or coaching the various aspects of Asset Management planning to the target audience identified in the RFP above.
3. Technical merit and applicability of the proposed product toward the priority objectives identified in this RFP.

4. Demonstrated ability to accomplish the deliverables outlined in Section II.
5. Clarity, conciseness and adherence to the proposal guidelines.
6. Demonstrated ability to create documents and user-friendly products that are accessible to and can be used by local partners working to management and efficiencies of wastewater treatment facilities in the Lake Champlain Basin.
7. Appropriateness of budget and budget justification, describing how the funds awarded will be used to produce the set of deliverables described in Section II.

VI. Available Funds and Match Requirements

A total of \$380,000 may be made available for this project. Proposals with budgets that exceed this amount will not be considered. Applicants may budget costs that are associated with the project as direct expenses, including personnel costs, travel, project supplies, meeting expenses, and subcontracts. Some allocation of project funds for indirect costs also is acceptable. However, **for projects in response to this RFP, the indirect budget must not exceed 21% of the direct project budget.** No in-kind or cash match is required, though match may be considered favorably during budget review. LCBP anticipates granting one (1) award from this RFP.

VII. Notification of Award

Award notification to applicants is expected in late June, 2016. The award recipient may be asked to submit a revised workplan, timeline, and budget at this time. Project work cannot begin until a contract is signed by both parties. LCPB and NEIWPC will not pay for expenses incurred prior to the contract start date. Payment for costs incurred will be on a reimbursement basis per the contract payment schedule and contingent upon completion of quarterly progress reports and project deliverables.

VIII. Period of Performance

Work is expected to begin on or shortly after **August 1, 2016** and is to be completed no later than **March 30, 2018** (see specific deliverable deadlines in Section II above).

IX. Schedule and Requirements for Proposal Submission

1. Please follow the format outlined in the attached Technical Proposal Format Requirements.
2. Hardcopies of the proposal will NOT be accepted on or before the submission deadline. Editable electronic copies ONLY will be accepted and must be received via email in Microsoft Word or Word-compatible format by 4:30pm EST on **May 12th, 2016** to ehowe@lcbp.org.

X. Contact Information

Direct all proposals and other inquiries to:

Eric Howe

NEIWPCC Environmental Analyst

Lake Champlain Basin Program Technical Coordinator

54 West Shore Rd., Grand Isle, VT 05458

p: 802-372-3213; f: 802-372-3233

ehowe@lcbp.org ; www.neiwpcc.org ; www.lcbp.org

Technical Proposal Format Requirements

Proposals should adhere to the following format and should not exceed a 10 page maximum length (font size 12), NOT including budget information, references cited and investigator resumes.

TITLE: - Concise and descriptive.

POINT OF CONTACT: Name, position, organization, address, telephone, fax and email of the person who will be the point of contact.

AUTHORIZED REPRESENTATIVE: Name, position, organization address, telephone, fax and email of the person who is authorized to sign the contract.

TRACKING INFORMATION: Federal Tax Identification Number, DUNS Number, and Certified Disadvantaged Business Enterprise (DBE): (Yes or No)

ABSTRACT: Brief description of proposed work.

INTRODUCTION: Overview of what the project is and what it will accomplish in relation to the RFP.

OBJECTIVES AND TASKS: List the project's objectives and describe in detail the tasks that will be performed relative to each objective, including methods and approaches.

DELIVERABLES: Detailed description of the planned products from each task of the project. Quarterly progress reports and a final report are required deliverables.

SCHEDULE: Timeline showing anticipated dates for completion of the major tasks and deliverables. Quarterly progress reports are due on the last day of December, March, June, and September. Work is to be completed within the specified performance period in the RFP.

DETAILED BUDGET JUSTIFICATION: Cost breakdown by major budget categories (i.e. personnel, equipment), linking costs to specific tasks/deliverables wherever possible, as seen in the example budget below. Breakdown should show costs to be covered by the LCBP award and other sources (if applicable), as well as any match amounts and totals. (1 page, not included in the 10 page maximum total for the proposal). See example provided below. Task-based budget templates are available on the LCBP website: <http://www.lcbp.org/about-us/grants-rfps/grant-toolkit/>

EXAMPLE Budget Spreadsheet

Budget Spreadsheet for LCBP Grants: Line Item by Task/Deliverable*						
	Task 1	Task 2	Task 3	LCBP Grant Total	Proposed Match (if any)	Project Total (Grant + Match)
Personnel	\$1,000		\$1,000	\$1,000	\$1,000	\$2,000
Fringe (x% of Personnel)	\$300		\$600	\$900		\$900
Travel	\$300		\$250	\$300	\$250	\$550
Supplies		\$1,250		\$1,000	\$250	\$1,250
Professional Services		\$10,000		\$10,000		\$10,000
Total Direct	\$1,600	\$11,250	\$1,850	\$13,200	\$1,500	\$14,700
Indirect (y% of direct)	\$240	\$1,688	\$278	\$2,205	\$0	\$2,205
TOTAL BUDGET	\$1,840	\$12,938	\$2,128	\$15,405	\$1,500	\$16,905

*The budget numbers in this table are used only for the purpose of example.

TECHNICAL REFERENCES CITED: List all references used for the proposal (not included in the 10 page maximum total for the proposal).

CURRICULUM VITAE/RESUME OF PRINCIPAL INVESTIGATORS: Include up to 3-5 references for prior work pertinent to the proposed project. Please limit to one page per investigator; not included in the 10 page maximum total for the proposal.