MONROE COUNTY WATER AUTHORITY

REQUEST FOR QUALIFICATIONS/ PROPOSALS

FOR

NEW YORK STATE LOBBYING SERVICES

October 2014

475 Norris Drive
Rochester, New York 14610
# TABLE OF CONTENTS

I. Introduction........................................................................................................................ 1

II. Calendar of Events............................................................................................................. 1

III. Contact Information.......................................................................................................... 1

IV. Proposal Requirements .................................................................................................... 2

V. Contract Period.................................................................................................................. 2

VI. Background........................................................................................................................ 3

VII. Scope of Services ........................................................................................................... 3

VIII. Submittal Requirements ................................................................................................. 3

IX. Evaluation Criteria .......................................................................................................... 4

X. Selection Process ............................................................................................................. 4

XI. Proposal Submission ......................................................................................................... 5

XII. Contract Approval .......................................................................................................... 5

**EXHIBIT A** ...................................................................................................................................... 6
I. Introduction

The Monroe County Water Authority (the “Authority”) is seeking an experienced professional to represent the Authority in matters of State government. Activities will include:

1. Presenting policy recommendations to agencies and elected officials;
2. Monitoring legislation and policy as it pertains to Authority programs and administration; and
3. Influencing legislation.

The firm sought by the Authority must have sound knowledge of public policy, clear understanding of the legislative process, solid political networks, knowledge of key agency programs and staff, familiarity with current state issues, effective communication skills, and a successful track record working on behalf of similar public sector clients. They should also have a demonstrated experience and bi-partisan relationships with a network access to legislators, administrative staff, and representatives in the office of the governor.

II. Calendar of Events

<table>
<thead>
<tr>
<th>Event</th>
<th>Date</th>
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<tbody>
<tr>
<td>Issuance of RFQ/P</td>
<td>October 1, 2014</td>
</tr>
<tr>
<td>Deadline for Questions</td>
<td>October 10, 2014</td>
</tr>
<tr>
<td>Proposal Due Date</td>
<td>October 24, 2014</td>
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<tr>
<td>Board Award</td>
<td>November 13, 2014</td>
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</tbody>
</table>

III. Contact Information

Pursuant to State Finance Law sections 139-j and 139-k, this RFQ/P includes and imposes certain restrictions on communications between the Authority and Proposers during the procurement process. A Proposer is restricted from making “Contacts” (i.e., an oral, written or electronic communications which a reasonable person would infer as an attempt to unduly influence the award, denial, or amendment of a contract) from issuance of the RFQ/P through final award and approval of the resulting Procurement Contract by the Authority (“restricted period”) to any of the Authority’s staff or consultants other than the Procurement Officers designated herein. Contact is included among certain statutory exemptions as set forth in State Finance Law section 139-j(3) (a). The Authority’s Procurement Officers for this RFQ/P, as of the date hereof, are Nicholas Noce, Richard Metzger, Steve Savage, and Lisa Rawlins. Impermissible contacts to other Authority employees during the restricted period will be documented and reported to the New York State Authority Budget Office. Such Contacts will be considered by the Authority when determining the responsibility of the Proposer pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award, and in the event of
two findings within a four-year period, the Proposer will be debarred from obtaining
governmental procurement contracts.

Questions regarding this RFQ/P should be faxed to the Authority’s designated primary
contact, Nicholas Noce, at (585) 442-2692, or by e-mail at nick.noce@mcwa.com on or
before October 10, 2014.

Any Contact beyond that allowed in this RFQ/P may be grounds for disqualification from
the RFQ/P process.

IV. Proposal Requirements

Four (4) copies of your proposal are due no later than 4:00 p.m., October 24, 2014. The
sealed Proposals and Price Proposals should be submitted in separate envelopes. All
proposals should be delivered to:

Monroe County Water Authority
475 Norris Drive
Rochester, New York 14610
Attn: Nicholas Noce, Executive Director

Proposals received after the Proposal Due Date will not be considered, nor will faxed or
e-mailed proposals, whenever received. Failure to submit a proposal on time will not be
waived by the Authority under any circumstances (e.g., traffic conditions, mail or courier
failure, etc.).

The Authority will not provide reimbursement for any costs or expenses incurred in
connection with this RFQ/P, including the costs of preparing and submitting a response,
providing any additional information or attending an interview. All material that is
submitted in response to this RFQ/P will become the sole property of the Authority. The
Authority expressly reserves the right to utilize any and all ideas submitted in the proposals
received unless covered by legal patent or proprietary rights which must be clearly noted
in the proposal submitted in response to the RFQ/P.

Note that the Authority is requiring your Statement of Qualifications and Fee Proposal be
submitted in separate documents and in separately sealed envelopes.

V. Contract Period

The term of the contract will be for a period of three years.
VI. Background
The Authority is a public benefit corporation organized under the Public Authorities Law of the State of New York. The Authority was created by State legislation enacted in 1950, (Public Authorities Law, Sections 1095 et seq.). The Authority provides water service to approximately 700,000 residents in its service area, comprising all or parts of the counties of Monroe, Genesee, Livingston, Orleans, Ontario and Wayne.

Additional information regarding our operations can be found at the Authority’s website at www.mcwa.com.

VII. Scope of Services
The firm or person will be responsible for monitoring, identifying and prioritizing opportunities and challenges for the Authority with respect to issues under consideration by the State Legislature, Governor’s office, and relevant state agencies. Activities shall include:

1. Identify and act appropriately on state legislation and legislative proposals;
2. Identify and secure funding opportunities that may arise from proposed legislation.
3. Draft legislation, appropriation requests and amendments, as necessary.
4. Provide assistance to the Authority staff in arranging and conducting lobbying visits to Albany.
5. Lobby for the Authority’s position on legislation, appropriations and matter of interest including:
   a. Direct contact and communication with the Executive Branch;
   b. Direct contact and communication with State Legislators and staff; and
   c. Direct contact and communication with representatives of State agencies.
6. Provide regular briefing reports for Authority staff on key issues and legislative activity.

VIII. Submittal Requirements
Qualification packages for individuals, firms should include:

1. Contact name and telephone number, address and e-mail address;
2. Overview of the organization/team;
3. Description of experience with the state legislative process;
4. Examples of issues/programs worked through the legislature, particularly those involving public authorities.
5. List of current clients and past clients of a similar nature.

6. Costs associated with proposed plan.

7. Three references with name, title, telephone number and e-mail address.

8. Four (4) proposals must be received at the Authority’s General Offices no later than 4:00 p.m. on October 24, 2014. They can be sent by U.S. Postal Service, commercial carrier, or hand-delivered to the Authority at 475 Norris Drive, Rochester, New York 14610.

9. Fully executed copy of Exhibit A: Offerer Certification Compliance With State Finance Law §139-k

IX. Evaluation Criteria

A Selection Committee consisting of Authority staff will evaluate the proposals. This Selection Committee will make its recommendations to the Authority Board for final approval. The Selection Committee will consider the following factors, not necessarily listed in the order of importance:

1. Qualifications of the individual/organization.
   a. Overall experience/track record of individual/organization.
   b. Recent public sector experience including similar lobbying efforts.

2. Summary of proposed plan.

3. Quality and clarity of proposal.

Following its review of the Statement of Qualifications forms, the Authority will review the proposal for Fee Compensation from the firm the Authority, in its sole discretion, determines to be the best qualified.

X. Selection Process

The Selection Committee will initially review all proposals to determine responsiveness. Any proposal that does not address all requested requirements or is incomplete may be rejected.

The Selection Committee may also conduct interviews of Proposers found to be most qualified to perform the services required, based upon the criteria listed in this RFQ/P. If so, Proposers will be notified in advance of the exact interview date.

Prior to award of any contract, the Selection Committee will conduct a vendor responsibility determination and may require eligible Proposers to answer questions and provide additional information to supplement the information provided in the Form of
Offerer Disclosure of Prior Non-Responsibility Determination (See Exhibit A) to assist the Selection Committee in making such a determination. All Proposers will be notified in writing once one or more firms have been selected.

XI. Proposal Submission

Proposals must include a cover letter indicating the mailing address of the office from which the proposal is submitted, the name and e-mail address of the individual who will represent the firm as the primary contact person for the proposal, and the telephone and facsimile numbers of the primary contact person.

Non-responsive proposals include, but are not limited to, those that:

a. Are irregular or do not conform with RFQ/P requirements and instructions;

b. Are conditional; or

c. Are not submitted on time or are submitted at any time via facsimile or e-mail. The Authority may waive minor informalities or irregularities in a proposal that are merely a matter of form and not substance and the correction of which would not be prejudicial to other proposals.

Joint proposals will not be accepted unless the joint proposers can demonstrate that they can fully meet the Authority’s legal needs without causing any undue overlapping expense.

XII. Contract Approval

The Authority’s selection of one or more successful Proposers shall require the approval of the Authority Board of Directors. No payment shall be made under a contract until such approval is obtained.
**EXHIBIT A**

**FORM OF OFFERER DISCLOSURE OF PRIOR NON-RESPONSIBILITY DETERMINATION**

Name of Individual or Entity Seeking to Provide Legal Services to the Monroe County Water Authority:  
______________________________________________________________________________

Address: ____________________________________________________________________  
____________________________________________________________________

Name and Title of Person Submitting this Form:  ______________________________________  
____________________________________________________________________

Contract Procurement Number:  141001-01

Date:  ________________________

1. Has any Government Entity made a finding of non-responsibility regarding the individual or entity seeking to enter into the Procurement Contract in the previous four years?  (Please circle):

<table>
<thead>
<tr>
<th>No</th>
<th>Yes</th>
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If yes, please answer the next questions:

2. Was the basis for the finding of non-responsibility due to a violation of State Finance Law §139-j (see attached law)?  (Please Circle):

   | No | Yes |

3. Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Government Entity?  (Please circle):

   | No | Yes |

4. If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility below.

   **Governmental Entity:**

   ---------------------------------------------------------------------------

   **Date of Finding of Non-Responsibility:**

   ---------------------------------------------------------------------------

   **Basis of Finding of Non-Responsibility:**

   ---------------------------------------------------------------------------
   ---------------------------------------------------------------------------
   ---------------------------------------------------------------------------

   (Add additional pages as necessary)
5. Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named individual or entity due to the intentional provision of false or incomplete information? (Please circle):

   No   Yes

6. If yes, please provide details below:

   Governmental Entity:
   __________________________________________________

   Date of Termination or Withholding of Contract: ___________________________

   Basis of Termination or Withholding:
   ___________________________________________________________________
   ___________________________________________________________________
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   (Add additional page as necessary)

Offerer certifies that all information provided to the Monroe County Water Authority with respect to State Finance Law §139-k (see attached law) is complete, true and accurate.

By: ____________________________  Date: ________________________

Signature: ____________________________