

**New York Department of State,
Division of Local Government Services
REQUEST FOR QUOTATION (RFQ) # 15-LGE-12**

GENERAL INFORMATION

The New York Department of State (DOS), Division of Local Government Services (DLGS), through this competitive Request for Quotation (RFQ), is seeking a local government efficiency Consultant, experienced in municipal finance and management, to assist the DLGS in the planning and conduct of local government roundtables and a statewide Municipal Restructuring and Local Government Innovation Conference. In addition, utilizing input from roundtables, the Consultant will assist the DLGS with the development and release of program guidelines for the \$150 million Municipal Restructuring Fund.

Submissions responsive to this RFQ must include: (i) a completed Proposal; (ii) a work plan; and (iii) completed Quotation Sheets, the forms for which are attached to this RFQ. The content required in each document is described below. Failure by a bidder to provide any of the required documents will result in rejection of the bid from consideration for this RFQ.

SCOPE OF WORK

The Consultant will assist the DLGS staff in the following tasks and must address the assignments listed under each task below.

Task 1: Local Government Roundtables Development and Facilitation

- Preparation for up to 6 roundtables, between mid-July and mid- September 2015, based around the following general geographic areas:
 - Western New York
 - Central New York
 - Finger Lakes
 - North Country
 - Capital Region
 - Mid-Hudson
- Oversee operational requirements for the roundtable discussions with up to 20 local government participants, including room layout, facility needs and equipment. (Specific costs for facility needs will be covered by DOS outside of this contract, if deemed appropriate.)

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- Recommendations to DOS about the format for the roundtables.
- Facilitation of the roundtables to include
 - providing a registration format for online and onsite registration
 - creation of a comment form in collaboration with DOS
- Contractor shall provide staff as needed to record the data derived from the discussions at the roundtables
- Assembly and analysis of the feedback and data from the roundtable participants into a usable format for DOS, to assist in developing the format for the Municipal Innovation Conference and Municipal Restructuring Fund regulations

Task 2: Design of the Municipal Restructuring and Local Government Innovation Conference

- Determination of final design and format of conference based upon data gathered from the roundtables
- Assist DOS with the selection of a venue for the conference
- Assist DOS with notification of the conference, a minimum of 2 weeks prior to the event
- Development of a registration format for online and onsite registration
- Assembly and analysis of attendees comments and programmatic themes from conference for use by DOS

Task 3: Development of Program Rules and Application Structure for the Municipal Restructuring Fund

- DLGS and the Contractor shall develop draft procurement for submission of local government grants to the fund. Options should include a long-term assistance program where concepts are generated and further incentivized through state funding and technical assistance
- Contractor will work with DOS to develop a submission process to include the potential for online application through the NYS Grants Gateway

The Consultant should be prepared to devote sufficient resources necessary to meet any procedural schedule, timelines, or deadlines directed by the DLGS Director.

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PROPOSAL

The Proposal must include the items described below. The combined length of items #1, #2, and #3 may be no more than ten (10) pages (separate of staff resumes) ; the length of item #4 and #5 may be no more than five (5) pages each.

1. A description of the Consultant's past experiences with local government administration and management, inter-municipal cooperation, local government consolidation, and an explanation of the Consultant's ability to coordinate and incorporate recommendations from multiple roundtables.
2. An overview of the work to be performed by the Consultant on the Municipal Restructuring and Local Government Innovation Conference and assistance to DOS in the development of program guidelines for accessing the Municipal Restructuring Fund.
3. The Consultant must possess a minimum of ten (10) years of experience in local government administration or in the direct provision of management and administrative services to local governments. It is preferred that the project manager possess a degree in public administration, economics or finance. Experience may be derived from an employee's direct work within a local government or through a firm's cumulative work advising local officials on management and administrations. A listing of the individual(s) who would be assigned to work on the program, including their name(s), position(s), and function(s). Include resumes listing total years of experience with local government administration.
4. A three (3) year listing of the Consultant's combined local government management case work. In this list, please demonstrate whether and how the Consultant met each client's needs and expectations in each case. Please also include the names, phone numbers and email addresses of three (3) references from this list of past clients whom the DLGS Director can contact for feedback regarding the Consultant's performance and final work products. Please provide this list as a separate attachment, no longer than five (5) pages, to the Proposal.

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5. A work plan along with the Proposal that describes the work products to be produced for each task listed in the Scope of Work. The work plan shall be no more than five (5) pages. The work plan should provide a description, with a reasonable level of detail, of how the Consultant will determine the degree to which the Company's cost of service studies are appropriate to allocate costs among tasks.

QUOTATION SHEETS

Each task requires a Quotation Sheet and will describe the Consultant's estimated number of work hours multiplied by the Consultant's contract rate; plus optional travel costs estimated based on approved NYS per diem rates, and total cost for that task. The work plan will cover the contract period beginning with the execution of the contract, anticipated to be July 27, 2015, and continuing through March 31, 2016; and will include the individuals to be assigned, the hourly rate and total cost of each individual, and a total cost per task. Hours listed are estimates for bidding purposes only, and the actual distribution of work hours among individuals is subject to discussions between the DLGS and the Consultant.

STANDARDS OF PERFORMANCE OF CONTRACTED SERVICES

The Consultant will be expected to produce work products that are a direct result of roundtables and consultations with local government officials in coordination with DLGS Staff. Work products, as specified in the contract, are to be completed in a timely and expeditious manner. The Consultant should be prepared to devote resource sufficient to meet any procedural schedules, timelines, or deadlines as directed by the DLGS Director. The DLGS Director will monitor the progress and results of the Consultant's work products through direct communications with the Consultant. Monitoring by the DLGS Director will include the following performance standards:

1. Project management effectiveness, including planning and timeliness of work products.

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2. Thoroughness of roundtable structure and local issue identification, development, and recommendations.
3. Thoroughness and clarity of written and oral communications to the DLGS Director and Staff.

QUANTITATIVE FACTOR FOR NYS CERTIFIED MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES

Pursuant to State Finance Law section 163(1)(j), a quantitative factor for certified Minority or Women-owned Business Enterprises (MWBEs), as defined in subdivision one section three hundred ten of the NYS Executive Law, will be included in the total evaluation scale. Two points will be added to the score of a responsive Consultant who is listed as an MWBE certified firm in the directory of New York State Certified MWBEs (“Directory”) or who enters into a partnership with a certified MWBE firm found in the Directory in response to this RFQ. The Directory of New York State Certified MWBEs can be found at: <https://ny.newnycontracts.com/frontend/diversityusers.asp>.

PUBLIC DISCLOSURE

The Consultant may not make media releases (written or oral) or other public disclosures related to this RFQ or the work to be performed without receiving prior written consent from the DLGS Director.

TERMINATION

The DLGS Director reserves the right to terminate the contract with the Consultant for any or no cause upon fifteen (15) calendar days’ written notice. In the event of termination other than as a result of default by the Consultant, the DLGS shall make payment for the services rendered prior to the effective date of termination, provided the DLGS Director has received proper and accurate invoices for those services rendered.

TYPE OF CONTRACT

Payment to the Consultant under a contract executed as a result of this RFQ will be based upon the hours actually worked by each individual based on authorized itemized expenses. Payments will be made for each individual at the quoted, contracted rate for that individual.

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INCURRING COSTS

The Consultant shall bear all costs it incurs prior to the receipt of a fully executed contract, including costs associated with preparing the Firm's response to this RFQ.

RESERVATION OF RIGHTS

The Department of State reserves all rights described in the attached Appendix, "Reservation of Rights," with respect to this RFQ and responsive submissions.

EVALUATION AND AWARD METHODOLOGY

The final award will be made based on the highest scoring bid. The Total Cost per the Quotation Sheet of each Proposal will receive significant weight, but will not be the sole determining factor in the selection process. Scores will be based on a total of 50 points. Factors for selection include qualifications of staff (15 points), costs (10 points), demonstrated approach in the work plan (10 points), past local government management work (5 points), and responsiveness of proposal (10 points). An additional 2 points will be awarded for MWBE certification or teaming. At this time, the DLGS anticipates to make a final selection of a Consultant no later than July 17, 2015. Within five (5) days of selection, the DLGS and the Consultant will execute a contract setting forth each party's responsibilities. This contract will incorporate this RFQ, the Consultant's Proposal, Quotation Sheet, and referenced attachment(s). The Consultant must be prepared to start work immediately upon contract execution.

The successful bidder will be required to provide proof of NYS Workers Compensation Insurance and Disability Insurance by submitting a current Workers Compensation Form and Disability Certification Form, or Exemption from Worker's Compensation and Disability Form. **The Department of State must be listed as certification holder in box 2 on the forms.** The only acceptable forms are listed below and are to be obtained by contacting your insurance carrier. Please note that **ACORD** Forms are **NOT** acceptable proof of insurance coverages.

- Workers Compensation Form - C-105.2 or SI-12 or U-26.3
- Disability Form - DB-120.1 or DB-155
- Exemption from Workers Compensation & Disability - CE-200

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RESPONSE DATE AND CONTACT INFORMATION

Submissions are due no later than July 10, 2015 at 4:00 p.m. **Submissions received after this time will not be considered.** Submit Proposals and all associated required documents to Mark Pattison, DLGS Director via email, with a read receipt request and “RFQ: 15-LGE-12” in the subject line, to mark.pattison@dos.ny.gov; and submit three (3) physical copies to the address below.

RFQ: 15-LGE-12

**Mark Pattison
NYS Department of State
DLGS – 10 Floor
1 Commerce Plaza
99 Washington Avenue, Suite 1020
Albany, NY 12231**

QUESTIONS

Please direct any technical questions regarding this RFQ to Mark Pattison, DLGS Director at mark.pattison@dos.ny.gov, and include “RFQ: 15-LGE-12” in the subject line. All questions must be received no later than July 1, 2015. Responses to all questions that have been received by the stated deadline will be posted on the Department of State’s website at: <http://www.dos.ny.gov/funding/> on July 3, 2015.

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Municipal Restructuring and Local Government Innovation Consultant Services Budget			
Task 1 - Local Government Roundtables Development and Facilitation (The number of round tables may change based on priorities and scheduling, not to exceed 6 events)			
Function	Estimated Hours (50 Hours per Roundtable)	Hourly Rate	Total Cost
Project Lead			
Staff			
Staff			
Staff			
Task Total	50 Hours (Total staff hours should add up to 50 hours)		
Task 2: Design of the Municipal Restructuring and Local Government Innovation Conference			
Function	Estimated Hours	Hourly Rate	Total Cost
Project Lead			
Staff			
Staff			
Staff			
Task Total	50 Hours (Total staff hours should add up to 50 hours)		
Task 3: Development of Municipal Restructuring Fund			
Function	Estimated Hours	Hourly Rate	Total Cost
Project Lead			
Staff			
Staff			
Staff			
Task Total	120 Hours (Total staff hours should add up to 120 hours)		
Project Total			

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Vendor Information

Name:

Address:

Phone Number:

Cell:

Email Address:

Vendor Contact (if different from Vendor Information)

Name:

Address:

Phone Number:

Cell:

Email Address:

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**Appendix
Reservation of Rights**

In addition to all rights described in the elsewhere in the Request for Quotations, the Department of State reserves the rights to:

1. Reject any or all proposals received in response to the RFQ;
2. Withdraw the RFQ at any time, at the agency's sole discretion;
3. Make an award under the RFQ in whole or in part;
4. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFQ;
5. Seek clarifications and revisions of proposals;
6. Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFQ;
7. Prior to the bid opening, amend the RFQ specifications to correct errors or oversights, or to supply additional information, as it becomes available;
8. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFQ amendments;
9. Change any of the scheduled dates;
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders;
11. Waive any requirements that are not material;
12. Negotiate with the successful bidder within the scope of the RFQ in the best interests of the state;
13. If unsuccessful in negotiating a state contract with the selected applicant within an acceptable time frame, the Department may begin state contract negotiations with the next ranked qualified applicant(s) in order to serve and realize the best interests of the state;
14. Utilize any and all ideas submitted in the proposals received;
15. Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 60 days from the bid opening;
16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and

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complete understanding of a bidder's proposal and/or to determine a bidder's compliance with the requirements of the solicitation;

17. Waive or modify minor irregularities (such as typographical errors) in applications received;
18. Not fund an application that fails to submit a clear and concise work plan or budget;
19. Adjust or correct cost figures with the concurrence of the applicant if errors exist and can be documented to the satisfaction of the Department of State and the State Comptroller;
20. Award more than one contract resulting from this RFQ;
21. In its sole discretion, determine the total number of awards to be granted pursuant to this RFQ; and
22. In the event that a Work Plan submitted following award during contract negotiations is substantially different from the application submitted through the procurement process, DOS reserves the right to require modifications to the Work Plan to bring it into conformance with the application. If no such modifications are made and approved within a reasonable time period, DOS may rescind the award and make funding available to the next highest scoring application.