REQUEST FOR PROPOSALS:
Highway Oversize/Overweight Credentialing System (HOOCS) Services for NYSDOT
Contract #C030786

November 1, 2013

To All Concerned:

In response to comments received from the vendor community, NYSDOT is re-releasing its Non-Engineering Request for Proposals (RFP) referenced above. NYSDOT is seeking a responsive and responsible Consultant to provide Highway Oversize/Overweight Credentialing System (HOOCS) Solution and Services based upon a re-worked RFP. All information necessary for the submission of your proposal is contained in this Request for Proposals.

Any questions regarding this project or proposal should be directed to Al Hasenkopf, the designated NYSDOT Contract Management Bureau contact for this solicitation, via e-mail at: alfred.hasenkopf@dot.ny.gov.

Please note the following Tentative Dates and Deadlines:

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¹: A second Q&A round is possible

If you are interested in developing a proposal in response to this solicitation, please complete the attached RFP Response Form.

Instructions for complying with the Procurement Lobbying Law are also included.
The Department of Transportation estimates that the selected Consultant will commence work in early 2014 and continue for a period of five (5) years, with two (2) options for 12-month extensions, depending on performance and funding availability.

The New York State Department of Transportation (NYSDOT) encourages the participation of certified Disadvantaged Business Enterprises (DBEs) in its solicitations. Please see the New York State Unified Certification Program (NYSUCP) DBE Directory for certified Disadvantaged Business Enterprises via: http://biznet.nysucp.net/.

For this solicitation, NYSDOT has set a DBE Participation contract Goal of 18%. Only certified DBE prime Consultants and certified subconsultants listed in the NYSUCP DBE Directory are eligible for credit in this procurement. Please see the RFP for more information.

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL) Section 165-a, effective April 12, 2012. This act may be viewed in its entirety at http://www.ogs.ny.gov/about/regs/docs/ida2012.pdf. Pursuant to SFL Section 165-a(3)(b), the Commissioner of the Office of General Services (OGS) has developed and maintains a list (prohibited entities list) of “persons” who are engaged in “investment activities in Iran” (both are defined terms in the law). The list may be found on the OGS website at: http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf.

By submitting a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Bidder/Contractor (or any assignee) certifies that, it will not utilize, on such Contract, any subcontractor that is identified on the prohibited entities list. Additionally, any Contractor seeking to renew or extend a Contract or assume the responsibility of a Contract awarded in response to this solicitation, must certify at the time the Contract is renewed, extended or assigned that it is not included on the prohibited entities list. During the term of the Contract, should the New York State Department of Transportation (NYSDOT) receive information that a Bidder/Contractor (or any assignee) is in violation of the above-referenced certification, NYSDOT will offer the Bidder/Contractor (or any assignee) an opportunity to respond. If the Bidder/Contractor (or any assignee) fails to demonstrate that it has ceased its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then NYSDOT shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default. NYSDOT reserves the right to reject any bid or request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award.

We look forward to the receipt of your proposal.

Sincerely,
WILLIAM A. HOWE
Director
NYSDOT Contract Management Bureau
Enclosure
**RFP RESPONSE FORM: HOOCS SERVICES for NYSDOT (Re-Issued)**

Please review this RFP. Please complete the following information and mail, e-mail, or fax to the NYSDOT address shown below, by the earliest practical date. This RFP Response form must be submitted along with the two required Procurement Lobbying Law forms (See **Attachment 6.** before questions or other communications with the Department regarding this solicitation can be initiated.

______________________ WE **DO** INTEND TO SUBMIT A PROPOSAL

**IF YOU HAVE PREVIOUSLY EXPRESSED INTEREST, DO NOT RE-SUBMIT THIS FORM**

______________________ WE **DO NOT** INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING REASONS:

______________________

Name and Address of Organization (Include Zip Code):

______________________

______________________

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______________________

Signature: ___________________________ Date: ___________________________

Types of Printed Name and Title: ___________________________

Telephone: ___________________________ Fax: ___________________________

E-Mail Address: ___________________________

RFP Title: ___________________________

Please send to:

* E-Mail: alfred.hasenkopf@dot.ny.gov RE: #C030786

* Regular Mail:
  New York State Department of Transportation
  Contract Management Bureau, 6th Floor
  50 Wolf Road
  Albany, New York 12232
  ATTN: Contract #C030786

* Fax: 518-457-2875
NEW YORK STATE DEPARTMENT OF TRANSPORTATION

REQUEST FOR PROPOSALS (Re-Issued)

HIGHWAY OVERSIZE/OVERWEIGHT CREDENTIALING SYSTEM (HOOCS)
SERVICES FOR NYSDOT

CONTRACT #C030786

RFP Release Date: November 1, 2013

Proposal Delivery Information:

Al Hasenkopf, Contract Management Bureau, C030786
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York 12232

Proposal Due Date: December 19, 2013
REQUEST FOR PROPOSALS
NEW YORK STATE DEPARTMENT OF TRANSPORTATION
HIGHWAY OVERSIZE/OVERWEIGHT CREDENTIALING SYSTEM (HOOCS)
SERVICES FOR NYS DOT
CONTRACT #C030786

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1. INTRODUCTION

1.1 Purpose of this RFP

The New York State Department of Transportation (NYSDOT) is releasing this Request for Proposals (RFP) to seek proposals from responsive and responsible consultants for the acquisition and provision of a comprehensive Highway Oversize/Overweight Credentialing System (HOOCS) and services. NYSDOT intends to select and enter into contract #C030786 with a responsible and responsive consultant that provides best value to the State based on this solicitation.

1.2 General Background

1.2.1 NYSDOT Mission

It is the mission of NYSDOT to ensure that our customers — those who live, work, or travel in New York State — have a safe, efficient, balanced, and environmentally sound transportation system.

To attain its mission, the responsibilities, functions, and duties of NYSDOT include coordinating and developing a comprehensive transportation policy for the State; coordinating and assisting in the development and operation of transportation facilities and services for highways, railroads, mass-transit systems, ports, waterways, and aviation facilities; and formulating and keeping current a long-range, comprehensive statewide master plan for the balanced development of public and private commuter and general transportation facilities. This mission also includes administering a public safety program for railroads and motor carriers engaged in intrastate commerce; directing state regulation of such carriers in matters of rates and service; and providing oversight in matters relative to the safe operation of bus lines, commuter railroads, and subway systems that are publicly subsidized through the Public Transportation Safety Board.

Today, the New York State transportation network includes:

- A state and local highway system that annually handles more than 100 billion vehicle miles, encompassing more than 110,000 highway miles, 17,000 highway bridges, and numerous other assets such as large culverts, retaining walls, tunnels, and sign structures
- An extensive 5,000-mile rail network over which 42 million tons of equipment, raw materials, manufactured goods, and produce are shipped each year
- 456 public and private aviation facilities through which more than 31 million people travel each year
- 5 major ports, which annually handle 50 million tons of freight
- More than 130 public transit operators, serving more than 5.2 million passengers each day
- 12 major public and private ports, which handle more than 110 million tons of freight annually
In protecting this infrastructure and promoting safe Oversize/Overweight (OS/OW) operation, NYSDOT issues more than 100,000 special hauling permits and more than 27,000 divisible load overweight permits annually.

To promote regulatory compliance, NYSDOT has issued more than 1,100 Notices of Violation for special hauling or divisible loads annually.

1.2.2 NYSDOT Oversize/Overweight (OS/OW) Management

As noted previously, New York State is home to numerous highway bridges of various ownerships. The same can be said about the number of highway miles operated in the State.

Numerous businesses that use or manufacture goods and exceed legal size or weight limits for movement on these highways operate within the State.

To assist State businesses and promote economic development, the New York Legislature gave the Commissioner of Transportation the authority to initiate, promulgate, and monitor a permit system for managing oversize/overweight (OS/OW) moves on all highways under their jurisdiction (New York City is not within their jurisdiction). This authority and the legal limits are contained within the State's Vehicle and Traffic Law Section 385.

NYSDOT's Central Permits Bureau manages OS/OW moves through the issuance of special hauling and divisible load overweight permits. The permitting process involves managing route restrictions that assist in reviewing proposed routes. Additionally, vehicles exceeding established thresholds undergo an evaluation of load effect on bridges located on the proposed route. The Bureau also addresses regulatory compliance of OS/OW moves via a Civil Enforcement Program. Since a number of other governmental entities within the State oversee OS/OW moves over their infrastructure, the Bureau is looking to coordinate all permitting activities with these entities. An overview of these Programs is as follows:

**Special Hauling Permits:** This Permit Program covers moves of oversized loads or vehicles that are of one piece and possibly overweight. To ensure the safety of the motoring public and to maintain the integrity of the State's highways, proposed routes are reviewed for the existence of any restrictions and for identification of any special conditions that need to be followed during the move. Vehicles are also evaluated for their ability to support intended load weights. Where loads exceed structurally specified levels, structural analyses of bridges on a proposed route are also evaluated for any impacts. These permits may also be issued to oversized loads that consist of multiple pieces that do not result in weights exceeding legal limits. These permits may be issued, and a related fee collected, for a specific trip or for annual use. These permits are currently managed out of the Central Permits Bureau and nine (9) regional permit offices.

**Route Restrictions:** To assist carriers with planning their trips, the Bureau provides a graphic representation of restrictions on state highways. Regional NYSDOT staff currently use an Encoder Tool to input construction, maintenance, and political restrictions onto GIS layers. Bridge weight and clearance restrictions are also provided on a GIS layer. Carrier-provided proposed load and vehicle dimensions are screened against known restrictions allowing oversize or overweight conditions to be identified for a more detailed manual review.

**Structural Evaluation:** To assist the Bureau with evaluating the impact of a proposed vehicle and load on structures identified for a proposed route, the Structures Bureau performs an analysis of load effects created by those moves. Those found to create an unacceptable load effect will be
rejected. Those found to create an acceptable load effect at lower speeds will be recommended for approval with special conditions.

**Divisible Load Overweight Permits:** This Permit Program covers moves of overweight loads and vehicles that are of legal dimension. In working with NYSDOT's engineering group, maximum weights have been identified for specific vehicle configurations, axle groupings, and axles. Engineering has also specified minimum wheelbases for specified vehicle configurations.

These permits are issued and a related fee collected for annual use. A component of these permits is issued only for use within downstate regions. These downstate permits have special constraints on their use and transfer that require special management. All divisible load overweight permits are managed solely out of the Central Permits Bureau.

**OS/OW Management Improvement:** The world of OS/OW operation is ever changing. New vehicles are developed; new goods are manufactured; new laws are enacted. Thus, the Bureau needs to assess the impacts of these changes to identify safe ways to modify the Permit Programs. Currently, the Special Hauling Permit Program has the ability to establish waivers of its regulations to evaluate potential options for updates. The proposed options are implemented for a period of time and impacts evaluated. Results may be to propose a change to the regulations or laws. A similar regulatory capability is being sought for the Divisible Load Overweight Permit Program. Permit data may also be used to develop changes to the regulations or processes.

**OS/OW Civil Enforcement:** OS/OW Civil Enforcement processes Driver/Vehicle Examination Reports (DVERs) to document operational violations of permitted and non-permitted carriers. DVERs are primarily generated by New York State Police or by NYSDOT personnel entering data for local police agencies. These reports are examined by NYSDOT for any violation related to safe OS/OW operation as defined in the related regulations. Violators are categorized and a warning letter or Notice of Violation (NOV) sent. NOV recipients are also assessed a penalty and provided an opportunity for a hearing. Information obtained during this process allows for additional refinement of the regulations and permits.

**OS/OW Permit Integration:** A number of other state authorities and local agencies are involved in managing OS/OW operations via the issuance of permits. The Central Permits Bureau initiated an effort in 2008 to begin integrating these separate programs to assist carriers with obtaining a permit and to assist the agencies with ensuring joint permitting.

More details on the NYSDOT OS/OW Management Program can be found at: https://www.dot.ny.gov/nypermits.

1.3 Project Background (Business Need)

1.3.1 Existing NYSDOT OS/OW Capabilities

Automating the needs of the Bureau has been partially addressed by the New York State Office for Information Technology Services (ITS). Using a phased approach, ITS developed an OS/OW routing tool, an on-line automated special hauling Permit Automation (PA) system, linked the PA system to New York City Department of Transportation’s (NYCDOT) permit

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1 NYS is currently undergoing restructuring, especially regarding IT services and projects. As part of the restructuring, responsibilities are shifting between agencies and offices within agencies. References to agencies, offices, or departments may change during the course of this procurement or the ensuing contract. Further information regarding the restructuring can be found at http://www.ittransformation.ny.gov/.
system, and established an entry point via the One Stop Credentialing and Registration (OSCAR) Portal for commercial vehicle operators.

NYSDOT is currently implementing an Enterprise Asset Management System that includes a Bridge Data Information System (BDIS) component. The BDIS will provide detailed bridge and large culvert inventory, inspection, load rating, and current condition information to HOOCS for the purposes of evaluation the impacts of OS/OW loads.

On evaluation of future phases (involving more complex efforts related to GIS layers and structural analyses) ITS determined that other options should be pursued that would better use available resources. Thus, NYSDOT seeks to acquire a Commercial Off-The-Shelf (COTS) product that could be easily modified to meet the needs of the Bureau, which would address the following needs and HOOCS System components:

1) **Permitting Systems**: As noted previously, the Bureau manages OS/OW operations via the issuance of special hauling and divisible load overweight permits. This activity is divided as follows:

   a) **Account Management**: The Bureau has a number of carriers requiring the services of both special hauling and divisible load permitting systems, together and individually. The current system allows applicants to e-mail their corporate data to Bureau staff for manual input to establish a customer account. It should be noted that customers include carriers, haulers, and permit service companies.

   b) **Financial Management**: The Bureau collects permit fees associated with the issuance of each permit. The current system allows customers to pay for permits in a number of ways: prefund their account via submittal of a check, payment via a credit card, or payment via the OSCAR system's payment process.

   c) **Special Hauling (SH) Permits**: There are two categories of special hauling permits. Trip permits cover a carrier making one move. Annual permits allow the carrier to make multiple moves for loads within an established time period. The current system allows an applicant to apply on-line and obtain their permit electronically. Key components of the new HOOCS System will be as follows:

      i) **OS/OW Routing Tool**: The Bureau currently provides applicants access to a GIS-based routing tool that allows them to input move dimensions that are compared to dimensional restriction data for State routes. Restriction information placed by regions enhances this data. Bridge vertical clearance and weight limit data are also included. Applicants can then follow the routing and click on any restriction to confirm applicability to their move. The Bureau's SH permit agents also use an "in-house" version of this tool for review of SH applications. The current system does not support auto-issuance of permits.

      ii) **Route Surveys**: When an application involves a load/vehicle that is at or exceeds 14'0" in height, 100'0" in length, or 16'0" in width, a physical survey must be performed by a New York certified escort. Thus, applications involving this requirement must submit a supplemental attachment of the route survey. This attachment can be manually reviewed and compared to a database of known certified escorts. This database is currently obtained via e-mail from the Department of Motor Vehicles (DMV).

      iii) **Structural Impacts**: For loads exceeding established thresholds, vehicle configuration data must be sent to NYSDOT’s Structures Group (Structures). This data is entered
manually by the permit reviewer into a database maintained by Structures. Structures staff use this data to develop a load effect that is manually compared to known load rating information for bridges along the proposed route. Structures staff manually transmit their recommendations back to Bureau staff for further processing of the application.

iv) **SH permitting:** The current system allows the applicant to input required application data that is validated to legal requirements on entry. Routings are manually reviewed for potential restrictions. Acceptable applications are manually approved, allowing for the carrier being billed and a permit being sent electronically to the applicant. If funding is lacking, the issuance process is placed in a hold queue. If found unacceptable, the application is manually rejected with a note sent electronically, identifying the rejection issue.

v) **Auto-Issued SH permits:** The current system does allow applicants intending to use either direction of I-84 between Connecticut and Pennsylvania to apply and automatically obtain an SH permit, provided the move weights and dimensions are within an established envelope. The current system does not allow auto-issuance of SH permits for partial use of I-84 or vehicles outside the established envelope.

d) **Divisible Load (DL) Overweight Permits:** There are two categories of DL permits. Statewide DL permits allow carriers to move anywhere in the State on highways under the jurisdiction of NYSDOT. Downstate DL permits allow carriers to move anywhere on highways under the jurisdiction of NYSDOT located within seven counties in the downstate area. In addition to the issuance of a DL permit, the carrier is issued a "Grandfather Rights" certificate. The current Vehicle and Traffic law places a limit on the number of statewide permits that can be issued and uses a lottery system to issue permits once that limit has been reached. The Vehicle and Traffic Law also places a number of conditions on the carrier selling vehicles and businesses involving these permits. The current system allows carriers to submit applications for the following:

i) **Statewide DL Permits:** Currently, a Bureau permit agent manually reviews the DL application for conformance to established statewide DL permit criteria. Any application concerns identified result in the agent contacting the applicant. When acceptable, a Bureau processor will input the DL application data into the current system. The new HOOCS System will use this data to generate a permit.

ii) **Downstate DL Permits:** Currently, a Bureau permit agent manually reviews the DL application for conformance to established downstate DL permit criteria. Application concerns identified result in the agent contacting the applicant. When acceptable, a Bureau processor manually inputs DL application data into the current system. The new HOOCS System will use this data to generate a permit.

iii) **Grandfather Rights:** For statewide DL permits, the "Grandfather Rights" certificate addresses how the carrier and Bureau operate under the lottery process. For downstate DL permits, the "Grandfather Rights" certificate addresses special weight considerations attached to the permits, including the banking of weight for future use. Due to numerous system changes, a manual auditing process is used to manage downstate "Grandfather Rights."
iv) **Lottery Process**: When the system reached the maximum allowed number of divisible load permits, divisible load permits will be assigned following rules specified in the Attachment 1, ‘Consultant’s Technical Response’.

2) **Agency Integration**: The Bureau recently reached out to other permitting agencies within the State. The New York City Department of Transportation (NYCDOT) agreed to work with the Bureau to establish a link to this outside-of-NYSDOT permitting system that allowed applicants to submit their move data in one location, which then forwarded the data to each agency for separate processing. As part of the current application process, the existing permit system allows applicants to identify their need to operate on another jurisdiction’s highway system. If the need to operate on another highway system is indicated, the existing permit automation system provides the applicant with an additional application page to complete the additional required data. Efforts are underway to do this with counties and agencies, such as the NYS Thruway Authority, NYS Bridge Authority, and the Port Authority of New York and New Jersey.

3) **Regulatory Compliance**: NYSDOT implemented an effort to improve OS/OW regulatory compliance. The Regulatory Compliance Program is built off the Driver/Vehicle Examination Reports (DVER) provided to NYSDOT as a normal part of its business. The OS/OW regulatory violations identified result in the carrier being notified of follow-up actions to be taken based on the severity of the violations. Severe violations result in a Notice of Violation, including any penalties and an opportunity for the carrier to plea before an Administrative Law Judge. The current effort involves use of an Excel database for tracking purposes. All entries are manual.

4) **Regulatory Reform**: The work environment for OS/OW operation is ever changing. Thus, the related regulations and laws are also changing. The Bureau addresses this by establishing new SH permit types, conditions, and restrictions for evaluation. An acceptable result leads to proposing new regulations and formal implementation of the new SH permits types, conditions, and restrictions.

5) **Service Oriented Architecture**: NYSDOT is in the process of implementing and extending a Service Oriented Architecture (SOA) solution. This new methodology will allow NYSDOT to improve major business processes, have interoperable services, well-defined business functionalities, and reusable components, while using predefined standards and state-of-the-art tools. NYSDOT desires that the system will leverage and consume services from NYSDOT’s Service Oriented Architecture to the greatest extent possible.

### 2. PROJECT AND CONTRACT OBJECTIVES

#### 2.1 Project Objectives

The goal of this procurement is to acquire a Commercial Off-the-Shelf (COTS) HOOCS software solution and accompanying integration services to fulfill NYSDOT's HOOCS business requirements and potentially acquire a Regulatory Compliance component from a responsive and responsible consultant.

NYSDOT seeks to acquire comprehensive permitting software that can be configured to support its needs for use as a Highway Oversize/Overweight Credentialing System (HOOCS), which will:
- Improve NYSDOT's OS/OW permit workflow activities
- Provide better data consistency
- Resolve a number of process issues implicit in the stovepipe nature of the current applications and disparate databases
- Support relevant, future NYSDOT plans and operating environment
- This effort is being undertaken to replace existing systems; however, the vision is to provide a scalable enterprise solution capable of supporting future technologies (such as transponders) and offering more permit types in the future. When fully implemented, carriers and permit service companies will have a single web-based gateway to access many of the permit applications necessary to conduct business in New York State, and NYSDOT will have a highly improved Highway Oversize/Overweight Credentialing System to support its mission.
- NYSDOT envisions that HOOCS will be highly configurable (i.e., can be adapted to meet changing business needs with minimal custom changes to the underlying software programming code). Thus, Central Permits Bureau staff, with support from ITS, can create permit application forms, specific workflows, and business processes. The configured COTS System will replace the current systems and provide the following functionality:
  - Account Management
  - Financial Management
  - Restriction Management
  - Structural Analysis
  - Routing Management
  - Special Hauling/Divisible Load Permit Issuance
  - Workflow Management
  - Business Rule Management
  - Document Management
  - Reporting
  - Agency Integration

NYSDOT has reviewed its existing systems and processes to define the desired HOOCS capabilities and performance. The current systems review has defined the operational expectations for HOOCS, as follows:
- Account Management will allow the creation of accounts for customer use within one (1) hour by authorized Bureau staff.
- Financial Accounts will allow access and immediate updating of customer accounts by select Bureau staff.
Restriction Management will allow select NYSDOT staff to input route restrictions that will be immediately available for use during the evaluation of permit applications for approval.

Structural analysis will allow all bridges along a proposed route to be evaluated within one (1) hour of submittal for acceptable load impacts where proposed vehicle loadings (axle and gross) exceed established thresholds. Moves involving superload criteria are reviewed by the Structures group as described in Attachment 15, HOOCS Overview.

Routing Management will allow auto-evaluations, per defined criteria, of a proposed route, and auto-issuance should be essentially instantaneous with submittal for special hauling permit moves within established OS/OW load dimensions. Moves exceeding these load dimensions will be forwarded for manual review. Route usage will be tracked to determine whether it should be identified for preferred routing.

Special hauling permit applications, special hauling annual permit applications, divisible load permit applications, and divisible load annual permit applications meeting established permitting criteria should be auto-issued instantaneously. Applications that do not meet the established permitting criteria should be forwarded for manual review.

Workflow and Business Rule Management will allow the Bureau the ability to adapt the HOOCS, with minimal custom changes to the underlying software programming code, to meet changing business needs, and with minimal amount of change to user operations.

Document Management capability will track all documents generated by HOOCS and will enable authorized Bureau staff to retrieve any document generated by HOOCS when needed. The document management capability should also be capable of interfacing with other document management solutions.

Reporting will allow select Bureau staff to create and use reports to support management of the OS/OW operational management programs.

Transportation agency integration will allow applicants to submit one permit application that contains all of the requirements for each transportation agency selected in instances where special hauling permits for use over highways of multiple transportation agencies are required. That application data will then be forwarded to the various agencies. Follow-up actions by these agencies will also be returned to HOOCS for subsequent coordination activities. These transportation agencies include, but are not limited to, the following:

- New York City Department of Transportation
- Metropolitan Transportation Authority (MTA) (and the Tri-borough Bridge and Tunnel Authority (TBTA))
- New York State Thruway Authority
- New York State Bridge Authority
- Port Authority of New York and New Jersey
- Several local transportation agencies have expressed interest, such as Albany County

2.1.1 Regulatory Compliance

In addition to the HOOCS capabilities and performance expectations, NYSDOT has specified requirements expectations for a Regulatory Compliance feature that will allow NYSDOT Central
Permits Bureau staff to identify violators of OS/OW laws and regulations, prepare and process defined violation notices, track violator responses, track penalties, and schedule hearings. The Regulatory Compliance feature is an additional component for which the offeror must propose a solution (technical and cost) but which NYSDOT is not obligated to purchase.

Beyond the Central Permits Bureau OS/OW Regulatory Compliance effort, there are additional bureaus within the NYSDOT Office of Modal Safety and Security that work in conjunction with the NYSDOT Division of Legal Affairs to conduct administrative law hearings in order to enforce safety and regulatory statutes. These include:

- Motor Carrier Compliance Bureau enforces motor carrier safety and regulatory issues that apply to truck drivers and companies operating trucks in New York State. This bureau uses the Carrier Certification, Compliance and Safety (CarCert) process.

- The Passenger Carrier Safety Bureau is committed to ensuring that passenger vehicles in New York State operate at the highest safety standards in the country. This bureau uses the Bus and Passenger Carrier Safety (BusNET) process.

- The Rail Safety Bureau’s mission is to reduce the number, rate and severity of rail accidents to help ensure the safety of the users and employees of New York State's passenger and freight rail systems. This bureau follows the Grade Crossing Safety and Regulatory Process.

Each bureau has different enforcement mechanisms in place to determine if a regulatory statute has been violated or if a hearing is required for some other reason. If an administrative law hearing is required, there are various pre-hearing tasks that occur. After the hearing is held, a variety of post-hearing results may occur. Each bureau and legal area has similar, but unique, business rules and sub-processes that are followed throughout the enforcement and regulatory compliance processes.

NYSDOT envisions that the HOOCS Regulatory Compliance portion of any future HOOCS System/Solution could be expanded to include additional administrative law hearing processes. The advantages of standardizing the administrative law hearing processes include but are not limited to: standard reporting throughout the organization, consistent maintenance efforts, and standard process throughout the legal and safety areas.

After completion of the HOOCS Regulatory Compliance effort, if implemented at NYSDOT’s sole discretion, NYSDOT may choose to expand the System for use by one or more of the other Bureaus following the associated requirements. This information is provided with the idea of informing offerors of the value to NYSDOT of building a flexible and expandable Regulatory Compliance process and system. The requirements for all requested associated services are found in Attachment 1 and are briefly described next.

**Carrier Certification Compliance and Safety Regulatory Enforcement Process**

The Carrier Certification Compliance and Safety Regulatory Enforcement process is initiated with the receipt and investigation of a complaint by the general public or the performance of a compliance audit or roadside inspection in which a carrier is found not compliant and in violation of state regulation. When found in violation of a state regulation, a Notice of Violation (NOV) is issued. If the violation results in a NOV penalty, the carrier must submit payment to NYSDOT for processing. Any non-compliance activity is reviewed and updated accordingly. If the NOV
penalty is not paid or satisfied, a hearing may be scheduled and a Judgment may be issued for non-payment of the NOV penalty. Pre-hearing steps may include some or all of the following; sending a hearing notice, gathering supporting documents, contacting the Administrative Law Judge (ALJ), court reporter and/or interested parties. It is possible for a hearing to be adjourned and a new hearing scheduled. Once the hearing is held, a determination or recommendation is made and communicated to the carrier. Post-Hearing action could result in a NOV appeal with an ALJ resolution to deny the appeal, modify the civil penalty or dismiss the NOV.

Currently, the Carrier Certification Safety program has its own Regulatory Enforcement Process. NYSDOT may choose to expand the HOOCS Regulatory Enforcement Process for use by the Carrier Certification Safety program.

If NYSDOT elects to incorporate the Carrier Certification Safety program Regulatory Enforcement Process within HOOCS, contingency services would include:

1. Defining the changes to HOOCS to address the Carrier Certification Safety program Regulatory Enforcement Process
2. Define how the Carrier Certification Safety program Regulatory Enforcement Process will function within HOOCS
3. Updating all project documentation with applicable information
4. Performing appropriate implementation and testing activities

Bus & Passenger Carrier Safety Enforcement Process

The Bus & Passenger Carrier Safety Regulatory Enforcement process occurs annually and is aligned with the State Fiscal Year. It begins with an analysis of out of service rates for operators and is based on reports from the BusNET system of bus carriers who failed inspection over the last year and have reached an out of service rate threshold. A matrix is used to assess penalties and a Notice of Violation (NOV) is issued to the carrier. Once the NOV is issued, the process follows steps similar to the Carrier Certification Enforcement Process.

Currently, the Bus & Passenger Carrier Safety program has its own Regulatory Enforcement Process. NYSDOT may choose to expand the HOOCS Regulatory Enforcement Process for use by the Bus & Passenger Carrier Safety program.

If NYSDOT elects to incorporate the Bus & Passenger Carrier Safety program Regulatory Enforcement Process within HOOCS, contingency services would include:

1. Defining the changes to HOOCS to address the Bus & Passenger Carrier Safety program Regulatory Enforcement Process
2. Define how the Bus & Passenger Carrier Safety program Regulatory Enforcement Process will function within HOOCS
3. Updating all project documentation with applicable information
4. Performing appropriate implementation and testing activities

Grade Crossing Safety and Regulatory Enforcement Process

The Grade Crossing Safety and Regulatory Enforcement process begins with Regional Rail or Grade Crossing Unit representatives responding to inquiries and advising potential petitioners on
filing a formal petition. NYSDOT may also initiate its own proceeding by having the NYSDOT Division of Legal Affairs draft a Commissioner’s Order. Once the order or petition is accepted, a pre-hearing begins. The Office of Proceedings coordinates the hearing details, prepares the hearing notice and sends it to the Regional Rail Unit representative for publication. They also develop the service list and serve all interested parties identified. The Office of Legal Services may conduct a pre-hearing meeting. NYSDOT staff and the Regional Rail or Grade Crossing Unit representatives may also perform an on-site evaluation prior to the hearing. An Administrative Law Judge convenes the hearing at which all parties may provide testimony. Post-hearing action would result in a Recommendation and proposed Orders. The Office of Proceedings prepares a final report for review and execution by the Director of the Office of Modal Safety and Security. Once signed, the Office of Proceedings directs the service of the report and signed Order on all interested parties at which time they can be released within the department and to the general public.

Additional Grade Crossings - Regulatory Process information can be found at:  
http://www.dot.ny.gov/divisions/operating/ossr/rail/grade-crossings/regulatory-process

Currently, the Grade Crossing Safety program has its own Regulatory Enforcement Process. NYSDOT may choose to expand the HOOCS Regulatory Enforcement Process for use by the Grade Crossing Safety program.

If NYSDOT elects to incorporate the Grade Crossing Safety program Regulatory Enforcement Process within HOOCS, contingency services would include:

1. Defining the changes to HOOCS to address the Grade Crossing Safety program Regulatory Enforcement Process
2. Define how the Grade Crossing Safety program Regulatory Enforcement Process will function within HOOCS
3. Updating all project documentation with applicable information
4. Performing appropriate implementation and testing activities

2.2 Contract Objectives

The Contract Objective for this solicitation is to select a responsive and responsible consultant (or team of consultants) via a fair and equitable Best Value Request for Proposal process. It is NYSDOT’s goal to achieve the HOOCS System objectives stated within this RFP within two years of contract award.

CONTRACT TERM: The base term of this contract will be for five (5) contract years commencing from the contract start date, with two (2) optional 12-month contract term extensions, depending on performance, project need and funding availability.

COMPLEXITY: HOOCS will be a mission critical complex application that will be used daily by NYSDOT staff and the commercial vehicle industry.

OWNERSHIP OF DATA SOURCES: All data provided to the consultant for HOOCS development shall remain the property of NYSDOT (or other Project Stakeholders), and the consultant will be prohibited from re-distributing the data, for any purpose, to any organization without the prior written approval of NYSDOT. All reports or data generated by HOOCS shall be NYSDOT property.
CONSULTANT ARRANGEMENTS: The resulting contract shall be between NYSDOT and the selected Prime Consultant. The Prime Consultant shall be responsible for completion of all agreed-upon services. NYSDOT will only contract with one (1) responsive and responsible Prime Consultant, who will be the sole contact with regard to all provisions of the HOOCS project and Contract #C030786. If the Consultant’s selected solution includes subconsultants, the Consultant under contract will be the Prime Consultant who must assume full responsibility for all aspects of the project, including performance and completion of all subconsultant work. All necessary communications will be directed from NYSDOT to the Prime Consultant (Project Manager). The Prime Consultant is responsible for offering qualified subconsultants with competitive rates/costs. NYSDOT seeks a total solution, and consultants are encouraged to partner to provide the required services and to meet the contract’s 18% DBE participation goal. Proposers must name a lead firm as the Prime Consultant that will serve as the legal contracting entity for the project period. If the proposal includes products or services from any other participating vendors, it is understood that those vendors will serve as subconsultants to the Prime Consultant. Joint ventures are not allowed. For the purpose of evaluating proposals and developing the resulting agreement between NYSDOT and the Prime Consultant, all contributions to the project by the Prime Consultant and subconsultants, including skills, attributes, and products, will be considered as a total solution put forth by a single proposer.

OTHER CONTRACT OBJECTIVES:

Eighteen 18% percent or more DBE subconsultant participation over the life of the contract by the firm being awarded a contract via this RFP.

Fair and equitable treatment of all firms participating in the competitive consultant selection process.

2.3 Minimum RFP Responsiveness Requirements

Any Firm that does not provide a complete proposal (complete Technical and Management submission and complete Cost submissions; see RFP Section 4) may be determined to be non-responsive. Any proposal received after the submittal due date shall be deemed to be non-responsive.

Project requirements defined as ‘Mandatory’ represent the mandatory requirements that must be met by the proposer’s solution in order to initially be deemed responsive to the RFP. NYSDOT will eliminate from further consideration any proposal that does not meet all the Mandatory requirements as being non-responsive to the RFP.

NYSDOT will not accept facsimile or e-mailed proposals in response to this RFP. Proposers that plan to hand deliver their proposals should ensure receipt, in NYSDOT Contract Management’s Bureau’s office, by the proposal due date/time. Late proposals will not be considered. Note that the deadline is for receipt of the proposal at NYSDOT’s office located at 50 Wolf Road, Albany, New York, not for the mailing or entrusting of the proposal to a delivery service. Complete instructions on the preparation of a proposal can be found in RFP Section 4.
3. **SCOPE OF SERVICES**

3.1 Overview

When under contract #C030786, the successful proposer (henceforth referred to as the “Consultant”) will be responsible for providing a total HOOCS solution that meets the objectives and requirements as stated in this RFP. All systems and services provided under the resulting contract must be consistent with state and federal laws and regulations.

This section of the RFP and the referenced attachments provide details on specific requirements, consultant responsibilities, and other critical information needed for Consultants to submit responsive proposals to this RFP. Consultants are solely responsible for meeting all the requirements in this RFP prior to proposal submission. The asking of written questions before the deadline for submitting written questions is encouraged.

Submission of a proposal is an affirmation by the Consultant that its organization complies with all requirements and specifications set forth in this RFP and that its organization is capable of delivering the HOOCS System and performing the services required in a manner consistent with the requirements and terms of this RFP and under the resulting contract.

To ensure production viability and a smooth transition of HOOCS to the NYSDOT production environment and system use, the Consultant will commit fully qualified professional resources to all phases of the HOOCS project. NYSDOT reserves the right to approve the replacement of key personnel (project leadership; who may have responsibility with the HOOCS project) as well as all proposed Consultant personnel. The Consultant is required to adhere to the New York State Project Management Guidebook Release 2 for its project management methodology. The New York State Project Management Guidebook Release 2 can be obtained from:


The Consultant is required to assign to the HOOCS project a single Project Manager who will act as the single point of contact with NYSDOT and will have full authority over all vendor resources assigned to the project. On-site attendance by the Project Manager and key personnel is required when called for by the Consultant’s project plan. Off-site participation is allowed as long as service delivery is not impaired.

In its performance of the project, the Consultant is responsible for complying with New York State Office of Cyber Security (OCS) Policies, Standards and Guidelines, which are available at:

http://www.dhses.ny.gov/ocs/resources/

The latest version of the Information Security Policy P03-002 is available at:


The Consultant is also responsible for notifying NYSDOT of any security breaches. Details about the NYS Information Security Breach and Notification Act are available at:

http://www.dhses.ny.gov/ocs/breach-notification/

NYSDOT Information Security Policies are available upon request to the selected Consultant.
3.2 Requirement Priority

This RFP and its referenced attachments provide important details on specific performance requirements, consultant responsibilities, and other pertinent solicitation information. The proposer must respond to every requirement — whether the requirement has been classified as Mandatory, Necessary, or Contingency. Project requirements defined as ‘Mandatory’ represent the mandatory requirements that must be met by the proposer’s solution in order to be deemed responsive to the RFP. NYSDOT will eliminate from further consideration any proposal that does not meet all the Mandatory requirements as being non-responsive to the RFP.

Definitions:

**Mandatory**: A proposal must meet this requirement. If the requirement is not met, NYSDOT will eliminate the proposer from further consideration during the proposal pre-screening phase (prior to evaluation of cost and further technical evaluation), and the proposal may be deemed non-responsive. Mandatory requirements are evaluated as either pass or fail and are not included in the Technical Proposal score.

**Necessary**: Once the Consultant is under contract, the requirement is necessary in fulfilling the contract. NYSDOT will evaluate the degree of responsiveness and score proposer responses to Necessary requirements as part of the proposal evaluation process. NYSDOT will not eliminate proposers who fail to demonstrate how they plan to meet a Necessary requirement; however, failure to demonstrate how a Necessary requirement may be met will result in a lower Technical Proposal score.

**Contingency**: Contingency requirements describe specified services that the offeror must propose, but that NYSDOT is not obligated to purchase. NYSDOT will evaluate and document the degree of responsiveness and will numerically score responses to requirements denoted as ‘Contingency.’ The proposal must address all Contingency requirements as necessary to submit a responsive proposal. NYSDOT will determine whether to purchase the proposed Contingency requirements solution during and prior to the conclusion of contract negotiations. NYSDOT will evaluate and score proposer responses to Contingency requirements as part of the proposal evaluation process. NYSDOT will not eliminate proposers who fail to demonstrate how they plan to meet a Contingency requirement; however, failure to demonstrate how a Contingency requirement will be met will result in a lower proposal score.

3.3 NYSDOT Responsibilities

NYSDOT will appoint a Project Manager who will serve as the single point of contact for the Consultant. The NYSDOT Project manager will lead and coordinate the effort for NYSDOT and manage the Consultant’s service delivery to NYSDOT. The NYSDOT Project Manager will be solely responsible for decisions related to the acceptance and approval of all deliverables provided by the Consultant and for ensuring required NYSDOT resources are available when called for in the Project Plan. NYSDOT will attempt to make its resources available in a timely manner, which is subject to changing priorities.

3.4 Consultant Responsibilities

The Consultant will provide the requested services to produce all of the deliverables (and meet the requirements) specified in the RFP and all its referenced attachments. The Consultant shall perform all of the activities and tasks required to achieve the objectives, functions, and outputs in
a manner that meets all of the project’s and contract’s objectives and performance criteria. All services must be consistent with State and Federal laws and regulations and shall be appropriate and acceptable to NYSDOT’s management.

During the life of the project, NYSDOT management will review deliverables and evaluate them for completeness, clarity, adherence to generally recognized standards, and compliance with NYSDOT’s intent as conveyed in this RFP and contained in the resulting contract. A deliverable, phase, or milestone will not be considered complete until sign-off has been given by NYSDOT. NYSDOT will only render payment for services and deliverables it accepts.

NYSDOT will contract with a single Consultant to provide a total HOOCS solution that will provide the required functionality and workflow process capabilities as detailed in this RFP. The HOOCS System will be located at the NYSDOT Main Office (50 Wolf Road, Albany NY). NYSDOT requires that the Consultant follow a phased approach to the design, development, implementation, and maintenance of HOOCS to ensure that a comprehensive and expandable System is implemented and fully controlled to account for full cost of the proposed total solution. NYSDOT is neither prescribing the timeframes for the phases described below, nor prescribing a waterfall approach to the implementation of HOOCS. The exact approach, solution and methodologies proposed to fulfill the RFP’s requirements should be presented via completed RFP Attachments 1 through 5. The proposer must address the categories of requested services in their project plan but can organize and plan for the accomplishment of the work based on their experience and expertise with projects of similar scale and scope. The complete HOOCS requirements, which identify the required functionality of the System, the detailed business rules, and workflow process, are provided in Attachment 1.

The proposer should recommend an implementation approach for HOOCS based on their best practices, expertise and experience and should fully describe that approach within the Technical Proposal. The proposer must respond to all requirements defined in Attachment 1, regardless of the proposed approach. However, NYSDOT is granting consultants flexibility regarding how to respond to the RFP’s many requirements, as grouping is allowed to give vendors flexibility to offer a solution which could be beneficial to both parties.

3.5 Contingency Services

There are a number of desired associated requirements and capabilities which must be included in a consultant’s proposed HOOCS solution (included in a consultant’s proposal) to be deemed responsive. These requirements and capabilities are referred to as contingency services and are described in this Attachment. There’s no assurance that contingency services specified in the HOOCS RFP may or may not be performed during the life of the contract but all RFP-specified contingency services will be part of the resulting original agreement. Accomplishment of any contingency work shall be conducted by means of NYSDOT-approved work orders (or project change requests, depending upon its nature) with a fully described scope of work, consultant staffing, work schedule and work order budget. A block of funds shall be added to the original agreement to cover contingency services. To be deemed responsive, a consultant must include in their proposal (technical and cost) all services necessary adequately described to perform and deliver contingency services.

NYSDOT anticipates that the Contingency Services specified in Attachment 1 will be required during the term of the contract to provide ongoing support (programming, database
administration, etc) for work out of the scope of the requirements contained in this RFP. These capabilities are referred to as Contingency Services and may be implemented during the contract by means of work orders.

NYSDOT will determine whether the selected Consultant shall deliver proposed Contingency Services either during contract negotiations or after contract award. NYSDOT will evaluate and score proposer technical and cost responses to Contingency Services as part of the overall proposal evaluation process. The process governing the contingency service work order process follows next.

**Contingency Services Work Order Process**

Contingency services will be performed on a work-order (or NYSDOT-approved Project Change Request, depending upon its nature) basis up to the maximum budgeted amounts for such category of services as set forth in Schedule B (Attachment 12, Draft Contract). For RFP proposal evaluation purposes, labor costs for contingency services will be estimated based on an assumed block of labor hours using consultant-proposed rates by title established in the Attachment 5 Cost Proposal. The work order/Project Change Request process is defined below.

**Work Order Input**

NYSDOT will inform the Consultant of its need for a contingency service via a Work Order Input Form. The Work Order Input Form will capture (at minimum) the following requested contingency service work items:

- Name and brief description of its operation, function or service
- Reason, objective or purpose and value to the HOOCS
- Fundamental construct or design
- Key individuals needed to formally design, scope, test and implement

**Work Order Quote**

The consultant, following discussions with NYSDOT, will use the provided Work Order Input form to develop a Work Order Quote. Multiple iterations of the quote may be necessary. The Work Order Quote will include (at minimum):

- The Service’s purpose and objective, and when appropriate identify: data input, processing, and output of the information (web, mobile app, voice, report).
- The Service’s high-level blue print architecture, illustrating at a minimum:
  - Data source, transmission mode, processing, storage and output.
  - Security features, back-up and business continuity.
  - Software languages, application needs and related software requirements.
- Specific deliverable(s) to be realized.
- The scope of the service.
- Time to realize the service. (duration)
- Labor hours to realize the service (cost)
- Impact the Service may have on ongoing operations and maintenance.
- An outline of the service’s design and implementation including:
  - Design
  - Construction
  - Test Planning
  - Integration Testing
  - System Acceptance
  - System Implementation
  - Business Continuity Testing

**Work Order Approval**

When an acceptable Work Order Quote has been submitted, NYSDOT will submit a formal, written Work Order Approval. Work Order Approval contains all the information on the Work Order Quote and contains authorization to perform the specified contingency services. Once signed by NYSDOT, the Work Order Approval is formal authorization to execute the tasking identified in the Work Order Quote.

**Work Order Payment**

NYSDOT will provide payment for approved Work Order Approvals on the following schedule (subject to change):
- Completion/approval of the Service’s design – 25%
- Completion/approval of all Acceptance Test Plans – 25%
- Acceptance by NYSDOT and Implementation – 50%

### 3.6 Functional Requirements

NYSDOT envisions that the delivered HOOCS solution will be highly configurable (i.e., can be adapted to meet changing business needs with minimal custom changes to the underlying software programming code) so that NYSDOT staff can create or configure permit application forms, workflows, business processes, business rules, and reports without impacting the underlying software code. The System will enable the replacement of legacy systems for the Special Hauling permits and Divisible Load permits and should provide the following functionality (per Attachment 1):

- **Access:** NYSDOT is seeking solutions to upgrade several access features associated with its permitting system (listed below).
- **Permitting:** This capability provides the ability for carriers and permit service companies to apply for and obtain special hauling and divisible load oversize/overweight permits. The rules for each special hauling permit type are available in the "Information Concerning Special Hauling Permits" available at [www.nypermits.org](http://www.nypermits.org). The rules for each divisible load permit type are available in the "Types of Divisible Load Overweight

- **Structural Analysis:** This capability provides for a structural analysis of the desired load and the specified route identified on the permit application. Structural Analysis will be performed by calculating the Permit Vehicle Load Effect (PVLE) ratio of the moment or shear of the permit vehicle over the H20, HS20, and HL-93 vehicle. Additionally, the structural analysis will need to be performed using the NYSDOT Width-Reduction Factor. This analysis is further defined in the NYSDOT Business Rules included in Attachment 15 HOOCS Overview.

- **Routing:** Routing capability will provide interactive vehicle/load based real-time point-to-point routing. This capability should enable the users to define a route that is likely to be approved for the planned load. This capability will integrate a GIS-based routing system with a mechanism to identify and restrict route points and/or segments due to clearances, weight, construction, or other restrictive events.

- **Restriction Management:** The restriction-management capability enables entering and managing temporary and permanent restrictions that affect the routable street network.

- **Account Management:** This capability enables the managing of carrier and permit service companies' account information, including business name, point of contact, addresses, phone numbers, and e-mail addresses.

- **Financial Management:** This capability enables tracking and management of customers' pre-funded accounts, including viewing the account status and the status of any existing Surety Bonds.

- **Workflow Management:** NYSDOT requires workflow capability within the System that is able to support selected existing and future HOOCS-related NYSDOT business processes. The workflow system needs to support both automated and non-automated tasks.

- **Business Rule Management:** NYSDOT requires business rules management capability that assists in managing and enforcing HOOCS business rules.

- **Documentation Management:** This capability enables carriers and permit service companies to submit supporting documentation as part of their permit application and enables the management of permit-related documents.

- **Reporting:** NYSDOT requires reporting capability that enables HOOCS to perform ad hoc reporting in addition to generating dashboards and predefined reports.

Refer to Attachment 15 HOOCS Overview for a conceptual description of the envisioned HOOCS System, as well as refer to Attachment 16, OSCAR Overview.

In addition, NYSDOT requires Regulatory Compliance capability that will replace legacy systems and enable the generation of violation warnings and Notices of Violation (NOV) in support NYS’s program of commercial vehicle oversize/overweight enforcement. Regulatory Compliance includes the analysis of potential violations and a determination of what action to take based on business rules. It also enables tracking compliance status information and correspondence exchanged related to NOVs. Refer to Attachment 18A Regulatory Compliance Overview for a
description of this capability. **Attachment 1** specifies each requirement for each of the above functions.

### 3.7 Non-Functional Requirements

The proposed solution must employ proven hardware and software technology that ensures data security, meets defined performance standards, is supportable for the term of resulting Contract #C030786, and is cost effective to maintain and operate. **Attachment 1** specifies the non-functional requirements the proposed solution must address in the following areas:

- NYS Standards
- System Interfaces
- System Administration
- System Security
- Storage Archival and Retrieval
- System Performance
- Database Requirements
- Data Warehouse
- GIS

#### 3.7.1 Functional and Non-Functional Requirements Information

Since the selected Consultant shall be responsible for delivering all of the functional requirements specified in **Attachment 1**, questions (prior to the submission of proposals) seeking clarification regarding these requirements are encouraged.

Should more space be required in the Consultant’s proposal to provide detailed information about a requirement, Consultants may use additional sheets as long as the information references the requirement category name, object and ID number specified in **Attachment 1**.

### 4. PROPOSAL FORMAT AND CONTENTS

#### 4.1 General

Respondents will complete a Technical and Management proposal per the checklist listed below. In completing these sections, respondents must contain a complete description of the approach and technical responses indicating how the RFPs requirements have optimally been met. Respondents may include additional documents where necessary.

The main portion of your Technical and Management proposal will be presented by competing Attachment 1, in which you’ll address, item by item, how each requirement is met or not met by your proposed solution. The RFP allows you to group your responses where applicable. Present any additional documents as need be, referencing RFP requirement category name and number.
A Technical and Management proposal that fails to include a required response to a Mandatory requirement will receive a failing score for that Mandatory requirement and be removed from further evaluation. Failure to meet any Mandatory requirement shall go through a confirmation process. NYSDOT reserves the right to reject a proposal in its entirety if the proposer fails to provide acceptable information for (or respond to) Mandatory requirements.

A Technical and Management proposal that fails to include a required response to a Mandatory requirement will receive a failing score for that Mandatory requirement and be removed from further evaluation (mandatory requirements are pass/fail). Failure to meet any Mandatory requirement shall go through a confirmation process. NYSDOT reserves the right to reject a proposal in its entirety if the proposer fails to provide acceptable information for (or respond to) Mandatory requirements.

Questions regarding proposal formatting are encouraged.

Proposers must submit a complete proposal in response to this RFP, using the format and forms provided in this section and in the RFP’s attachments, responding to all requirements and following all instructions. Submission of a proposal shall be construed by NYSDOT as the proposer’s acceptance of the procedures, evaluation criteria, and other administrative instructions in this RFP.

For the purposes of evaluation, each proposal must consist of a separate Technical and Management Proposal (Part I) and a separate Cost Proposal (Part II). Each proposal must be complete in itself in order that the evaluation of both Parts can be accomplished independently and concurrently, and the Technical Proposal can be evaluated strictly on the basis of its technical merits. To be deemed responsive, Cost information shall not be included in the Technical Proposal submittal, and Technical and Management information shall not be included in Cost Proposal submittal.

NOTE: NYSDOT may protect confidential and proprietary information from disclosure to the extent permitted by the Freedom of Information Law (“FOIL”), Article 6 of the Public Officers Law, provided that NYSDOT agrees beforehand to shield the release of proposed information. If an offeror believes information included in their proposal is confidential and proprietary, they must identify those page(s) of their proposal and identify specific proposal information to be treated as “confidential and proprietary”. Labeling all proposal pages as “confidential and proprietary” is unacceptable – such proposals will not be accepted unless the proposer re-labels their proposal to only identify what specific material to shield from public scrutiny. All offerors shall explain the material and substantive reason(s) why this information should be considered exempt from public disclosure under New York State’s FOIL law as practiced. The identification of pages and the reasons for exemption must be included in the Executive Summary portion of your proposal. NYSDOT reserves the right to only consider those FOIL exemption requests for which public release of such information would truly be injurious to a firm.

Proposers must deliver proposals to NYSDOT Contract Management Bureau no later than 2:00 PM ET on December 19, 2013. Proposers mailing proposals should allow sufficient delivery time to ensure timely receipt of their proposal in NYSDOT Contract Management Bureau’s offices.
4.2 Proposal Formatting

In order to promote uniformity of preparation and review, proposals must adhere to the following requirements:

- Proposals shall be submitted in three-ring binders. Do not submit proposals bound in any other way (e.g., stapled, spiral- or cloth-bound are not permitted).
- Clearly label any attachment with the proposer’s name on a cover sheet that is firmly attached to the document. Also add the RFP name and contract number.
- Clearly label any unattached documents with the proposer’s name on the cover page of the document. Also add the RFP name and contract number. It is preferred that each response section be separated by a labeled tab page.
- Electronic or fax submission of proposals is not allowed.
- Proposals must be printed on standard 8½ by 11-inch white paper. Pages can be printed double-sided. Color printing is allowed. Larger sized 11 by 17-inch ‘fold-outs’ are permitted (provided the binding does not prevent folding out).
- Proposals must be organized in accordance with the format set forth in the RFP document.
- Proposal text should be 11 point font or larger, except where necessitated for readability of tables, figures, schedules, or special graphics. Twelve (12) point font is preferred. Please avoid printing schedules using fonts smaller than 8 point.
- Proposals must be self-contained and not reference web-links. If it is necessary to include web links, it is a response requirement that specific directions be provided regarding how to navigate within the website to access the referenced information. Failure to do this may result in a lowered technical score.
- Illustrations that support the text must be simple and direct and be either sized to fit on 8½ by 11-inch paper or printed on 11 by 17-inch paper as long as the pages are folded to the 8½ by 11-inch size, and can be folded out from the bound spine of the document. Color illustrations and photographs must be reproducible in black and white without obscuring their distinctive information.
- Proposals that make extensive use of color illustrations or photographs, or that include separate brochures or overly elaborate embellishments, are discouraged.
- The proposer shall submit ten (10) printed and bound paper copies of its Technical Proposal, and two (2) electronic copies of its Technical Proposal on CD/DVD in a Microsoft Office compatible format (Adobe PDF format is not acceptable).
- The Technical Proposal shall be delivered to NYSDOT in a securely sealed package, clearly labeled with the proposer’s name, address, telephone number, and the words “HOOCS Technical Proposal C030786”.
• The proposer shall submit five (5) printed and bound paper copies of its Cost Proposal, and two (2) electronic copies of its Cost Proposal on CD/DVD in a Microsoft Office compatible format (Adobe PDF format is not acceptable).
• The Cost Proposal shall be delivered to NYSDOT in a securely sealed package, clearly labeled with the proposer’s name, address, telephone number, and the words “HOOCS Cost Proposal C030786”.

4.3 Prescreening Proposal Submission Requirements

Use this table to help ensure that a complete proposal is submitted.

<table>
<thead>
<tr>
<th>Check Off Box</th>
<th>HOOCS Prescreening Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>PART 1 TECHNICAL &amp; MANAGEMENT PROPOSAL</strong></td>
</tr>
<tr>
<td></td>
<td>Submit ten (10) printed and bound hardpaper Technical &amp; Management Proposal copies (one original) and two (2) electronic copies (CDs, thumb drives, etc.).</td>
</tr>
</tbody>
</table>
|               | The proposer shall submit a signed Cover Letter on official business letterhead as part of its Technical Proposal submission. The Cover Letter shall contain the signature of an officer or company official who can be contacted during the proposal evaluation and who is authorized to bind the consulting firm to the resulting contract, its provisions, terms, and conditions. The proposer's Cover Letter shall contain the following information regarding the proposer’s official representative for its proposal (multiple officials are allowed):
• Name(s) of proposer’s official representative
• Title
• Full legal name of company
• Address (address from which the firm shall primarily provide HOOCS services. If multiple offices are involved, include all, identify which one is primary, and describe in summary their respective roles, percentages, etc.)
• Telephone number
• FAX number
• E-mail address(es) of the proposer's representative(s)
The proposer’s Cover Letter shall contain the full, legal names of all Subconsultants involved in the proposer's response (if applicable).
The proposer’s Cover Letter shall specifically identify, by proposal page number, line, or other appropriate designation, information it alleges to be a trade secret and shall explain in detail why specifically-identified information is allegedly a trade secret, for the purposes of shielding this information per NYS's Freedom of Information Law (FOIL). |
<p>|               | The Technical Proposal shall include a Title Page identifying the RFP for which the proposal is being submitted and the name, location, and contact person(s) for the proposer's firm. |</p>
<table>
<thead>
<tr>
<th>Check Off Box</th>
<th>HOOCS Prescreening Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The Technical Proposal shall include a <strong>Table of Contents</strong> that reflects the areas identified in Technical Proposal Content. The Table of Contents should identify each major section of the proposal, along with its initial page number. Include/identify any and all external documents or appendices.</td>
</tr>
<tr>
<td></td>
<td>The Technical Proposal shall include a <strong>Statement of Company Background and Experience Section</strong> describing the proposer’s firm. If subconsultants are part of the proposer’s proposal, the Technical Proposal shall include a <strong>Statement of Company Background</strong> describing each subconsultant, providing the same information as required for the prime Consultant.</td>
</tr>
<tr>
<td></td>
<td>The Technical Proposal shall present your proposed <strong>Project Management Approach</strong>.</td>
</tr>
<tr>
<td></td>
<td>The Technical Proposal shall present your proposed <strong>Technical Solution Approach</strong>.</td>
</tr>
<tr>
<td></td>
<td>The Technical Proposal shall present your proposed <strong>Maintenance and Support Approach</strong>.</td>
</tr>
<tr>
<td></td>
<td>The Technical Proposal shall include a completed <strong>Attachment 1</strong> which presents how your solution meets/does not meet each RFP. Additional pages are allowed if properly referenced.</td>
</tr>
<tr>
<td></td>
<td>The Technical Proposal shall include completed <strong>Attachment 2</strong>, to include a Staffing Plan per the format specified in <strong>Attachment 2</strong> of this RFP.</td>
</tr>
<tr>
<td></td>
<td>The Technical Proposal shall include completed <strong>Attachment 3</strong>, to include key personnel resumes and references per the format specified in <strong>Attachment 3</strong> of this RFP.</td>
</tr>
<tr>
<td></td>
<td>The Technical Proposal shall include completed <strong>Attachment 4</strong>, to include company reference information per the format specified in <strong>Attachment 4</strong> of this RFP.</td>
</tr>
</tbody>
</table>

**PART 2 COST PROPOSAL**

|              | Submit five (5) printed and bound paper **Cost Proposal copies** (one original) and two (2) electronic copies (CDs, thumb drives, etc.) |
|              | The Cost Proposal shall include a copy of the **Cover Letter** (provided in the Technical Proposal). |
|              | The Cost Proposal shall include completed, complete, signed **Attachment 5 Cost Proposal**. |
|              | The Cost Proposal shall include a completed **Attachment 6 Procurement Lobbying Law (PLL) Compliance Forms**. |
|              | The Cost Proposal shall include a completed, signed **Attachment 7 Consultant Information & Certifications**. |
|              | The Cost Proposal shall include a completed **Attachment 8 DBE Participation Information Form**. |
Check Off Box | HOOCS Prescreening Requirements
--- | ---
\[X\] | The Cost Proposal shall include a completed (if applicable) Attachment 9 DBE Subconsultant Participation Solicitation Log AND Letter of Explanation of Non or Partial DBE Goal Attainment.
\[X\] | The proposer shall complete and submit Acknowledgement of all future RFP Modification Acknowledgement Forms (if any) as instructed.

### 4.4 Mandatory Requirements

To be considered further, a proposal must meet the HOOCS Mandatory Requirements listed below.

<table>
<thead>
<tr>
<th>Object #</th>
<th>ID #</th>
<th>HOOCS Mandatory Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.5.0-1</td>
<td>1064</td>
<td>Based on the staff proposed in the staffing plan, the prime Consultant or subconsultant(s) shall have a minimum total of three years (36 total months) of <strong>verifiable experience</strong> providing configuration, customization, and integration services using the software product(s) it has proposed or similar products for similar clients. Experience attestations must clearly document time spent in qualifying engagements with no double counting.</td>
</tr>
<tr>
<td>3.5.1.0-6</td>
<td>1070</td>
<td>The Project Structural Engineer shall have a minimum of five years of <strong>verifiable experience</strong> with bridge structural design and analysis.</td>
</tr>
</tbody>
</table>
| 4.6.0-11 | 1327 | The Cost Proposal shall include a completed **Attachment 6 Procurement Lobbying Law (PLL) Compliance Forms** (Offerer’s Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j (3) and §139-j (6) (b) and Offerer Disclosure of Prior Non-Responsibility Determinations).
These forms are required with the RFP Response Form or if you do not submit an RFP Response Form then the PLL forms are required with the Proposal.
These forms are also available at: https://www.dot.ny.gov/main/business-center/consultants/forms-publications-and-instructions

*Note: Failure to submit the completed PLL forms with your proposal will result in elimination from consideration for contract award.* |

### 4.5 Company Background and Experience

NYSDOT requires relevant experience and expertise, and proposers must demonstrate that experience and expertise through past and current project attestations and reachable, verifiable references. Company references should be provided by completing **Attachment 4 Company References Form**. Key personnel references should be provided by completing **Attachment 3 Key Personnel Resumes and References Form**. The experience must be relevant and must be for services consistent with what this RFP is requesting. NYSDOT understands that there may be a need for a Consultant to rely on one or more subconsultants to satisfy certain specialty requirements. If subcontracting is proposed, it is critical that the proposer demonstrate subconsultant's experience with such an operation, again of comparable scale and scope (desired), and the proposer must demonstrate a sound management plan to ensure subconsultant’s
compliance with all contract and scope of service provisions. The Consultant is expected to provide reachable references (both company and personnel) to verify all offered experience. NYSDOT reserves the right to request information from any source so named and to contact additional references (including appropriate references not specifically named by proposers) to completely verify all offered experience.

Present, as the first part of your technical proposal (before Attachment 1), a separate narrative section in your proposal which discusses the following requirements:

<table>
<thead>
<tr>
<th>Object #</th>
<th>ID #</th>
<th>Company Background &amp; Experience Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.5.1.2.0-1</td>
<td>816</td>
<td>The Technical Proposal shall include a description of the proposer team's experience delivering commercial vehicle oversize/overweight (OS/OW) permitting projects similar in scale and scope (ideally) to the project described in this RFP. It is important to note if this team has stayed together during these engagements and how/if different personnel have been utilized.</td>
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<tr>
<td>4.5.1.2.0-2</td>
<td>817</td>
<td>A minimum of one, prior relevant project description should be included in the proposal using Attachment 4. The Consultant should explain why they consider their experience to be relevant. If subconsultants are part of the proposer’s proposal, the description may include projects conducted by the subconsultant(s). At least one project shall have been conducted by the Primary Consultant.</td>
</tr>
<tr>
<td>4.5.1.2.0-3</td>
<td>822</td>
<td>If subconsultants are part of the proposal, the proposer shall submit at least one company reference for each of the subconsultants for similar services performed.</td>
</tr>
<tr>
<td>4.5.1.2.0-4</td>
<td>1154</td>
<td>The proposer's experience description shall include information about its history working with the proposed subconsultants (e.g., nature of relationship, number of engagements worked together, duration of engagements, budget of engagements, percent split between firms), including past experience with meeting contractual DBE or similar goals.</td>
</tr>
<tr>
<td>4.5.1.2.0-5</td>
<td>1155</td>
<td>The proposer's experience description shall include the total number of installations of its proposed solution that have been configured, customized, and implemented by the proposed project team.</td>
</tr>
<tr>
<td>4.5.1.2.0-6</td>
<td>1156</td>
<td>The proposer shall identify and explain any cancelled or failed implementations of its proposed solution within the last three years.</td>
</tr>
<tr>
<td>4.5.1.3.0-1</td>
<td>1157</td>
<td>The proposal shall include all relevant information regarding the number, qualifications, experience, and expertise of all Consultant staff proposed for this engagement.</td>
</tr>
</tbody>
</table>
4.5.1.3.0-2  826  The proposal shall include personnel resumes and references (as set forth in Attachment 3 of this RFP) for all proposed key personnel (at a minimum; include any subconsultants) that are assigned to the following roles:

- Project Manager
- Project Structural Engineer
- Business Analyst
- Database Architect
- Lead System/Software Engineer
- Technical Editor
- Lead GIS Architect

4.5.1.3.0-3  828  The proposal shall include two reachable references for each proposed key personnel. Key personnel references identified in the proposer's proposal shall be English-speaking and available for contact between 9:00 am and 4:00 pm EST. Information for each reference shall include:

- Client name and main line of business
- Name, title, mailing address, e-mail address, and telephone number of primary contact person at the firm
- Dates of service (when the key staff person provided services to the firm or agency)

4.5.1.3.0-4  1503  The Technical Proposal may include any additional reference information submitted to further support a firm’s technical submission (e.g., a training manual, a relevant sample work product for another client, etc.) and such additional references must be indexed in the RTM submission as well as in relevant locations in the main body of the proposal.

4.6 Project Management Approach

The proposer shall describe its approach for managing the work and accomplishing the scope and objectives as identified in the RFP. Specifically, the response shall include project plans, staffing plans, project schedule, approach to managing subconsultants (including DBEs), implementation and transition, training, maintenance and support.

Present, as the first part of your technical proposal (before Attachment 1), a separate narrative section in your proposal which describes your proposed Project Management approach:
<table>
<thead>
<tr>
<th>Object Number</th>
<th>ID</th>
<th>Project Management Approach Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.5.2.0-1</td>
<td>1301</td>
<td>The Technical Proposal shall include a succinct, thorough description of your proposed project approach, including strategy and approach for accomplishing the services detailed in this RFP and meeting all objectives. Information provided in this narrative should demonstrate the proposer's understanding of the skills and processes necessary for successfully completing the services that address the Consultant requirements set forth in Attachment 1 of this RFP, as well as any background or emerging issues associated with commercial vehicle permitting. The proposer should provide a written description for each major section of the Consultant requirements including (but not limited to):</td>
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<td></td>
<td>• Consultant Experience</td>
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<td>• Project Planning</td>
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<td>• Project Execution and Control</td>
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<td></td>
<td></td>
<td>• Support</td>
</tr>
<tr>
<td>4.5.2.0-2</td>
<td>860</td>
<td>The Technical Proposal shall include project management plans, in accordance with the New York State Project Management Methodology, as defined in the New York State Project Management Guidebook <a href="http://www.cio.ny.gov/pmmp/guidebook2/index.htm">http://www.cio.ny.gov/pmmp/guidebook2/index.htm</a>. Specifically, plans should include:</td>
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<td></td>
<td>• Work Breakdown Structure (WBS)</td>
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<td></td>
<td></td>
<td>• Project Schedule</td>
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<td></td>
<td></td>
<td>• Staffing Plan</td>
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<td>• Quality Management Plan</td>
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<td>• Risk Management Plan</td>
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<td>• Change Management Plan</td>
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<td>• Acceptance Management Plan</td>
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<td></td>
<td>• Issue Management and Escalation Plan</td>
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<td>• Communication Plan</td>
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<td></td>
<td>• Support Plan/Transition Plan (including migration plans)</td>
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<td></td>
<td></td>
<td>• Training and Knowledge Transfer Plan</td>
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<td></td>
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<td>Note: Further project planning requirements are specified in the Consultant responsibilities section of this RFP.</td>
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<td>Note: Additional plans are called for elsewhere in this RFP.</td>
</tr>
<tr>
<td>4.5.2.0-3</td>
<td>1440</td>
<td>The Technical Proposal project management plan shall include a DBE management plan that applies over the full life of the contract.</td>
</tr>
<tr>
<td>4.5.2.0-4</td>
<td>861</td>
<td>The project schedule shall be specific to this project, provided in Microsoft Project 2007 or 2010 electronic format, and include the project timeline, all major milestones, work breakdown structure, and a list of technical assumptions. The project schedule must also be presented in hardcopy format.</td>
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</tbody>
</table>

30
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<tr>
<th>Object Number</th>
<th>ID</th>
<th>Project Management Approach Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.5.2.0-5</td>
<td>862</td>
<td>The <strong>project schedule</strong> shall define the sequencing of project activities, including the durations and dependencies among activities.</td>
</tr>
<tr>
<td>4.5.2.0-7</td>
<td>863</td>
<td>The proposer's project plan shall include a <strong>staffing plan</strong> specific to this project that provides a description of how the proposer proposes to utilize the proposed key staff members during each project task/phase and additional staffing to meet the obligations of this engagement as described in this RFP.</td>
</tr>
<tr>
<td>4.5.2.0-8</td>
<td>864</td>
<td>The <strong>staffing plan</strong> shall include an estimate of total effort hours contributed by each of the key personnel to each task and an estimate of total effort hours for each task.</td>
</tr>
<tr>
<td>Object Number</td>
<td>ID</td>
<td>Project Management Approach Requirements</td>
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<tr>
<td>4.5.2.0-9</td>
<td>865</td>
<td>The staffing plan shall also indicate the degree to which it is anticipated that staff will be located on site at the NYSDOT offices. Any work to be conducted off site must be so indicated. The staffing plan should include a staffing schedule for each phase of the project using Attachment 2 Staffing Plan.</td>
</tr>
<tr>
<td>4.5.2.0-10</td>
<td>866</td>
<td>The staffing plan shall describe the strategy that will be used to acquire and maintain human resources with the appropriate skills to staff the project for the project’s entire duration, including possible contract extension.</td>
</tr>
<tr>
<td>4.5.2.0-11</td>
<td>867</td>
<td>If subconsultants are to be used, the staffing plan shall explain the specific need for the expertise, describe the arrangements, and describe how subconsultant labor and deliverables will be managed.</td>
</tr>
<tr>
<td>4.5.2.0-12</td>
<td>868</td>
<td>The staffing plan shall describe the proposer’s plan for phasing project personnel into the effort and the level of interaction contemplated with NYSDOT.</td>
</tr>
<tr>
<td>4.5.2.0-13</td>
<td>869</td>
<td>The Technical Proposal shall include a template or example quality management plan.</td>
</tr>
<tr>
<td>4.5.2.0-14</td>
<td>870</td>
<td>The Technical Proposal shall include a project specific risk management plan that identifies potential project risks, and identifies potential risk mitigation actions.</td>
</tr>
<tr>
<td>4.5.2.0-15</td>
<td>871</td>
<td>The Technical Proposal shall include a template or example change management plan.</td>
</tr>
<tr>
<td>4.5.2.0-16</td>
<td>873</td>
<td>The Technical Proposal shall include a template or example issue management and escalation plan.</td>
</tr>
<tr>
<td>4.5.2.0-17</td>
<td>874</td>
<td>The Technical Proposal shall include a template or example communications plan.</td>
</tr>
<tr>
<td>4.5.2.0-18</td>
<td>875</td>
<td>The Technical Proposal shall include a template or example acceptance management plan.</td>
</tr>
<tr>
<td>4.5.2.0-19</td>
<td>876</td>
<td>The Technical Proposal shall include a template or example support plan and transition plan (including data migration plans).</td>
</tr>
<tr>
<td>4.5.2.0-20</td>
<td>879</td>
<td>The Technical Proposal shall include a description of the training and knowledge transfer approach for this project.</td>
</tr>
<tr>
<td>4.5.2.0-21</td>
<td>878</td>
<td>The Technical Proposal shall include a template or example training and knowledge transfer plan.</td>
</tr>
</tbody>
</table>

### 4.7 Technical Solution Approach

The Consultant’s main proposal shall be a completed Attachment 1, which will detail the offered solution and its optimal fit to the RFP’s requirements. By category, the proposer shall describe its approach for performing the work, delivering the requested services, and accomplishing the scope and objectives as identified in the RFP. Specifically, the response shall include a technical solution description, detailed information about the hardware and software proposed, diagrams,
system design and development approach, and all project assumptions made by the Consultant to ensure project delivery. NYSDOT is seeking to optimize the fit between what has been specified and what a firm is offering as a proposed solution. Some flexibility has been given to allow proposers the ability to demonstrate their ‘best fit’.

Each proposer responding to this RFP will be expected to provide its plan for conducting the migration of the existing systems and data and to provide a technical design that meets all of NYSDOT’s requirements. The proposer shall develop and provide technical recommendations for all hardware, software, third-party products, services, and/or data needed to support its proposed solution, and shall not offer any hardware costs in its Cost Proposal. These recommendations must comply with all requirements and specifications described in this RFP. The State reserves the right to purchase hardware, software, third-party products, services, and/or data recommended or specified by the vendor from established State purchasing contracts if it is deemed to be in the best financial interest of the State. The cost for the necessary software, third-party products, services, and/or data shall be included ONLY in the Cost Proposal. The State reserves the right to determine the total cost of the proposed implementation by adding the cost of purchasing equipment to the required to implement a firm’s solution to the proposer’s total cost provided in the Cost Proposal (vendors shall be notified in writing if this action is taken).

Present, as the first part of your technical proposal (before Attachment 1), a separate narrative section in your proposal which describes your proposed Technical Solution approach:

<table>
<thead>
<tr>
<th>Object Number</th>
<th>ID</th>
<th>Priority</th>
<th>Requirement</th>
</tr>
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<tbody>
<tr>
<td>4.5.3.0-3</td>
<td>1304</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a narrative description providing additional information regarding how the COTS software, Custom Developed components, any peripheral software, and associated system integration services will address the non-functional requirements set forth in Attachment 1. This is an opportunity for the proposer to describe more fully the technical environment in which the COTS software, Custom Developed components, and any peripheral software must operate in order to address technical requirements successfully. The proposer should provide a written description for each major section of the technical requirements, including:</td>
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<td>• NYS Standards</td>
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<td>• System Interfaces</td>
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<td>• User Interface</td>
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<td>• System Administration</td>
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<td>• Storage, Archive and Retrieval</td>
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<td>• System Performance</td>
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<td>• Data Warehouse</td>
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<tr>
<td>Object Number</td>
<td>ID</td>
<td>Priority</td>
<td>Requirement</td>
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</table>
| 4.5.3.0-4     | 566    | Necessary| The Technical Proposal shall describe the capabilities the solution has to **support emerging technologies** now and in the future, including:  
- Emerging wireless roadway safety technology  
- Connected vehicle technology  
- Electronic permitting  
- Electronic permitting standards  
- Potential interstate permitting standards  
- Mobile applications |
| 4.5.3.0-5     | 793    | Necessary| The Technical Proposal shall include the proposer's **data conversion approach** and tools used for data cleansing and the process of loading historical data, as well as population of the existing data. |
| 4.5.3.0-6     | 1432   | Necessary| The Technical Proposal shall include a description of the **vendor's data conversion responsibilities** compared to those of NYSDOT. |
| 4.5.3.0-7     | 1357   | Necessary| The Technical Proposal shall include a **case study** and **sample materials** demonstrating the proposer's ability to develop and deliver **customized role-based user training** designed to instruct users in the operation of the System. |
| 4.5.3.0-8     | 1192   | Prescreening| The Technical Proposal shall include an assessment of the proposed solution's **ADA compliance** with the Americans with Disabilities Act (ADA). |
| 4.5.3.0-9     | 1434   | Necessary| The Technical Proposal shall include a description of how it proposes bringing **ADA noncompliant areas** into compliance with the Americans with Disabilities Act (ADA). |
| 4.5.3.0-10    | 1433   | Necessary| The Technical Proposal shall include a **high-level summary report**, generated using an industry standard validation tool, demonstrating how the proposed System is ADA compliant with the NYS OFT Standards: [http://www.oft.state.ny.us/Policy/NYS-P08-005.pdf](http://www.oft.state.ny.us/Policy/NYS-P08-005.pdf). The summary should include:  
- Software  
- Version  
- Date tested  
- Total pages checked  
- List Accessibility 508 errors checked  
- List Accessibility 508 errors/warnings ignored  
- List Accessibility 508 errors found: error id, error description  
- List Pages where 508 errors found: page title, url, 508 error codes |
<table>
<thead>
<tr>
<th>Object Number</th>
<th>ID</th>
<th>Priority</th>
<th>Requirement</th>
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<tbody>
<tr>
<td>4.5.3.0-11</td>
<td>1480</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of the proposed <strong>pre-defined report solution</strong> that addresses the large number of pre-defined reports that are listed in <strong>Attachment 17</strong>. NYSDOT is looking for new and creative solutions that address the required reporting capabilities.</td>
</tr>
</tbody>
</table>

**Solution Implementation**

<table>
<thead>
<tr>
<th>4.5.3.1.0-1</th>
<th>1199</th>
<th>Necessary</th>
<th>The Technical Proposal shall include a <strong>HOOCS System requirement completion overview</strong> of the proposed approach for completing the HOOCS System requirements detailed in this RFP. Information provided in this narrative should demonstrate the proposer's understanding of the functional and non-functional HOOCS System requirements.</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.5.3.1.0-2</td>
<td>1200</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of the proposed <strong>environment process and approach</strong> for promoting the proposed System from the NYSDOT Development Environment, through the Test Environment, QA Environment, and onto the Production Environment.</td>
</tr>
<tr>
<td>4.5.3.1.0-3</td>
<td>1426</td>
<td>Necessary</td>
<td>The Technical Proposal shall include <strong>Software Architecture Documentation</strong> (SAD) as a series of documents, context and other diagram(s) with supporting narrative that fully describe the overall system architecture of the proposed solution. The SAD provides details for each technical area (including: network, security, utilities/tools, peripherals), and the logical distribution of System components and processes across the architecture, and includes the following key items:</td>
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<td>• Partitioning of System functions to subsystems and components</td>
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<td>• The primary functional responsibility assigned to each subsystem and component, relationship to other modules by generalization or specialization (i.e., inheritance), properties, and constraints</td>
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<td>• Specific technical requirements (e.g., scalability, performance, etc.) to be architecturally controlled</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• Partitioning of the architectural design responsibilities</td>
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<td>• Overall feasibility and specific risks of the architecture</td>
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<td>• Architecture rationale, key decisions, background (including design approaches, patterns, and analysis results)</td>
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<td>• Frameworks used</td>
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<td>• Language(s) used to model/represent System functions</td>
</tr>
<tr>
<td>Object Number</td>
<td>ID</td>
<td>Priority</td>
<td>Requirement</td>
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<tr>
<td>4.5.3.1.0-4</td>
<td>1351</td>
<td>Necessary</td>
<td>The Technical Proposal shall include an <strong>itemized software list</strong> of the software required for each module/component and <strong>hardware mapping</strong> of the needed hardware where the software will reside. This should also include any companion software needed.</td>
</tr>
<tr>
<td>4.5.3.1.0-5</td>
<td>1435</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of the <strong>software licensing</strong> necessary to support the System, including the types and numbers of licenses necessary to support the System. Include a table listing all of the software elements, their related hardware, and all licenses required. All licenses shall conform to Article 10 of Attachment 12 Draft Contract.</td>
</tr>
<tr>
<td>4.5.3.1.0-6</td>
<td>858</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a <strong>software license description</strong> of the software licensing necessary to support the System users, including the types and numbers of licenses.</td>
</tr>
<tr>
<td>4.5.3.1.0-7</td>
<td>852</td>
<td>Necessary</td>
<td>The Technical Proposal shall include (without revealing cost) an <strong>additional licensing description</strong> of whether or not additional licensing is required to operate its proposed software and tools in NYSDOT environments other than production.</td>
</tr>
</tbody>
</table>
| 4.5.3.1.0-8   | 1352| Necessary | The Technical Proposal shall include an **overall architectural considerations description** of the overall architectural considerations explaining how technical requirements will be addressed by the architecture. Representative items in this description should include:  
  - Performance requirements  
  - Accessibility  
  - Security  
  - Disaster recovery  
  - Database  
  - Data space estimates  
  - Audit tracking  
  - Transaction volumes |
| 4.5.3.1.0-9   | 1353| Necessary | The Technical Proposal shall include **System security design documentation and diagram(s)** with supporting narrative for the proposed solution, to include the following:  
  - Logical security architecture design  
  - Physical security architecture design  
  - All controls to be used to mitigate threats to the confidentiality, integrity of the System, availability of the System, and System data encryption and decryption |
<table>
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<tr>
<th>Object Number</th>
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<th>Priority</th>
<th>Requirement</th>
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<tbody>
<tr>
<td>4.5.3.1.0-10</td>
<td>1354</td>
<td>Necessary</td>
<td>The Technical Proposal shall describe the <strong>System database modeling method and tools</strong> proposed, including the ability to interface with ER/Studio. NYSDOT prefers ER/Studio. If proposing a tool other than ER/Studio, describe your proposed method to import/export the System database model into ER/Studio.</td>
</tr>
<tr>
<td>4.5.3.1.0-11</td>
<td>1355</td>
<td>Necessary</td>
<td>The Technical Proposal shall describe the methods and tools proposed for providing an <strong>Application Program Interface</strong> (API). The preferred method is for all data, and corresponding business rules to be exposed by an associated API (Web Service or Java) that can be used to extract or populate data to and from the new System.</td>
</tr>
<tr>
<td>4.5.3.1.0-12</td>
<td>1356</td>
<td>Necessary</td>
<td>The Technical Proposal shall describe the methods, tools, and processes proposed for customizing the database and System data file design to produce and maintain the physical <strong>database tables and System data files</strong> to meet NYSDOT's requirements.</td>
</tr>
</tbody>
</table>

**System Level Solution**

<table>
<thead>
<tr>
<th>Object Number</th>
<th>ID</th>
<th>Priority</th>
<th>Requirement</th>
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</thead>
<tbody>
<tr>
<td>4.5.3.2.0-1</td>
<td>1197</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a <strong>proposed data architecture description</strong> of the, including a data flow diagram.</td>
</tr>
</tbody>
</table>
| 4.5.3.2.0-2     | 837  | Necessary | The Technical Proposal shall include samples of **user and technical documentation** supplied on similar projects, including but not limited to:  
  - User Manual  
  - Database Administrator Manual  
  - System Administrator Manual  
  - Systems Operating Manual  
  - FAQs and scripts  
  - Documentation on how to incorporate customizations during System upgrades  
  - Documentation on how to copy configuration and/or data to a new environment  
Note: Larger samples may be presented as separate proposal attachments. |
| 4.5.3.2.0-3     | 848  | Necessary | The Technical Proposal shall include an explanation of the extent and under what conditions the proposed solution provides the **ability to scale across multiple layers of the architecture** to meet demand. |
| 4.5.3.2.0-4     | 834  | Necessary | The Technical Proposal shall include a description of the proposed methodology, standards, and tools for **System development, integration, testing, and acceptance**. |
### Object Number

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<tr>
<th>Object Number</th>
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<th>Priority</th>
<th>Requirement</th>
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<tbody>
<tr>
<td>4.5.3.2.0-5</td>
<td>836</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a proposed <strong>data conversion, data mapping, and data validation processes and tools description</strong>.</td>
</tr>
<tr>
<td>4.5.3.2.0-6</td>
<td>844</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of how the proposed solution provides any <strong>opportunities to virtualize hardware platforms</strong>.</td>
</tr>
<tr>
<td>4.5.3.2.0-7</td>
<td>843</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of how the proposed solution will <strong>support high availability</strong>.</td>
</tr>
<tr>
<td>4.5.3.2.0-8</td>
<td>851</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of how the proposed approach will address the following desirable <strong>interface features</strong>:</td>
</tr>
<tr>
<td></td>
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<td>• Interfaces independent of connecting platform and language implementations</td>
</tr>
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<td></td>
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<td></td>
<td>• Interface operations that utilize Service Oriented Architecture</td>
</tr>
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<td></td>
<td>• Interfaces that provide the capability to handle or report errors and exceptions that occur during interface operations</td>
</tr>
<tr>
<td></td>
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<td>• Interface operations that can be scheduled or otherwise initiated as required on a case-by-case basis</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• Batch, real-time, and near real-time modes that are supported for interface operations</td>
</tr>
</tbody>
</table>

### 4.8 Maintenance and Support Approach

The proposer shall provide a description of the maintenance and support services it plans to provide NYSDOT should it become the selected Consultant. Maintenance and support services include fixing problems with existing functionality. The proposer must provide a maintenance agreement that will cover the new HOOCS System immediately following the implementation in the production environment. At a minimum, this maintenance agreement will address the following items:

- Remote diagnostics (subject to NYSDOT security policies)
- Support from the Consultant help desk for the NYSDOT HOOCS support team
- On-site issue resolution if necessary
- Fixes to the software
- Updates to user and technical documentation to support software changes resulting from fixes
- System Support and Software Maintenance and Support Requirements

Present, as the first part of your technical proposal (before Attachment 1), a separate narrative section in your proposal which describes your proposed Project Management approach:
<table>
<thead>
<tr>
<th>Object Number</th>
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<th>Priority</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.5.2.1.0-1</td>
<td>1160</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of the <strong>support services</strong> the proposer plans to provide to NYSDOT during the Project Period and the System Warranty period, should it become the selected Consultant. (System Support services include fixing problems with existing functionality.)</td>
</tr>
<tr>
<td>4.5.2.1.0-2</td>
<td>1164</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of the <strong>maintenance and support services</strong> that the COTS software provider plans to provide to NYSDOT beginning after the System Warranty period, should their software be a part of the selected solution. (Maintenance and support services include fixing problems with existing functionality.) When the new HOOCS System is accepted, NYSDOT will release a document that includes the date the warranty period begins, the warranty period’s length, and its end date.</td>
</tr>
<tr>
<td>4.5.2.1.0-3</td>
<td>1161</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of <strong>Service Levels</strong> that details response time, resources applied, and hours of operation for addressing System issues during the project period, System warranty period, and the software maintenance and support services period. The Service Level description shall identify categories of service calls and the priority of response to each. Response times begin when Consultant acknowledges receipt of a NYSDOT trouble call.</td>
</tr>
<tr>
<td>4.5.2.1.0-4</td>
<td>1162</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of how the proposer will respond to NYSDOT on <strong>System certifications</strong> that the System works with updates of database, operating system, web browser, or word processor proposed by NYSDOT.</td>
</tr>
<tr>
<td>4.5.2.1.0-5</td>
<td>1163</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of the <strong>upgrade methodology</strong> the proposer will use to deliver upgrades to any NYSDOT specific configurations and customizations.</td>
</tr>
<tr>
<td>4.5.2.1.0-6</td>
<td>1165</td>
<td>Necessary</td>
<td>The Technical Proposal shall include a description of <strong>COTS Service Levels</strong> that details response time, resources applied, and hours of operation for addressing System issues. The Service Level description shall identify categories of service calls and the priority of response to each.</td>
</tr>
</tbody>
</table>

**COST PROPOSAL PREPARATION:**

The Cost Proposal consists of two sections: (1) a Cost Section, which sets forth all-inclusive lump-sum costs for performing scope of services work and shall set forth all proposed not-too-exceed rates by labor category (fully loaded) for performing contingency work; and (2) the Contract Section, which provides the required State certifications and RFP administrative forms. One original signed Cost Proposal copy, with other copies identified as copies, must be provided.
To be deemed responsive, Cost information shall not be included in the Technical Proposal submittal, and Technical and Management information shall not be included in Cost Proposal submittal. Further, the full cost of a firm’s proposed HOOCS solution must be proposed. Failure to offer costs for all proposed HOOCS solution elements may result in proposal dismissal.

4.9 Cost Section

NYSDOT requires that cost information be presented using the Microsoft Excel spreadsheet included in RFP Attachment 5 Cost Proposal. (Proposers must provide both a hard copy for recordation purposes and an electronic copy of each of the worksheets within this spreadsheet as part of their response. PDF is not acceptable.). The accuracy of calculations and formulas in the spreadsheet are the sole responsibility of the proposer.

The proposer shall include the cost for all software, third-party products, labor/services, and/or data needed to support its proposed design for a complete HOOCS solution. Necessary hardware is to be recommended (do not submit hardware costs). These recommendations must comply with all requirements and specifications described in this RFP. The State reserves the right to purchase hardware, software, third-party products, services, or data specified by the vendor from established State purchasing contracts if it is deemed to be in the best financial interest of the State. The State reserves the right to add any software, hardware, third-party products and/or data costs associated with a firm’s Technical Proposal recommendation to a firm’s cost offer which are required to support its proposed design and implement its solution but are not included in a proposer’s Cost Proposal cost submission. NYSDOT shall notify any proposer in writing should additional costs be added to their Cost proposal.

Your Cost Proposal shall:

1. Include an explanation of the pricing structure and assumptions used in determining costs. The assumptions and the cost basis of estimate must be included in the Cost Proposal, as indicated in Attachment 5.
2. Include an explanation of the pricing structure and the assumptions used in determining its costs, as well as how those assumptions relate to the project staffing plan and schedule. Rates are required for the titles or consultant-proposed like titles.
3. Submit all costs using the instructions and forms provided in Attachment 5. Costs must be specified for all services.
4. Affirm that the proposed cost for all System development and support services (as set forth in Attachment 5) will remain fixed.
5. Provide the number of labor hours per labor category that form the basis for its proposed cost for System development and support.

When completing Attachment 5’s spreadsheet, proposers must follow the following instructions:

1. Calculate and enter the Year 1 not-too-exceed billing rates for each job title identified in the RFP. Additional subcategories are allowed (i.e., BA I, BA II, BA III, etc., with rates commensurate with higher levels of experience and expertise [add rows as required]). Rates must be fully loaded (i.e., all inclusive of all direct and indirect costs, including but not limited to direct salary costs, overhead, fees, travel, and profit margins).
2. Rates for contract year 2 through 5 rates are not to be proposed. Rates for years 2 through 5 of the contract may be adjusted per Article 6.3 Specific Hourly Rates of the draft Contract (Attachment 12).

3. If the Offeror has additional labor category (roles) proposed for their solution, they should add rows to the bottom of the table in this worksheet along with a detailed description of the labor category (roles). Again, additional subcategories are allowed (i.e., BA I, BA II, BA III, etc., with rates commensurate with higher levels of experience and expertise [add rows as required]).

4. All proposed Rates for each Labor Category/Subcategory shall remain fixed for each contract year. A contract year shall be defined during contract negotiations with the selected Consultant.

5. Proposed hourly rates shall be used for the development of the detailed cost for Contingency Services work orders (or for project change requests). For proposal evaluation purposes only, one not-to-exceed rate shall be presented for each role (this rule assumes per person per role. Requirements for actual Contingency Service work delivery may require more than one person by title (actual rates can be equal to or lower than the contract's not-to-exceed rate).

Additional Attachment 5’s spreadsheet completion instructions are as follows:

1. The one-time and recurring costs the proposer provides within the Cost Proposal must include ANY AND ALL one-time and recurring fees, charges, or costs for the duration of the contract, including:
   a. All direct and indirect costs must be itemized, as well as all overhead, fees, and profit, including but not limited to:
      i. Labor, parts, shipping, material and equipment cost
      ii. Software license costs, including software escrow costs
      iii. Maintenance services as specified herein
      iv. Administrative, reporting, or other requirements, overhead costs, and profit
      v. Travel costs, parking fees, and any other ancillary fees and costs including permits, licenses, insurance, etc. for all contract services. Reasonable reimbursement for all travel and travel-related expenses shall be limited to current NYSDOT allowances. (Travel necessary to deliver proposed scope of service items must be clearly described in the Technical proposal.)
      vi. Services not explicitly stated in these specifications, but necessarily attendant thereto as applicable to the associated item for which the rate/fee is being quoted

2. If a proposer indicates compliance with a requirement in Attachment 1, the costs related to that requirement must be included and explained in the Cost Proposal.

3. Terminology used in the cost spreadsheets for products and services must be consistent with the terminology used in the technical portion of the response.

4. All worksheets included in Attachment 5 must be completed in order for the response to be considered complete.

5. Proposer should not make entries in colored cells in Attachment 5’s Excel spreadsheets.
6. Changes should not be made to the spreadsheet format or formulas, but the proposer may attach additional worksheets or pages to explain and detail its pricing (including any assumptions).

While costs for the Regulatory Compliance portion of the proposed solution are included in the cost evaluation, offerors should note that the resulting contract may or may not include the Regulatory Compliance functionality. NYSDOT reserves the right, at its sole discretion, to include or not to include the Regulatory Compliance option in the contract resulting from this RFP; therefore, the cost of Regulatory Compliance portion of your response should be priced separately. Should NYSDOT opt not to include such in the resulting original agreement, NYSDOT further reserves the right to add the delivery of and the cost to deliver Regulatory Compliance functionality to the resulting contract at a later time via formal contract amendment.

The Cost Proposal shall be presented as one total fixed cost, with a separate year 1 rate table, and shall include, at a minimum, detailed information defining and explaining the elements and metrics of the Cost Proposal by phase/activity or by task/subtask and by labor. Additionally, proposers should provide their standard pricing information (product licenses, daily rates, overhead, fees, etc.). NYSDOT may request a “Best and Final Offer” from any or all proposers during the final stages of proposal evaluation, after conclusion of Technical Presentations.

**Method of Payment:**

Payment will be based on the acceptance of completed deliverables by phase as identified in RFP Section 3, Scope of Service. A proposed payment schedule is included in Attachment 5. Contingency service work shall be paid for via the agreed-upon, not-to-exceed labor rates negotiated via the rates proposed in Attachment 5, with reasonable reimbursement for agreed-upon out-of-pocket expenses (subject to New York State reimbursement limitations).

Requests for payments shall be made by the Consultant based on standard NYSDOT consultant reimbursement request form FIN 421 ‘Request for Consultant Reimbursement’ forms prepared and submitted, together with the deliverable item for which the payment request is being made. Advance submission of electronic, draft requests for payment is encouraged, using the following sample: [https://www.nysdot.gov/main/business-center/consultants/consultants-repository/Consultant%20Billing%20Spreadsheets.xls](https://www.nysdot.gov/main/business-center/consultants/consultants-repository/Consultant%20Billing%20Spreadsheets.xls). The spreadsheet contains all of the proper, required billing forms, as well as a sample billing. The Project Manager will respond via e-mail either with comments/corrections or with an approval to submit the final billing via signed hardcopy.

All vendors are directed to register with the New York State Office of the State Comptroller to receive electronic payments per the Governor’s Directive.

### 4.10 Contract Section

**1. PLL Forms**

The Cost Proposal shall include a completed Attachment 6 Procurement Lobbying Law (PLL) Compliance Forms (Offerer’s Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j (3) and §139-j (6) (b) and Offerer Disclosure of Prior Non-Responsibility Determinations). These forms are required with the RFP Response Form or if you do not submit an RFP Response Form then the PLL forms are required with the Proposal. These forms are also available at: [https://www.dot.ny.gov/main/business-center/consultants/forms-publications-and-instructions](https://www.dot.ny.gov/main/business-center/consultants/forms-publications-and-instructions)
(Compliance Procurement Lobbying Law). Note: Failure to submit the completed PLL forms with your proposal will result in elimination from consideration for contract award.

The Cost Proposal shall include a completed and signed **Attachment 7 Consultant Information and Certifications**. All proposing Consultant must indicate their acceptance of all of C030786 Draft Contract’s terms and conditions.

Via submission of a completed and signed **Attachment 7**, the Consultant shall specifically state its acceptance of all Terms and Conditions, appendices and exhibits contained in **Attachment 12 Draft Contract**. NYSDOT shall not consider requests to change the draft contract prior to and after consultant selection (except for a few items left blank; to be filled in later). Firms that are considering tendering a competitive proposal are encouraged to ask questions regarding the RFP’s draft contract during the question and answer phase of the solicitation process (before proposals are due). The Q&A period opens with the RFP’s release and closes with the submissions of proposals. Taking exception to the RFP’s draft contract is not allowed. NYSDOT will not entertain questions regarding the RFP’s draft contract brought to its attention after the close of the question-and-answer period. NYSDOT will not entertain exceptions during contract negotiations. The Consultant’s proposal and/or proposed cost must not be contingent upon any draft contract exceptions or project assumptions. During negotiations with the selected vendor, NYSDOT reserves the right to make minor clarifications to the scope of services to be performed under contract #C030786 via **Attachment 12**, Exhibit A, Scope of Work Clarifications, prior to contract execution.

Altering **Attachment 7** without the prior express, written approval of NYSDOT is prohibited and will lead to the proposal being deemed non-responsive and subsequently dismissed. Be sure to include the full, legal name of all proposed firms.

2. **Disadvantaged Business Enterprise Participation**

The Cost Proposal shall include a completed **Attachment 8 DBE Participation Information Form**. Provide the full legal names of all certified DBE consultants (prime and/or subconsultant). While not indicative of a proposer’s individual merit (technical excellence, ability, experience, etc.), NYSDOT encourages the participation of certified Disadvantaged Business Enterprises (DBE) in its federally-funded solicitations. The level of DBE participation will be relevant to the process of selecting proposals that will best achieve the overall goals of NYSDOT. Please visit the New York State Unified Certification Program (NYSUCP) DBE Directory for certified Disadvantaged Business Enterprises via: [http://biznet.nysucp.net/](http://biznet.nysucp.net/). Further, NYSDOT has posted its final draft DBE Program Plan to its website (subject to change). The draft plan provides background information regarding how NYSDOT conducts its Federally required DBE program, covering such subjects as contract-level goals, good-faith efforts by consultants, and DBE certifications, and is available via: [https://www.dot.ny.gov/main/business-center/consultants/consultants-repository/2010_dbe_draft_plan.pdf](https://www.dot.ny.gov/main/business-center/consultants/consultants-repository/2010_dbe_draft_plan.pdf).

NYSDOT has established a **DBE participation goal of Eighteen (18%) percent** for this solicitation. The goal relates to the total contract dollar amount (total cost/total project budget).

A subconsultant **who is certified (at the time of proposal submission)** as an NYSUCP DBE must provide meaningful participation (commercial useful function) in the execution of HOOCS services in order to count toward the DBE subconsultant participation contract goal. Participation by DBE prime Consultants is encouraged but will not count toward meeting the 18% contract goal (will count towards meeting NYSDOT’s corporate DBE goal). Meaningful participation is
defined as providing commercially useful functions or services, either as delegated tasks or as a part of the services being provided by the prime. These services should result in significant tasks that can be considered commercially marketable.

Firms that offer a proposal under this solicitation may meet or exceed the 18% DBE contract goal. To count toward C030786’s 18% DBE contract goal, any offered DBE firm must be currently NYSUCP DBE Directory certified. Out-of-state DBEs are not automatically acceptable and must be acceptable to NYSDOT before proposal submittal (successfully go through New York State’s DBE certification process).

The Cost Proposal shall include a completed (if applicable) Attachment 8 DBE Subconsultant Participation Solicitation Log AND Letter of Explanation of Non or Partial DBE Goal Attainment.

If the proposal does not meet the 18% percent DBE participation contract goal, the firm must provide acceptable evidence of a good-faith effort by completing Attachment 9 DBE Subconsultant Participation Solicitation Log. Additionally, if the firm does not meet the 18% DBE contract goal, the firm must include in its submission a DBE Goal Attainment Explanation Letter explaining why the firm was unable to meet the DBE goal (in full or in part), which serves to substantiate the firm’s good-faith effort. The letter should include sufficient justification as to why the goal was not met or was met only partially. It should also, at a minimum, address the following factors: the potential firm’s method of accomplishing the work; the reason(s) why part of the prime Consultant’s work cannot be provided by a DBE; the subcontracting opportunities associated with the proposed approach and scope of services; and the availability of certified firms for the work to be performed either by a Prime Consultant or via subcontract. Prime consulting firms are reminded that DBE participation can be via delegation of discrete commercial useful functions and via provision of part of the work being provided by the Prime Consultant.

Additionally, any Prime Consultant certified as a DBE who submits a proposal is not relieved from seeking participation of certified DBEs for sub-contractible services in this solicitation (failure to acceptably comply with the RFP’s DBE requirements could lead to proposal dismissal). In these situations, it is a proposal requirement that unless DBE outreach efforts by the Prime result in proposed DBE subconsultants, the Prime Consultant must provide acceptable evidence of a good-faith effort by completing Attachment 9 DBE Subconsultant Participation Solicitation Log to be deemed responsive.

Firms are advised to refer to RFP Section 5 for the procedure NYSDOT will follow in evaluating a firm’s proposed DBE participation. During the review process, which will include examination of the adequacy and the robustness of a firm’s Good Faith Effort evidence, if it is determined by NYSDOT that the firm did not provide an acceptable Good Faith Effort, then the proposal may be deemed non-responsive and may be removed from further consideration. NYSDOT reserves the right to ask clarification questions on a firm’s DBE proposal. DBEs certified out of New York State are not automatically eligible for consideration (required to go through New York state’s DBE certification process). NYSDOT may apply FHWA’s ‘administrative reconsideration’ process, depending upon circumstances. Pending DBEs (at the time of proposal submission) are not allowed.

Proposers are encouraged to ask questions regarding this aspect of the solicitation.

3. RFP Modification Acknowledgements
The proposer shall complete and submit all future RFP Modification Acknowledgement Forms (if any) as instructed. Receiving an acknowledgement that you’ve read and understood the changes the RFP Modification have are important to receiving a fair and competitive proposal. Missing or not following changes to the RFP could lead to lowering of a proposal responsiveness score or at worst proposal dismissal.

4. **Registrations**

Each proposer must reference its NYS Statewide Financial System (SFS) Vendor Identification Number and NYSDOT-issued Consultant Identification Number (CIN) in its Cost Proposal (Attachment 7). A vendor cannot do business in New York State unless it has registered in NYS’s Statewide Financial System. Please contact NYSDOT if your firm does not yet have its New York State SFS vendor ID number.

If a proposer is selected for contract award and does not have a NYSDOT Consultant Identification Number (CIN), it will be required to obtain one through the following NYSDOT website prior to negotiation of the contract:


Selected vendors are also required to register with the Office of the State Comptroller’s Vendor Responsibility System.

5. **PROPOSAL EVALUATION PROCESS**

5.1 Pre-Screening of Proposals

It is NYSDOT’s sole discretionary determination as to whether a proposal is complete. Proposals which do not meet the mandatory specifications in the Minimum RFP Responsiveness section may be deemed incomplete and non-responsive. Proposals deemed to be non-responsive shall be removed from further consideration.

**Proposal Due Date.** All proposals must be delivered to NYSDOT Contract Management in hard copy by 2:00 PM on December 19, 2013. Any proposals received after that time/date shall not be evaluated further.

**Proposal Opening, Log-in and Certification.** Proposals received on or prior to the due date and time will be opened, inventoried for completeness, certified, and logged-in (per criteria listed in RFP Section 5). For proposals received before/on the due date, firms may receive clarification questions/requests based upon the response completeness checks, with any requested clarification information due back to NYSDOT by COB that same day.

**Minimum Proposal Requirements.** Per RFP Section 4, any proposal which does not include all of the following by the RFP deadline may be determined to be non-responsive. Any proposals deemed non-responsive shall be removed from further consideration (prior to the technical evaluation of proposals):

2. Complete Part II Proposal – Cost and Contract submission.
3. A proposal which either meets/exceeds the 18% DBE contract goal for C030786 or offers
acceptable Good Faith Effort documentation and Letter of Explanation.

4. Meeting the RFP’s three mandatory requirements.

**DBE Goal Attainment/GFE Acceptance Review.** The proposed DBE participation percentages offered for NYSUCP certified subconsultants will be reviewed (RFP Attachment 8). Each offered DBE must be currently listed in the NYSUCP Directory to count towards the Department’s 18% DBE participation goal. If the proposed DBE participation is less than the established 18 percent goal, the firm’s evidence of a Good Faith Effort (RFP Attachment 9) to achieve the goal will be reviewed along with the firm’s letter of explanation as to why it was unable to meet the goal. If a proposer submits a proposal which meets or exceeds the 18% DBE goal, then the certification registration status of all offered DBE subconsultants will be verified by Contract Management, and if certified, the proposed DBE goal accepted.

Proposers with non-certified DBEs will receive a clarification response and be given one opportunity to clarify their proposal (per USDOT/FHWA’s Administrative reconsideration’ process). Offered clarifications will be considered by Contract Management. Offerors with non-certified DBEs will receive a clarification request to submit a good faith effort log. Offerers with acceptable DBE subconsultant participation goal attainment plans will receive a recommendation to have their full proposals proceed further in the evaluation process.

If a proposer submits a proposal which does not meet the 18% DBE goal for C030786, then the submitted good faith log will be reviewed for acceptability and verification of the robustness of effort. Blank, missing, incomplete or otherwise unacceptable good faith efforts may be deemed non-responsive and have their proposal removed from further consideration. Such proposers will be contacted to request clarification of their submitted good faith effort log. Offered clarifications will be considered by the Contract Management. Offerors with acceptable good faith effort logs will have their full proposals proceed further in the proposal evaluation process.

**5.2 Evaluation Category Weight Distribution**

Proposals will be evaluated using the NYSDOT’s Best Value method based upon a 100 total point scale. The Technical and Management portion will be point scored and will represent 70 points of the total Best Value score for the proposal. The cost portion of the Cost and Contract portion will be point scored and will represent 30 points of the total Best Value score for the proposal. A more detailed breakdown of the RFP’s proposal evaluation category weights is as follows:

<table>
<thead>
<tr>
<th>FUNCTIONAL</th>
<th>35 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Permitting</td>
<td>14 Points</td>
</tr>
<tr>
<td>2. Structural Analysis</td>
<td>7 Points</td>
</tr>
<tr>
<td>3. Routing &amp; Restriction Management</td>
<td>8.75 Points</td>
</tr>
<tr>
<td>4. Account &amp; Financial Management</td>
<td>1.75 Points</td>
</tr>
<tr>
<td>5. Reporting</td>
<td>1.75 Points</td>
</tr>
<tr>
<td>6. Regulatory Compliance</td>
<td>1.75 Points</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NON-FUNCTIONAL</th>
<th>20 Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Basic Information Technology Requirements</td>
<td>1 Point</td>
</tr>
<tr>
<td>2. Data</td>
<td>1 Point</td>
</tr>
<tr>
<td>3. Consultant Requirements</td>
<td>1 Point</td>
</tr>
<tr>
<td>5. Support</td>
<td>1 Point</td>
</tr>
</tbody>
</table>
5.3 Part 1 Technical & Management Evaluation (Up to 70 Points)

5.3.1 General:
Technical evaluation of proposals will be accomplished by the members of the Technical Evaluation Committee (TEC) comprised, as appropriate, of technical, program and management subject matter experts. An evaluator package shall be prepared and submitted to members of the TEC; this package shall contain evaluator instructions and evaluation instruments, and shall become part of the procurement record. The TEC shall be briefed on the proposal evaluation process prior to distribution of proposals.

Members of the Committee will evaluate and score each proposal individually (may ask initial clarification questions). Each evaluator shall measure the degree of responsiveness of each proposal’s responses to the specifications and requirements contained in the RFP against the RFP’s evaluation factors (RFP section 5), looking for quality, reasonableness and professionalism. The quality of a firm’s approach shall be evaluated as an integral part of each functional and non-functional requirement response (as applicable). Members of the TEC shall document their responsiveness findings (using the scoring instrument provided in Eval-Pak; separate document, which is part of the proposal evaluation process), and record a whole number numerical score (using the zero-to-ten scoring instrument with grade definitions). The TEC shall convene as a group to discuss the proposals, firm by firm, factor by factor. Evaluators will be allowed to revise scores on the basis of the committee discussions. Reasons for score changes will be documented on the TEC member’s scoresheet as well as electronically by Contract Management. Clarification questions may be formulated during group discussion, and forwarded to firms for responding (either for further TEC group discussion or for technical interviews). Clarification responses shall be forwarded to the TEC for additional consideration. Scoring of written proposals shall remain open until after conclusion of evaluating and scoring the Technical Interviews. Members of the TEC shall be given the opportunity to revise (re-score) their earlier scores/findings based upon the additional clarification information garnered from the Technical Interviews.

As the TEC evaluates and scores each technical and management proposal, the resulting raw average written technical score by firm are kept by each TEC member (on their respective scoresheets) as well as by Contract Management on an electronic composite best value spreadsheet. Contract Management may initially list firms in alphabetic order and later on by initial and final best value rank order.

5.3.2 Technical and Management Written Proposal Evaluation (up to 55 Points)
The technical evaluation criteria listed below, per the RFP, shall be used by the TEC. Each factor’s respective weight is identified in parenthesis. The major evaluation categories are divided into subcategories with no assigned subweights, as the one higher-level category weight covers all subcategories. These are detailed below:

I. Functional Requirements:  (up to 35 points)
A. Access (up to 1 point)
   1. OSCAR Updates
   2. NYS WCB Electronic Real Time Data Access
   3. NYS DMV Electronic Real Time Data Access
   4. NYS TA Electronic Real Time OS/OW Permit Related Data Access
   5. NYS BA Electronic Real Time OS/OW Permit Related Data Access
   6. NYS MTA Electronic Real Time OS/OW Permit Related Data Access
   7. NYS PANYNJ Electronic Real Time Data Access
   8. New York State Statewide Financial System

B. Permitting: (up to 13 points)
   1. Narrative Description
   2. Permit Application Submittal
   3. General Permit Application Review
      a. Other Contingency Services
   4. Divisible Load Permits:
      a. Divisible Load Data Conversion
      b. General Divisible Load Application Review
      c. Token Management
      d. Grandfather Rights Certificates
      e. Weight Bank
      f. Upstate Token Lottery
   5. Special Hauling Permits:
      a. General Special Hauling Application Review
   6. Permit Issuance/Disapproval
   7. View Permit Information
   8. Workflow:
      a. Narrative Description
      b. Workflow Requirements
   9. Business Rules Management:
      a. Narrative Description
      b. Needs Label
      c. Permit Type Management
   10. Documentation Management:
      a. Narrative Description
      b. Documentation Management Requirements

C. Structural Analysis: (up to 7 points)
   1. Narrative Description
   2. Structural Analysis Functions

D. Routing & Restriction Management: (up to 8.75 points)
   1. Routine Narrative Description
   2. Routing Functions
   3. Restriction Management Narrative Description
   4. Restriction Management Functions
   5. NYSDOT Enterprise Linear Referencing System (ELRS)
   6. GIS Requirement

E. Account & Financial Management: (up to 1.75 points)
   1. Account Narrative Description
2. Manage Carrier Account Information
3. Permit Service Company Information
4. Financial Management Narrative Description
5. Prefund Accounts
6. Shopping Cart
7. Permit Fee Payments
8. Insufficient Funds
9. Refund
10. Reconciliation
11. Electronic Funds Transfers
12. Surety Bond Management

F. Reporting: (up to 1.75 points)
1. Narrative Description
2. General Reporting
3. Alerts and Notifications
4. Predefined Reports
5. Dashboards:
   1. Monitoring, Analysis, and Management
   2. Alignment, Coordination, and Collaboration
   3. Dashboard Builder

G. Regulatory Compliance: (up to 1.75 points)
1. Narrative Description
2. Interface with Safetynet
3. Analyze DVER
4. Maintain Violation Tracker Record
5. User Interface
6. Document Management
7. Reporting
8. Correspondence/Document Generator
9. Carrier Certification Safety and Regulatory Enforcement Process
10. Bus & Passenger Carrier Safety Enforcement Process
11. Grade Crossing Safety and Regulatory Process

II. Non-Functional Requirements: (up to 20 points)

A. Information Technology Requirements: (up to 1 point)
1. NYS IT Standards
2. System Interfaces
3. User Interface
4. Search
5. Help
6. System Administration
7. System Security:
   a. Access Control
   b. Audit Logs
   c. Data Security
   d. Security Design

B. Data Requirements: (up to 1 point)
1. Data Migration
2. Storage Archive and Retrieval
3. System Performance
4. Data Base Requirements
5. Data Warehouse

C. Consultant Requirements: (up to 1 point): Ability to provide all of the following:
1. Project Management Approach
2. Technical Solution Approach
3. Consultant Performance Requirements
4. Project Planning
5. Project Execution and Control
6. System Design
7. GIS
8. System Construction
9. System Acceptance
10. System Implementation

D. Support and Maintenance Requirements (up to 1 point)
E. Training & Knowledge Transfer Requirements (up to 8 points)
F. Consultant and Key Personnel Experience: (up to 8 points)

NOTE: Each ‘Narrative Description’ above is divided into the following subcategories (which are collectively evaluated):

1. Description of the COTS/CNF/CST components/solution
2. Examples of successful implementations
3. Years on the market
4. Gap Analysis
5. Name of Any Additional COTS or Custom Solution Component

5.3.3 Reference Checks

Reference checks (to verify offered experience) may be required to complete the evaluation of technical proposals. In cases where TEC members are unfamiliar with a firm’s work or NYSDOT does not have prior consultant performance documentation, the TEC may request verification of a firm’s offered references. Subject references shall be contacted by Contract Management using its standard reference check questionnaire, adjusting that per the RFP. Reference check feedback will be forwarded to the TEC for their considerations during the after-group discussion phase. The TEC may meet to consider reference check information. Evaluators will be allowed to revise their technical scores based on consideration of this additional information and their follow-up discussions. Changes to scores and their reasons shall be recorded on written scoresheets as well in electronic form.

5.3.4 Written Technical Proposal Clarifications

NYSDOT reserves the right to seek written clarifications from firms submitting proposals in order to assure a full understanding of their responsiveness to the solicitation’s technical requirements. If written clarifications, based upon proposal review, are requested by the Technical Evaluation Committee, a firm which is the target of the clarifications may be asked to provide written clarifications at any time during the proposal evaluation process. Evaluators will be allowed to
revise their technical scores based on receipt and consideration of this additional clarifying information and follow-up TEC discussions. Reasons for any score changes shall be documented.

5.4 Cost Proposal Evaluation (Up to 30 Points)

Cost proposals shall be reviewed, evaluated and scored for all proposals once they have cleared Mandatory requirements checks. Cost proposals shall be point scored with up to 30 best value points available. Initial cost scores shall be developed and used to identify initial Best Value scores. Cost proposal clarification questions may be asked at this time.

The cost proposal with the lowest total fixed cost for HOOCS Solution and Services (labor and software licenses) solution shall receive a perfected cost score of 30 points. Proposals with higher total fixed cost shall receive proportionately lower cost proposal scores.

Cost scores (which are relative to the field of consultants competing for contract award) are subject to change depending upon whether or not cost proposal clarifications responses (or Best and Final Offer responses or proposal withdrawals or pass/fail dismissals) lead to proposed cost changes. Cost scoring results shall be used to determine which proposals are to be shortlisted/which firms are susceptible to contract award (a best value determination). A final cost score shall be calculated once all cost proposal evaluation has been completed.

5.5 Initial Best Value Determination

Perfected cost scoring results will be added to the initial raw technical scores, generating an initial best value score by firm. Firms shall be ranked in initial best value score order (highest to lowest).

Should any firm withdraw their proposal during the proposal evaluation process, NYSDOT will remove that firm’s technical and cost information from the Best Value evaluation documentation and shall recalculate the remaining field’s technical and cost scores (without the withdrawn firm’s information).

5.6 Proposal Shortlisting

The shortlisting rule for this solicitation shall be: Any proposal within 15 points of the top initial Best Value ranked proposal, plus any ‘cluster’ of initial best value proposal scores surrounding the cut-off line. Cost evaluation results shall be considered along with the initial raw after-group discussion written technical proposal score results to determine initial offered Best Value, which shall lead to an initial Best Value-determined shortlisting of firms (determined to be mathematically susceptible for contract award).

Firms submitting proposals which do not make the shortlist shall not be included in the remaining best value evaluation process steps (not included in subsequent proposal scoring process). Such a firm’s proposal shall be classified as: ‘Did Not Finish’ in the procurement record.

5.7 Technical Interview/Demonstration Evaluation

The Technical Interview portion (only available for firms mathematically subject to contract award; ie, shortlisted) of the Technical and Management proposal will be technically evaluated and point scored and will account for a separate block of up to 15 points of the total best value score for a proposal. Technical Interviews will be held for firms offering proposals which are deemed to have a mathematical chance of being susceptible to contract award and have made the short-list after completion of initial Best Value considerations.
Short-listed firms shall receive a Technical Interview invitation package, which shall include instructions, areas which NYSDOT is seeking further clarifications, and may include additional clarification questions from the Technical Evaluation Committee (TEC). Firms invited to attend Technical Interviews shall present a brief overview of key personnel present, make brief opening presentation (limited to 10 minutes), and respond to TEC member questions.

TEC members will evaluate Technical Interviews using the RFP’s evaluation criteria and weights listed below. A separate score sheet shall be used to record TEC Technical Interview findings and scores. TEC members shall score the technical interview independently first, then meet as a group to discuss their findings and scores. Members of the TEC may revise their technical interview scores as a result of group discussions. Reasons for score changes shall be recorded on the applicable TEC member’s hardcopy scoresheet as well as in Contract Management’s electronic composite scoresheet. Once scoring of each Technical Interview has concluded, TEC members shall sign/date and surrender their scoresheets to Contract Management.

Technical Interview Evaluation  (up to 15 points; for shortlisted firms only).

1. Further insight and understanding of the consultant’s proposed experience (firm and all key personnel); (up to 10 points)

2. Adequacy of demonstration (including use of NYSDOT sample data or other data); adequacy of approach; adequacy of the tasks/roles the Consultant will undertake as part of the project team to deliver successful HOOCS solution; were all Key Personnel in attendance with an adequate short introductions and discussion of their capabilities, experience/expertise and proposed project roles and articulated and demonstrated knowledge of the proposal; (up to 4 points)

3. Responsiveness to questions and concerns raised by the TEC; ability to satisfactorily answer all TEC clarification questions; (up to 0.5 points)

4. Clarity and quality of presentation; team chemistry. (up to 0.5 points)

5.8 Final Written Technical Proposal Evaluation (Re-Scoring)

Scoring of written technical proposals shall remain open until after conclusion of evaluating and scoring the Technical Interviews. Members of the TEC shall be given the opportunity to revise (re-score) their earlier scores/findings based upon the additional clarification information garnered from the Technical Interviews. TEC members shall revisit their original hardcopy scoresheets and should any after-Technical Interview changes be in order, may revise their after-group discussion, written technical proposal scores as a result of further group discussions. Reasons for any and all score changes shall be recorded on the applicable TEC member’s hardcopy scoresheet as well as in Contract Management’s electronic composite scoresheet. Once the re-scoring of written technical proposals has concluded, TEC members shall sign/date and surrender their scoresheets to Contract Management.

5.9 Best & Final Offers (BAFO; Optional)

The Department reserves the right to request Best and Final Offers from firms which make the shortlist. Any Best and Final Offer request may ask additional further clarifying technical and/or cost proposal questions of firms to further clarify their submitted proposals. NYSDOT also may request a cost only BAFO. Should NYSDOT opt to request BAFOs, all shortlisted firms will receive a BAFO request. Responding firms will be allowed to submit a Best and Final Offer
(technical and/or cost); firms may opt to not submit a BAFO. Evaluators will be allowed to revise their technical scores for the written proposal based on their consideration of any new or changed Part I information contained in any Best and Final Offer (will re-sign/re-date the applicable hardcopy scoresheets). If changes to a firm’s Part I Technical Proposal lead to corresponding, necessary revisions to their Part II Cost Proposal (or should a firm opt to clarify their cost proposal) or should the Department opt to request cost-only BAFOs, the Department’s Contract Management representative shall make the necessary, appropriate adjustments to that firm’s Part II cost evaluation.

Should any firm withdraw their proposal after a possible BAFO request, NYSDOT will remove that firm’s technical and cost information from the Best Value evaluation documentation and shall recalculate the remaining field’s technical and cost scores (without the withdrawn firm’s information).

5.10 **Final Best Value Evaluation**

After evaluation of all technical information submitted by competing consultants (i.e. initial written proposals, written clarifications, and possible Best and Final Offers), NYSDOT will perfect (curve) the technical scores so that the highest-rated raw written technical proposal score gets changed and assigned a perfect score of 55 points for this solicitation with the other technical scores adjusted proportionately downward. NYSDOT will also perfect (curve) the Technical Interview scores so that the highest-rated raw Technical Interview score gets changed and assigned a perfect score of 15 points for this solicitation with the other Technical Interview scores adjusted proportionately downward. Cost proposals (Part II) have previously been evaluated and the resulting cost scores perfected by cost proposal scoring rule. Perfected cost scoring results will be added to the perfected written technical proposal score plus the perfected Technical Interview score to generate a tentative final best value score. Firms shall be ranked in Final Best Value score order (highest to lowest).

*Tie-Breaking Rule:* Should any of the tentative final Best Value Scores of one or more proposals competing for the contract award lie within one and one-half points of each other, then State Finance Law Section 163(10)(a) shall be used to settle any ties.

Once all possible score ties have cleared, NYSDOT will determine the Final Best Value Score, where after the proposal with the highest Final Best Value score shall be recommended to NYSDOT Executive Management for contract award for contract #C030786.

5.11 **Consultant Selection Recommendation & Tentative Contract Award**

A consultant selection and designation memo shall be prepared and forwarded to the applicable NYSDOT Executive Manager(s) with an accompanying proposal evaluation process results report. The memo shall recommend selection of the top-ranked Best Value Consultant for tentative contract award of C030786 to NYSDOT Executive Management. The Executive Manager will be asked to concur with the final conclusion of the proposal evaluation process - a recommendation for the tentative contract awards for the Department - and designate the top-Best Value rated consultant based upon the above results.

Should negotiations with the top-ranked Best Value Consultant fail to produce agreed-upon contracts, then NYSDOT Executive Management will designate and award contract #C030786 to the next highest-ranked Best Value Consultant. The Department will then enter into negotiations with the second-highest rated Consultant. This process may repeat itself until acceptable
contracts are consummated. The consultant designation becomes final after the NYS Office of the State Comptroller approves Contract #C030786.

The designation shall be publicly posted. Once the public has been notified of the solicitation’s results, negotiations with the selected Consultant can commence. The final contract is subject to approval by NYSDOT, the Attorney General, and the Office of the State Comptroller, and is not binding until such approval is received.

At the conclusion of the proposal evaluation process, an announcement of NYSDOT’s designation(s) will be posted the ‘Consulting Services’ listing on NYSDOT’s website via: https://www.dot.ny.gov/business. All proposers will be notified in writing regarding the results from the solicitation. All non-designated firms will be offered an opportunity to request a debriefing.

It is expressly understood that this RFP does not commit NYSDOT to award a contract, to pay any costs incurred in the preparation of a proposal to this request, or to procure or contract services or supplies. Further, NYSDOT shall have no obligation or liability whatsoever to the vendor selected as a result of this solicitation, unless and until a contract satisfactory to NYSDOT is approved and executed by the vendor and all necessary State officials.

6. ADMINISTRATIVE SPECIFICATIONS

6.1 Inquiries and Information

All questions concerning this solicitation must be directed only to Al Hasenkopf, NYSDOT Contract Management Bureau. The last date to submit questions for this solicitation is indicated in Section 6.4, Tentative Schedule of Key Events. All inquiries should be addressed to:

   Al Hasenkopf, NYSDOT Contract Management Bureau
   E-Mail: alfred.hasenkopf@dot.ny.gov
   Fax: 518-457-8475

NYSDOT will do its collective best to respond to all questions of a substantive nature, answers to which shall be posted to NYSDOT’s website under this solicitation. NYSDOT will also send out informal ‘Announcements’ to all vendors who register their potential interest with the designated NYSDOT contact person. A list of parties expressing potential interest shall also be posted onto NYSDOT’s website shortly after the Pre-Proposal Conference is held.

6.2 Proposal Submission

The proposal shall be signed by an official of the firm who is duly authorized by the responding firm to bind the proposer to its offer (as clarified by the proposal evaluation process and by the negotiation process). One proposal shall be an original (and identified as such); all others are to be copies.

Your proposal must be received by NYSDOT by 2:00 PM ET on the day indicated in Section 6.4, Schedule of Key Events (below). The proposal must be addressed to:

   William A. Howe, Director, Contract Management Bureau
   New York State Department of Transportation
6.3 State’s Rights to Proposals

All proposals, upon submission to NYSDOT, shall become NYSDOT property for use as deemed appropriate. By submitting a proposal, the proposer covenants not to make any claim for or have any right to damages because of any misinterpretation or misunderstanding of the specification, or because of any misinformation or lack of information. With regard to proposal submitted, NYSDOT asserts the following rights and prerogatives (the RFP expressed others elsewhere):

1) To accept or reject any or all proposals;
2) To correct any arithmetic errors in any or all proposals;
3) To change the proposal’s due date upon appropriate notification to interested firms;
4) To eliminate any mandatory RFP specification unmet by all offerors in the evaluation of received proposals;
5) To adopt any or all of a successful offeror’s proposal;
6) To negotiate modifications to the scope, milestone payment schedule and total cost, and contract terms and conditions with the selected offeror prior to contract award only if it is in the best interest of the state to do so;
7) To disqualify an offeror from receiving the award if such offeror, or anyone in the offeror’s employ, has previously failed to perform satisfactorily in connection with public bidding or contracts;
8) To revise/amend any provision of this RFP by written notification to offerors, prior to proposal submission;
9) To eliminate any requirement that is found to be unmet by all offerors;
10) To make inquiries, by means it may choose, into the offeror’s background or statements made in the proposal to determine the truth and accuracy of all statements made therein;
11) To select and award the contract to the offeror whose proposal represents the best value to NYSDOT;
12) Should NYSDOT determine that the negotiations with the selected offeror will not result in a contract, to begin contract negotiations with the next-best-value offeror(s) responsive to this RFP — without again requesting proposals;
13) If NYSDOT terminates the contract — without again requesting proposals, to begin contract negotiations with the next-best-value offeror; and
14) Any contract entered into pursuant to an award of this solicitation shall contain a provision which grants the option to extend the terms and conditions of such contract to any other New York state agency. However, any response to this solicitation shall be based solely on the purpose of this solicitation and shall not factor in the possibility that this contract may, in the future, be applicable to other state agencies. Please be advised that any award made pursuant to this solicitation shall be based on the specific requirements of this solicitation only.

6.4 Tentative Schedule of Key Events

NYSDOT will attempt to adhere to the following schedule with regard to this solicitation:
### Event
- RFP Release Date
- Pre-Proposal Conference
- Question Submittal Deadline
- Answers to Question Due \(^1\)
- Proposals Due
- Proposal Evaluation Begins
- Technical Presentations
- Recommendation & Designation
- Negotiation
- Contract Execution
- Work Begins

\(^1\): A second Q&A round is possible

### Timeline
- November 1, 2013
- November 13, 2013 @ 10:00 AM
- November 22, 2013 COB
- December 2, 2013
- December 19, 2013 @ 2:00 PM ET
- December 2013
- January 2014
- February 2014
- February 2014
- March 2014
- April 2014

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#### 6.4.1 Pre-Proposal Webinar

NYSDOT will hold a HOOCS Pre-Proposal Webinar, where remote participation is optional yet recommended. The agenda shall be going over the RFP and its attachments, and highlighting what’s changes since the RFP was first issued. Questions can be submitted in advance as well as electronically via the webinar. The Pre-Proposal Webinar shall be held on November 13, 2013 at 10:00 AM. **To register for the webinar, please contact: alfred.hasenkopf@dot.ny.gov.**

NYSDOT will record the webinar. Answers provided at the webinar shall be recorded; some questions may have to be deferred. Answers to all substantive questions shall be publically posted onto NYSDOT’s website under this solicitation, and all parties notified via announcement. E-mail notices shall be sent to the e-mail addresses of all parties who officially register their interest in NYSDOT’s HOOCS C030786 RFP. Only written answers posted on the NYSDOT website will be official. Questions that address possible conflicting information in this RFP will be resolved via formal Modification to this RFP and posted on the NYSDOT website, with all firms expressing interest being notified via e-mail. To be deemed responsive, all firms offering proposals are required to acknowledged receipt of any and all RFP Modifications in writing (by submitting the one-page acknowledgement response form included in the RFP Modification document).

#### 6.5 Deliverable Submittal, Review and Acceptance Process

The selected Consultant and NYSDOT will follow the following deliverable submittal, review and acceptance process for all deliverables except for software.

**Submittal Process**
- The Consultant shall submit the deliverable to the assigned NYSDOT Project Manager(s) (PMs). An electronic copy is preferred.

**Review Process**
- The PM(s) consults with Program Area to develop lists of reviewers and approvers.
- Electronic copies of the deliverable are distributed to reviewers and approvers.
- The Consultant will schedule a meeting with designated reviewers and approvers to provide a high-level walkthrough of the document to facilitate review.
• The PM will schedule a review meeting with reviewers and approvers. They are notified of the importance of reviewing the deliverable and that it is essential for them to have read and developed comments before the meeting.

• The Review Meeting will be held. At the meeting, the document is reviewed page-by-page. Minor in-line changes will be made using Word’s ‘Track Changes’ feature. Comments will be inserted into the document where appropriate. The originator of each comment will be noted. (This will be done on a Pilot basis. The effectiveness of the process will be evaluated and a decision made regarding process refinement.)

• NYSDOT will make every reasonable effort to provide the review comments to the Consultant within 10 business days from submittal. It should be noted that all submittals not received before noon will be considered to have been submitted the following day.

• It is expected that NYSDOT will receive the revised documents addressing all comments within 5 business days of the return of the original submittal to the Consultant.

• NYSDOT will review the revised submittal and return comments to the Consultant within 5 business days. No new comments will be made unless either the original comments have not been adequately addressed or modifications made in response to the original comments have raised new issues or concerns.

• The Consultant will address all comments and resubmit within 3 business days.

• NYSDOT will complete the “Final Review” within 2 business days. If there are outstanding issues that remain, NYSDOT and the Consultant will immediately escalate them to the Sponsors and, if necessary, the Steering Committee for resolution.

Acceptance Process

• When the deliverable has been accepted, the Consultant will be so notified and they will submit an invoice via email to NYSDOT Project Manager(s). Signed invoice to follow in regular mail.

• NYSDOT Project Manager(s) will forward the invoice to designated NYSDOT payment person along with a statement indicating that the deliverable fulfills contract requirements and has been accepted.

• Designated NYSDOT payment person will then forward the invoice to Accounting for payment.

• For all software-related deliverables, the Consultant’s RTM and the RFP’s requirements will be being used to govern acceptance.

6.6 Protest Procedure

NYSDOT has established a protest procedure to be utilized when an interested party challenges a Non-Engineering consultant designation by NYSDOT. The complete procedure can be accessed via https://www.dot.ny.gov/main/business-center/consultants/consultants-repository/misrep_protest.pdf. The protest procedure addresses the FHWA’s DBE Administrative Reconsideration per 49 CFR Part 26.53(d).
6.7 Information for the Selected Consultant

The following items are presented for proposer information, to make interested parties aware of contract-related items to which selected Consultant(s) need to pay attention.

Vendor Responsibility

In accordance with the NYS Finance Law, NYSDOT will only make contract award to vendors that are determined to be responsive and responsible. All Prime Consultants with NYSDOT contracts (as well as all subconsultants with contract contributions greater than $100,000) will be required to provide vendor responsibility information through the Office of the State Comptroller (OSC) website, via http://www.osc.state.ny.us/vendrep/index.htm, before negotiation of a contract. Offerors must certify the accuracy of the information they provide in the questionnaire. The date your firm certifies your OSC vendor responsibility filing will appear on the contract signature page.

Contractor Tax Certification

All vendors selected for contracts in excess of $100,000 for the sale of goods or services must complete and submit two NYS Tax Department forms: Form ST-220-TD (Contractor Certification) and Form ST-220-CA (Contractor Certification to Covered Agency) during negotiation of a contract with State agencies. You should make yourself familiar with these forms by visiting the following websites:


Insurance Requirements of this Project

Please carefully read the terms and conditions of the draft Contract appended as Attachment 12 to this RFP. Your attention is drawn to the insurance requirements for this Project that are contained in Attachment 12, Article 9. These insurances are mandatory for the firm(s) selected as a result of this solicitation and will not be waived. Proof of Workers’ Compensation and Disability Benefits Insurance are required before the amendment can be approved. The following are acceptable proofs:

1. Workers’ Compensation Coverage:
   - Form C-105.2 Certificate of Workers’ Compensation Insurance issued by private insurance carriers
   - Form U-26.3 Certificate of Workers’ Compensation Insurance issued by the State Insurance Fund
   - Form SI-12 Certificate of Workers’ Compensation Self-Insurance
   - Form GSI-105.2 Certificate of Participation in Workers’ Compensation Group Self Insurance

2. Disability Benefits Coverage:
   - Form DB-120.1 Certificate of Disability Benefits Insurance
   - Form DB-155 Certificate of Disability Benefits Self-Insurance

3. WC/DB Exemption:
   - CE-200 Certificate of Attestation of Exemption from NYS Workers’ Compensation and/or Disability Benefits Coverage For more information see GFO Chapter XI Section 18G
Please Note:

- The name and FEIN of the contracting entity must match the name and FEIN identified on the proof of coverage or exemption.
- An ACORD form is not an acceptable proof of workers' compensation coverage or disability benefits insurance.
- In the instance of exemption, please be advised that the WCB does not verify Attestations for Exemption. As the State contracting entity, you must verify the acceptability of the entity's reason for exemption and communicate that reason to the OSC auditor requesting proof of compliance; please verify and provide a copy of the signed and dated exemption certificate.
- To assist you and your vendor to resolve this matter, the following links to information regarding acceptable proofs of coverage are provided:
  - Workers' Compensation: [http://www.wcb.ny.gov/content/onlineforms/obtainC105.jsp](http://www.wcb.ny.gov/content/onlineforms/obtainC105.jsp)
  - Disability Benefits: [http://www.wcb.ny.gov/content/onlineforms/obtainDB120-1.jsp](http://www.wcb.ny.gov/content/onlineforms/obtainDB120-1.jsp)
  - Exemption: [http://www.wcb.ny.gov/content/ebiz/wc_db_exemptions/requestExemptionOverview.jsp](http://www.wcb.ny.gov/content/ebiz/wc_db_exemptions/requestExemptionOverview.jsp)
- Please find a link to the attached WCB publication Prove it to Move it Program 2010, which outlines current guidelines for WCB compliance: [http://www.wcb.ny.gov/content/main/Employers/ProveItToMoveIt.pdf](http://www.wcb.ny.gov/content/main/Employers/ProveItToMoveIt.pdf)
- Questions regarding coverage requirements may be directed to the WCB compliance division, Walter Peretti, 518-402-8330, walter.peretti@wcb.ny.gov.

4. Other NYS DOT Insurance:

The Agreement requires the Consultant to PROCURE AND MAINTAIN UNTIL FINAL ACCEPTANCE OF THE WORK in the amount specified in Article 11. Only Certificate of Insurance Form C218m is accepted by the Department. The C218m form to be completed by your broker is downloadable via: [https://www.dot.ny.gov/main/business-center/consultants/forms-publications-and-instructions](https://www.dot.ny.gov/main/business-center/consultants/forms-publications-and-instructions)

Consultant Employment Disclosure Requirements of this Project

The Consultant selected for this solicitation shall be required to complete “State Consultant Services – Contractor’s Planned Employment” (Attachment 13, Consultant Employment Disclosure Legislation Form A) and submit when the contract is signed. For each contract year thereafter, the Consultant shall complete the “State Consultant Services Contractor’s Annual Employment Report” (Attachment 13, Consultant Employment Disclosure Legislation Form B) and submit copies to the Office of the State Comptroller, the Department of Civil Service, and the Department of Transportation on or before May 15 of each year the contract is in effect.

Consultant Responsibility When Proposing to Use a Former NYS DOT Employee

It is the Consultant’s responsibility to ensure that they propose staff eligible to work on the subject project. Under the attached procedures, before the consultant proposes a former NYSDOT employee, the individual must obtain an opinion from the New York State Ethics Commission that approves their participation in the subject project. For an outline of the procedure that applies to this situation, see Attachment 14.

Registration with NYS DOT
Should this solicitation lead to a designation, it is the Consultant team’s responsibility to electronically register their firm, including all subconsultants, using the Consultant Selection System web application (CSSWeb). Non-Architectural/Engineering consultant firms are required to create and register an account to: 1) Create and assign Consultant Identification Numbers (CINs) for each office registered by the firm; and 2) Provide general firm information, including but not limited to legal firm name, Federal Identification Number (FEIN), ownership type, D/W/MBE status, firm principals and office(s) address information. All Consultant firms participating in a potential agreement (negotiations) must be registered electronically with NYSDOT prior to that agreement being forwarded to the OSC for approval. Registered firms are responsible for verifying and updating their registration information for the duration of the agreement. Section 6 of this RFP provides more information.

**Registration with Statewide Financial System (SFS)**

Should this solicitation lead to a designation, the Prime Consultant will be required to register electronically with New York State’s SFS. If a firm is not already registered, NYSDOT will initiate the registration process in the SFS application and then contact the Prime Consultant to provide them with further direction for completion of the registration process. The result of this process is an established SFS vendor number assigned to the Prime Consultant, usable for all NYS-related transactions. If a firm has already registered in SFS in connection with another procurement effort, it will likely not need to re-register for this opportunity but is instructed to enter its SFS number in Attachment 7. However, an SFS vendor number is specific to the legal name of a firm. Since many firms have different variations of their business identities, firms will be required to register in the name of the business entity with which NYSDOT is doing business.

**7. LIST OF ABBREVIATIONS AND GLOSSARY OF TERMS**

The below List of Abbreviations and Glossary of Terms are comprised of terminology contained within this RFP and its corresponding attachments. Any entry in the List of Abbreviations marked with an asterisk is also defined in the Glossary of Terms.

**7.1 List of Abbreviations:**

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>ALJ</td>
<td>Administrative Law Judge</td>
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<tr>
<td>AES</td>
<td>Advanced Encryption Standard</td>
</tr>
<tr>
<td>AASHTO</td>
<td>American Association of State Highway and Transportation Officials</td>
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<tr>
<td>BDIS</td>
<td>Bridge Data Information System</td>
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<tr>
<td>BIN</td>
<td>Bridge Identification Number</td>
</tr>
<tr>
<td>CIN</td>
<td>Culvert Identification Number</td>
</tr>
<tr>
<td>CMV</td>
<td>Commercial Motor Vehicles</td>
</tr>
<tr>
<td>CPO</td>
<td>Central Permitting Office</td>
</tr>
<tr>
<td>CVIEW</td>
<td>Commercial Vehicle Information Exchange Window</td>
</tr>
<tr>
<td>DTF</td>
<td>Department of Tax and Finance</td>
</tr>
</tbody>
</table>
DMV  Department of Motor Vehicles
DOT  Department of Transportation
FHWA Federal Highway Administration
FIPS  Federal Information Processing Standards
GIS  Geographic Information Systems
HOOCS Highway Oversize Overweight Credentialing System
HUT  Highway Use Tax
IFTA  International Fuel Tax Agreement
IRP  International Registration Plan
ITS New York State Office for Information Technology Services
MO  Main Office of NYSDOT
MTA  Metropolitan Transportation Authority
NENA National Emergency Number Association
NOV Notice of Violation
NYC New York City
NYCRR New York Codes, Rules, and Regulations
NYS New York State
NYSBA New York State Bridge Authority
NYSTA New York State Thruway Authority
ODVP NYC Over-Dimensional Vehicle Permitting System
OS/OW Over Size / Over Weight
PA Permit Automation
PANYNJ Port Authority of New York and New Jersey
PDF Portable Document Format
PE Professional Engineer
PST Pre-Screening Tool
REST Representational state transfer
RIS Roadway Information System
SFS NYS Statewide Financial System
TBTA Tri-Borough Bridge and Tunnel Authority (division of the NYC MTA)
UCR Unified Carrier Registration

7.2 Glossary of Terms

511NY: The NYS Traveler Information System.
AASHTOware: Products available from the American Association of State Highway and Transportation Officials
Accept/Approve: Accept indicates that the data is sufficient to pass on and may have been checked (a full review is not required). Approve indicates that responsibility is required for a thorough review.

Administrative Hearing: Type of Hearing held based on the Return Date and matters on the calendar decided by the Administrative Law Judge (ALJ), whereby an Order after Hearing is issued.

Authorized Users: NYSDOT Staff authorized to access the HOOCS System and perform processing of the permit applications and associated data.

Auto Approve: Selected permit applications may be automatically approved based on the business rules.

BIGTRUK: NYSDOT software application utilized to perform structural analysis for the loaded vehicle seeking a permit versus that of a design vehicle. The effects are manually reviewed for the various span configurations and span lengths that the loaded vehicle will encounter along the proposed route.

Bridge: By federal and state definition, bridges are structures that have a span of more than 20 feet.

Bridge Data Information System (BDIS): NYSDOT’s system to be used for the management of bridges, large culverts, and all information regarding those structures (BDIS is a work in progress).

Bridge Identification Number (BIN): A BIN is a unique identification number for all structures (large culverts, small bridges, large bridges, pedestrian bridges, etc.).

Bridge Information: All information regarding an individual bridge contained in the BDIS database.

Certificate of Disposition: Document received from Albany County upon NYSDOT’s request to satisfy a judgment that was previously filed. This paperwork is then forwarded to the County where the Carrier does business as proof to remove the transcribed judgment in the Carrier’s county.

Civil Penalty: A fixed amount of money that a motor carrier is ordered by an Administrative Law Judge to pay to NYSDOT based upon evidence, custom, and practice that generally varies with the magnitude of the violation. The penalty being sought by the NYSDOT is usually expressed on the NOV.

Consultant: A vendor or firm that is under contract to provide services to NYSDOT.

Crawl Speed: Crawl Speed is defined as travel of 5 miles per hour or less.

Culvert Identification Number (CIN): A CIN is a unique identification number assigned to each culvert.

Customer: A representative of the carrier that is submitting a permit application, checking status of a permit application, or making payment arrangements.

Default: When carrier fails to respond to or contest the allegations of an NOV, or fails to appear at a hearing before the ALJ resulting from that failure, an Order after Hearing is typically issued against the carrier, judging them to be in Default of the NOV and directing that they pay the penalty sought in the NOV.
Development Tier: The hardware and software environment that NYSDOT utilizes to perform software development and unit testing.

Four-Tier Architecture: NYSDOT employs a 4-tier environment approach across the software enterprise, including a Unit Test (Development Tier), Functionality Test (Test Tier), Enterprise Integration Test (Quality Assurance Tier), and Production Test (Production Tier).

H-20 Truck: The H-20 truck is an AASHTO bridge design truck with two axles. The H-20 truck weighs 20 tons, where the front axle weighs 4 tons and the rear axle weighs 16 tons. It is a straight truck, not a semi-trailer truck. It measures 14 feet between axles.

HL-93 Truck: The HL-93 Truck is an AASHTO notional live-load model. The design lane load is the traditional HS20-44 lane load, but without the supplementary concentrated loads associated with it. Thus, traditional load components are combined to produce the HL-93 load.

HS-20 Truck: A HS-20 truck is an AASHTO bridge design truck with three axles. The HS-20 has a semi-trailer and weighs 36 tons, where the front axle weighs 4 tons, the middle axle weighs 16 tons, and the rear axle weighs 16 tons.

Index No.: This is the reference number assigned by the Albany County Clerk to the Judgment Filed against the Judgment Debtor.

Judgment: A judgment is a determination of a court of competent jurisdiction requiring the payment of money damages. Pursuant to Transportation Law Section 145, a judgment may be filed in Albany County Supreme Court based upon an order issued by the NYSDOT Administrative Law Judge after the amount payable under such order has not been paid for a period of 120 days following its issuance. The DOT Division of Legal Affairs files a judgment with Albany County and later, a transcript of that judgment is filed with the County where the carrier’s business is located. Once filed, it is possible to execute upon the judgment by asserting liens or garnishing assets or wages.

Judgment Debtor: While a judgment that has been issued against it remains outstanding, the carrier is considered the Judgment Debtor.

Judgment Creditor: NYSDOT is the Judgment Creditor for any judgment filed in its favor that remains unsatisfied.

Large Culverts: Large culverts are structures that have a span greater than or equal to 5 feet and less than or equal to 20 feet.

Level I Load Rating: A fully documented PE-certified analysis used to determine how much live load the bridge can support.

Level II Load Rating: A computer-generated analysis used to determine how much live load the bridge can support.

Level III Load Rating: A computer-generated indication of how much live load the bridge can support when neither a Level I nor a Level II rating is available. This is used solely to provide a rating to the FHWA for the April federal tape submission.

Maintenance Asset Management Information System (MAMIS): A NYSDOT work-reporting system. If work was done on a bridge or culvert, then labor, equipment, and materials are reported.
Mandatory: Requirements that have a priority of ‘Mandatory’ must be addressed by the proposer’s response to this RFP. Mandatory requirements will be rated as pass or fail during proposal evaluation.

Manual Review: Selected permit applications may need to be manually approved based on the business rules.

Must: When contained within a sentence, indicates that the statement is a business rule.

Necessary: Requirements that have a priority of ‘Necessary’ will be scored as part of the proposal evaluation. Necessary requirements will need to be satisfied as part of an awarded contract.

Notice to Appear: A written instrument issued by Division/Office of Legal Affairs (DLA/OLA) directing the Carrier and/or their Attorney to appear at a Hearing on a specific Date/Time and in a specific Location. A Notice to Appear is used in cases where the carrier pleads not guilty, or defaults on settlement terms.

One Stop Credentialing And Registration (OSCAR): On-Line system maintained by the NYS Department of Tax and Finance that provides a single point of contact for application for required operating credentials. External users access OSCAR through the OSCAR front-end authentication component.

Order after Hearing Civil Penalty (A/K/A: ORDER): An order is a written direction issued by an Administrative Law Judge (ALJ) to a motor carrier to pay a Civil Penalty pursuant to Transportation Law Section 145.

Order for Entry of Determination of Commissioner of Transportation into the Judgment Rolls: Paperwork that is prepared and forwarded to Albany County for the Judgment to be filed and a copy returned to NYSDOT with so as to form a basis for the Transcript of Judgment.

Oversize and Overweight Permit Program: A description of the NYSDOT OS/OW Program can be found at https://www.dot.ny.gov/nypermits.

Priority: Priority ranks the precedence of a requirement. Within this RFP, requirement priorities of mandatory, necessary, and optional are used.

Production Tier: The hardware and software environment that NYSDOT utilizes for operational application utilization.

Proposer: A proposer is a vendor or firm that has submitted a proposal to provide services to NYSDOT.

Quality Assurance Tier: The hardware and software environment that NYSDOT utilizes to perform quality assurance testing of software applications.

Quad: A Quad is a set of four axles on a power unit or trailer.

Requirement: A condition or capability needed by a user to solve a problem or achieve an objective.

R-Posted: A bridge that is R-Posted does not grant most vehicles that are over the legal weight allowance to cross. These bridges generally do not have enough reserve capacity to carry overweight permitted vehicles but can still safely carry legal weight vehicles.
R-Posted with Waiver: Some R-Posted structures have enough reserve capacity to carry certain specific types of overload vehicles that other R-Posted structures cannot. These structures are referred to as R-Posted with Waiver.

Return Date: Date and Time on page 2 section 3 of the NOV, by which the carrier is required to either plead (guilty or not guilty), or appear before the ALJ. A Carrier’s failure to respond or appear is considered a default.

Satisfaction of Judgment New York State Commissioner of Transportation: Documentation that is prepared and sent to Albany County when a carrier fulfills its obligations under a judgment to the satisfaction of NYSDOT. The Satisfaction of Judgment documents that said judgment has been wholly paid.

Settlement: A settlement is an agreement between the disputing parties (NYSDOT and a carrier), reached at any time after an NOV has been issued, as to how the NOV is to be resolved.

Shall: When contained within a sentence, indicates that the statement is contractually binding.

Should: When contained within a sentence, indicates that the statement is a System goal.

Span: Span is the distance between two intermediate supports of a structure.

Special Hauling Trip Permit: A single trip permit authorizes the movement of an oversize and/or overweight vehicle from one specific place to another by approved routes. A “round trip” authorizes the movement of an oversize and/or overweight vehicle from one specific place to another and return hauling the same load or unladen.

Structure: A structure is a bridge or larger culvert.

Subconsultant: A subconsultant is a vendor or firm that is under subcontract to a Consultant that has a contract to provide services to NYSDOT.

Test Tier: The hardware and software environment that NYSDOT utilizes to perform functionality testing of software applications.

Tandem: A Tandem is a set of two axles on a power unit or trailer.

Transcript of Judgment: A transcript of judgment is legal documentation submitted to a County evidencing that a judgment was filed in Albany County and issued against a motor carrier as the result of an NOV.

Tridem: A Tridem is a set of three axles on a power unit or trailer.

Unified Carrier Registration (UCR): A federally-mandated, state-administered program to collect fees from motor carriers, motor private carriers, freight forwarders, brokers and leasing companies, based on the number of qualifying commercial motor vehicles (CMVs) in their fleets (power units only.)

VIRTIS: An AASHTOware product used to calculate a load rating for bridges.
ATTACHMENTS

1: Consultant’s Technical Response      Below
2: Staffing Plan                          Below
3: Key Personnel Resumes and References  Below
4: Company References Form                Below
5: Cost Proposal                           OnLine
6: Procurement Lobbying Law Compliance   Below
7: Consultant Information and Certifications  Below
8: DBE Participation Information         Below
9: DBE Subconsultant Participation Solicitation Log  Below
10: Consultant’s Proposal Candidate Certification  Below
11: Non-Collusive Bidding Certification   Below
12: Draft Contract                        OnLine
13: Consultant Employment Disclosure Legislation Forms A and B  Below
14: Consultant Responsibility When Proposing Former NYSDOT Employees  Below
15: HOOCS Overview                        OnLine
16: OSCAR Overview                        OnLine
17: Example Reports                       OnLine
18A: Regulatory Compliance Overview       OnLine
18B: Regulatory Compliance Documentation  OnLine
19: NYSDOT Operational Environment Description  Below
20: Sample Data Access Non-Disclosure Agreement  Below
Attachment 2 - Staffing Plan

Instructions

Present a complete staffing plan that provides the following:

1. Identifies individual resources assigned to each of the following Consultant Performance Requirement:
   - Project Planning
   - Project Execution and Control
   - System Design
   - System Construction
   - System Acceptance
   - System Implementation
   - Data Migration
   - Training and Knowledge Transfer
   - Support & Maintenance

2. Key Personnel Experience and Qualifications:

   The Consultant must provide the necessary staff to conduct all phases of the project as defined in the RFP, to perform all of the required tasks, and to produce all required deliverables. NYSDOT requires that the proposer provide a Project Staffing Plan that includes, at a minimum, filling the following key staff roles with Consultant-provided positions and fill any other roles/titles with Consultant personnel that the Consultant considers instrumental to project delivery over the life of resulting Contract #C030786. The Staffing Plan will also identify the timeframe each role will be involved, the level at which they will participate over that timeframe, the timeframe the role will be located at NYSDOT versus located remotely, and shall identify which RFP requirement ID numbers are associated with each proposed Consultant resource. The RFP defines the following key Consultant personnel:

   **Project Manager:** Responsible for execution and coordination of all aspects of Consultant’s project plan and schedule; serves as primary point of contact for NYSDOT; has authority to act on behalf of Consultant; and is responsible for initially handling all contractual matters.

   **Project Structural Engineer:** Responsible for performing structural design and analysis calculations using governing codes and standards, engineering formulas, skills, and experience. Minimum PE experience requirements apply.

   **Business Analyst:** Acts as a liaison among stakeholders and recommends solutions that will meet stakeholder needs and enable NYSDOT to achieve its goals; works with other Consultant key personnel to recommend business solutions.

   **Database Architect:** Responsible for the design and implementation of the proposed database solution. Performs data analysis, data migration, data conversion, and data loading, in addition to analyzing business needs and creating a database solution to meet those needs.
Lead System/Software Engineer: Responsible for leading the system/software development team in the implementation of the proposed HOOCS System, including creation of application specifications; design and development for any custom software; configuration and implementation of any COTS software; and System testing activities.

Technical Editor: Responsible for proofreading, revising, rewriting, and editing technical information to produce technical publications best suited for their targeted audience.

Lead GIS Architect: Responsible for overseeing the development and implementation of all GIS functionality in HOOCS and its system interfaces, including, but not limited to, interactive mapping, spatial data management, conflation, routing and driving directions, and restriction management. The Lead GIS Architect acts as a liaison among stakeholders in order to elicit, analyze, communicate, and validate all GIS related HOOCS requirements.

In addition to these key staff roles, the Consultant should identify any other staff that are considered instrumental in the project’s successful delivery and completion. Persons identified for the positions described above are considered key personnel for the project, and NYSDOT requires the Consultant to provide for the continuity of key personnel for the duration of the project. Substitutions of such key personnel cannot be made without prior NYSDOT approval. Should it become necessary to replace key staff, the Contractor must provide replacement staff with equal or superior skills and qualifications, and at not-too-exceed rates (same rule applies to all other Consultant personnel, whether they be from the Prime Consultant or a subconsultant).

For requirements where a number of years of experience is specified, that experience can be accumulated over a wider range of years. For requirements where a certification is required, or desirable, the certification should be verifiable in the appropriate certification database.

Your cost proposal shall contain fully-loaded, not-to-exceed rates for each of the above titles.

3. Present an estimate of labor (proposed hours) by key personnel as well as for any supporting personnel to present a detailed staffing plan for each Consultant Performance Requirement. NYSDOT is seeking a staffing schedule to identify consultant personnel commitments (ie, full time versus part time) to this project. DO NOT include any cost information.

4. Describes the strategy that will be used to acquire human resources with the appropriate skills to initially staff the project as well as maintain consultant-provided resources over the life of the project/contract.

5. Provides a description of how the offeror proposes to utilize the proposed key staff members and additional staffing to meet the obligations of this engagement as described in this RFP.

6. Includes an estimate of total effort hours contributed by each of the key personnel to each Consultant Performance Requirement and an estimate of total effort hours for each Consultant Performance Requirement.

7. If sub-consultants are to be used, the staffing plan shall describe the specific need for the expertise and describe the arrangements, including maintenance of meeting the contract's 18% DBE goal over the life of the contract.

8. Describes the offeror’s plan for phasing project personnel into the effort and the level of interaction contemplated with NYSDOT and other involved stakeholders.
9. Indicates the degree to which it is anticipated that staff will be located on site at the NYSDOT offices. Any work to be conducted off site must be so indicated. The staffing plan should include a staffing schedule for each Consultant Performance Requirement of the project using this Attachment.
ATTACHMENT 3

KEY PERSONNEL RESUMES AND REFERENCES

INSTRUCTIONS:

Offerors are required to complete one resume form for each proposed key personnel, including subcontracted staff, who are proposed for this project under resulting Contract #C030786. Complete and submit resumes for all other proposed staff (non-key personnel). Resume summary information includes name, proposed role on this project, years of relevant experience, description of relevant experience and expertise, and two successfully reachable references. Complete one resume per proposed person. For the number of years of experience, while inclusion of partial years is allowed, please indicate start/end months (complete months only).

For the Project Structural Engineer, please use Form 1: Project Structural Engineer Resume and References. For all other key personnel and any other proposed staff, please use Form 2: Project Staff Resume and References.

Include Attachment 3 in your Part I Technical and Management Proposal submission.
ATTACHMENT 3
PROJECT STRUCTURAL ENGINEER RESUME AND REFERENCES

Offeror’s legal company name:
Company Mailing Address:  
Company Phone:  
Company Fax:  

Section 1: Personnel Information

<table>
<thead>
<tr>
<th>Proposed Project Role</th>
<th>Project Structural Engineer</th>
</tr>
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<tbody>
<tr>
<td>Name:</td>
<td>Last</td>
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<tr>
<td>Mailing Address Line 1</td>
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<td>Daytime Phone</td>
<td></td>
</tr>
<tr>
<td>E-Mail Address</td>
<td></td>
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</tbody>
</table>

4.11 Section 2: Past/Current Employer

| Employer Name | |
| Employer Address | |
| Beginning date of service | (when the key staff person provided services to the client/firm) |
| Ending date of service | (when the key staff person provided services to the client/firm) |
| Total time claimed | _____ Years | _____ Months |
| Employment Status | Full Time | Part Time | hrs/week |
| Primary contact person at the firm | |
| • name and title | |
| • e-mail address | |
| • telephone number | |

4.12 Section 3: Work Description

Describe the general engineering duties during the employment with this firm for the time period identified above.

Describe briefly the personal level of responsibility or authority for the work described for this employer. Explain here any changes in title resulting from promotions or other job changes during this period of employment.

Describe in detail the specific
Engineering work that was performed on projects or job assignments that are representative of bridge design and analysis. Describe the work performed in sufficient detail. In the description you must demonstrate that at least two years of job experience required knowledge and use of AASHTO Highway Bridge Design codes (both standard and LRFD AASHTO codes).

For the work performed, indicate the time that was spent on each project or assignment. The total time claimed cannot exceed actual calendar time. Maximum credit for a project cannot exceed 2 years (need a minimum of three different projects).

Are you a professional licensed engineer? (yes, no), if yes please provide PE license number, and the state(s) where the license is active.

<table>
<thead>
<tr>
<th>Education</th>
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</table>

----- Please add additional pages as appropriate -----
ATTACHMENT 3

PROJECT STAFF RESUME AND REFERENCES

Offeror’s legal company name:
Company Mailing Address:
Company Phone:
Company Fax:

Section 1: Personnel Information

<table>
<thead>
<tr>
<th>Proposed Project Role</th>
</tr>
</thead>
</table>

Name: | Last | First | Middle |

Mailing Address Line 1
Mailing Address Line 2
Mailing Address Line 3
City
Country/Province
Daytime Phone
E-Mail Address

4.13 Section 2: Past/Current Employer

<table>
<thead>
<tr>
<th>Employer Name</th>
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<tbody>
<tr>
<td>Employer Address</td>
</tr>
<tr>
<td>Beginning date of service (when the key staff person provided services to the client/firm)</td>
</tr>
<tr>
<td>Ending date of service (when the key staff person provided services to the client/firm)</td>
</tr>
<tr>
<td>Total time claimed</td>
</tr>
<tr>
<td>Employment Status</td>
</tr>
</tbody>
</table>

Primary contact person at the firm
• name and title
• e-mail address
• telephone number

4.14 Section 3: Work Description

Describe the general engineering duties during the employment with this firm for the time period identified above.

Describe briefly the personal level of responsibility or authority for the work described for this employer. Explain here any changes in title resulting from promotions or other job changes during this period of employment.

Describe in detail the specific work that
was performed on projects or job assignments that are representative of the work relevant to the identified role

For the work performed, indicate the time that was spent on these projects or assignments. The total time claimed cannot exceed actual calendar time.

| Professional associations and certifications |
| Education |

----- Please add additional pages as appropriate -----
ATTACHMENT 4

COMPANY REFERENCES

INSTRUCTIONS
In response to NYSDOT’s HOOCS RFP, proposers are required to submit relevant project and contact information for reachable references for up to two past relevant company projects. It is preferred that each cited project experience be of similar scale and scope to this RFP. All cited company references must be reachable (i.e., willing to provide a reference on behalf of the proposer to NYSDOT upon request). The references should be willing to provide information via an e-mailed reference response form and possibly follow that up with a conference call to speak further on the proposer’s behalf.

Fill out the requested information using the provided form. Use one form for each company reference provided, for up to two past project references. Be sure to cover the proposed Prime Consultant and each proposed Subconsultant (circle accordingly) when filling Attachment 11 out. Fill out all boxes which are applicable per each reference response – fill in any not applicable box with ‘N/A’.

Include Attachment 4 in your Part I Technical and Management Proposal submission.
# ATTACHMENT 4
## COMPANY REFERENCES

Proposer Name: ________________________________ | Prime or Sub

<table>
<thead>
<tr>
<th>Reference Company Name:</th>
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<tr>
<td>Reference Main Line of Business:</td>
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**Reference Contact Information**

<table>
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<tr>
<th>Primary Contact Person’s Name:</th>
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<tbody>
<tr>
<td>Title:</td>
<td></td>
</tr>
<tr>
<td>Affiliation/Company Employed By:</td>
<td></td>
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<tr>
<td>Phone:</td>
<td></td>
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<tr>
<td>E-mail:</td>
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</table>

**Project Information**

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<th>Project Name:</th>
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<td>Project Start Date:</td>
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<td>Project End Date:</td>
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<td>Project Budget:</td>
<td></td>
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<tr>
<td>Number of Staff Involved:</td>
<td></td>
</tr>
<tr>
<td>Types of Staff Involved:</td>
<td></td>
</tr>
</tbody>
</table>

Degree to which offered key personnel were primarily responsible for project delivery:

Description of all services provided and how they were/are comparable to the size and scope of the services specified in this RFP:

An explanation of the size and complexity of the project, including how it compares in size to this project:

A list of all subconsultants and the duties they performed (if applicable):

Project results and benefits delivered to the client

----- Please add pages as appropriate -----
Attachment 6

Procurement Lobbying Law Forms

REQUIRED FORMS

The consultant shall complete and sign the forms below. These forms are part of and due with the consultant’s proposal.

- Offerer’s Affirmation of Understanding of and Agreement pursuant to State Finance Law Section 139-j (3) and Section 139-j (6) (b)
- Offerer Disclosure of Prior Non-Responsibility Determinations

NYSDOT GUIDELINES AND PROCEDURES

Under the requirements of the State Procurement Act all communications regarding advertised projects are to be channeled through NYSDOT Contract Management Bureau’s Designated Contacts (listed below). Until a designation is made, communication with any other NYSDOT employee concerning this project that is determined to be an attempt to influence the procurement may result in disqualification.


SUMMARY OF THE POLICY AND PROHIBITIONS REGARDING PERMISSIBLE CONTACTS

Contacts Prior to Designation

Any communications involving an attempt to influence the procurement are only permitted with the following Designated Contact Persons:

- The Contract Management Bureau designation analyst
- The Contract Management Bureau designation analyst supervisor
- The Contract Management Bureau Assistant Directors
- The Contract Management Bureau Director

These are some communications exempted from this restriction:

- Participation in a pre-proposal conference
- Protests, complaints of improper conduct or misrepresentation

If any other NYSDOT employee is contacted and they believe a reasonable person would infer that the communication was intended to influence the procurement, the contact must be reported by the NYSDOT employee. If the Department determines an impermissible contact was made, that offerer cannot be awarded the contract. A second violation would lead to a four year bar on the award of public contracts to the offerer.

Contacts After Designation

NYSDOT identifies its primary negotiation contacts. The designated contacts include:
The Contract Management Bureau negotiation analyst
The Contract Management Bureau negotiation analyst supervisor
The Contract Management Bureau Assistant Directors
The Contract Management Bureau Director
The Consultant Management Bureau consultant job manager
The Consultant Management Bureau consultant job manager’s immediate supervisor

The law does not limit who may be contacted during the negotiation process. However, if any NYSDOT employee is contacted and they believe a reasonable person would infer that the communication was intended to influence the procurement, the contact must be reported by the NYSDOT employee.

Information Required from Offerers that Contact NYSDOT Staff, Prior to Contract Approval by the Office of the State Comptroller:

The individuals contacting NYSDOT should refer and shall be prepared to provide the following information, either by e-mail or fax as directed by NYSDOT:

• Person’s name, firm person works for, address of employer, telephone number, occupation, firm they are representing, and whether owner, employee, retained by or designated by the firm to appear before or contact the NYSDOT.

APPLICABILITY TO AN EXECUTED CONTRACT

Restrictions similar to those described above apply to approval or denial of an assignment, amendment (other than amendments that are authorized and payable under the terms of the procurement contract as it was finally awarded or approved by the comptroller, as applicable), renewal or extension of a procurement contract, or any other material change in the procurement contract resulting in a financial benefit to the offerer. The staff noted above as well as the project manager and consultant manager are considered designated contact persons. The Department may identify other contact persons for each of these processes.

RULES, REGULATIONS AND MORE INFORMATION ON THIS LAW

For rules, regulations and more information on this law, please visit:

• The Joint Commission on Public Ethics at: http://www.jcope.ny.gov/

For more information, go to NYSDOT’s World Wide Web Site at http://www.dot.ny.gov or contact:
Al Hasenkopf, Contract Management Bureau
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York 12232
Attention: HOOCS RFP (Contract #C030786)
E-Mail: alfred.hasenkopf@dot.ny.gov
Fax: 518-457-8475
Attachment 6

Offerer’s Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j (3) and §139-j (6) (b)

Offerer affirms that it understands and agrees to comply with the procedures of the Government Entity relative to permissible Contracts as required by State Finance Laws §139-j (3) and §139-j (6) (b).

Contract No. C030786

By: ___________________________ Date: __________________________

Name: ___________________________

Title: ___________________________

Contractor Name: ___________________________

Contractor Address: ___________________________

________________________________________

________________________________________

________________________________________
Attachment 6

Offerer Disclosure of Prior Non-Responsibility Determinations

Name of Individual or Entity Seeking to Enter into the Procurement Contract:  ________________________________

Address:  ____________________________________________

Name and Title of Person Submitting this Form:  ____________________________________________

Contract Procurement Number:  C030786  ____________________________________________

Date:  ____________________________________________

1. Has any Governmental 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):  No  Yes

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 (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 Governmental 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 Finding of Non-responsibility:  ____________________________________________
   Basis of Finding of Non-responsibility:  ____________________________________________

   (Add additional pages as necessary.)

Offerer certifies that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

By:  ____________________________________________  Date:  _______________________

Name:  ____________________________________________

Title:  ____________________________________________

Signature  ____________________________________________
ATTACHMENT 7

CONSULTANT INFORMATION AND CERTIFICATIONS

(Please submit this with your Part II: Cost Proposal)

CONTRACT NUMBER:  C030786
PROJECT TITLE:  HIGHWAY OVERSIZE/OVERWEIGHT CREDENTIALING SYSTEM (HOOCS)

I. CONSULTANT INFORMATION

FIRM NAME:  
ADDRESS:  
CITY:  STATE:  
ZIP CODE:  - 
TELEPHONE #:  FAX#:  
E-MAIL ADDRESS:  
CONTACT PERSON:  
Consultant's Federal Identification Number (FIN):  
Consultant's Consultant Identification Number (CIN):  
Consultant’s SFS Vendor Identification Number:  

Please indicate below the name, title, address, and telephone/fax numbers of the person who prepared this proposal, as well as any other individual(s) with authority to negotiate and contractually bind the offeror and also who may be contacted during the period of proposal evaluation:

Preparer’s Name/Title:  
Address:  
Telephone #:  FAX #:  E-Mail  
Other Authorized Individual(s):
Name/Title  
Address:  
Telephone #:  FAX #:  E-Mail  

Add additional pages if necessary.
II. OFFEROR CERTIFICATIONS

By signing below, I, ________________________________, authorized individual (NAME)

Of ________________________________, make the following certifications (FIRM)

regarding the subject proposal:

- 365-Day Offer: This proposal is a firm offer for a 365-day (or more) period from the date of submission.
- The firm has read and will follow the procedure outlined in Attachment 4 if it proposes the services of a former NYSDOT employee(s).
- Vendor Responsibility: In accordance with New York State law, if selected for contract award, the firm will complete and submit the required Vendor Responsibility questionnaire through the Office of the State Comptroller VendRep system, which is accessible via: http://www.osc.state.ny.us/vendrep/index.htm. Vendors must certify the accuracy of the information they provide in the questionnaire and must file their VRQ within 10 days of notification of designation. NYSDOT cannot sign a contract if a firm’s vendor responsibility certification is more than 12 months old.
- ST-220: If selected for contract award greater than $100,000, the firm will complete and submit the required Forms ST-220-TD and ST-220-CA during negotiations with NYSDOT. The ST-220 forms with instructions are downloadable from the following websites:

Signature: ____________________________________

III. ACCEPTANCE OF AGREEMENT*

By signing below, I, ________________________________, authorized individual (NAME)

of ________________________________ hereby ACCEPT all terms and conditions (FIRM)

contained in the Draft Contract (including Appendix A), which is included as Attachment 1 to this Request for Proposals.

Signature: ____________________________________

(NAME OF ACCEPTOR)
ATTACHMENT 8

DBE PARTICIPATION INFORMATION

Please complete the following table for the prime firm and all proposed subconsultants (consultant team composition). All DBEs must be certified and posted on New York State’s NYSUCP DBE Directory (http://www.nysucp.net/). Please keep in mind that only NYSUCP-certified DBEs are eligible to count toward attainment of this federally funded contract with an 18% DBE participation goal.

Please identify each full firm’s legal name and indicate each firm’s percentage of the total cost/total budget for the contract.

If the combined percentage of total cost/budget for all proposed, certified DBEs is less than the 18% DBE Participation Goal set for this contract, then the proposing prime firm is required to fill out and submit the **DBE Subconsultant Participation Solicitation Log (Attachment 6)**, and the **DBE Goal Attainment Explanation Letter**. Further, Prime Consultants certified as a DBE are not relieved of meeting the DBE contract goal solely via their participation, as this is a subconsultant program opportunity. DBE primes need to either meet the DBE subconsultant participation goal, or submit the **DBE Subconsultant Participation Solicitation Log (Attachment 6)** and the **DBE Goal Attainment Explanation Letter**.

<table>
<thead>
<tr>
<th>Firm Legal Name</th>
<th>NYSUCP Certified DBE</th>
<th>% of Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>DBE</td>
<td>None</td>
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<tr>
<td><strong>A. Prime Consultant</strong></td>
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<tr>
<td><strong>B. Sub-Consultants</strong></td>
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<tr>
<td><strong>Total</strong></td>
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<td><strong>100%</strong></td>
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</table>
## ATTACHMENT 9

**DBE SUBCONSULTANT PARTICIPATION SOLICITATION LOG**  
(Good Faith Effort Documentation)

<table>
<thead>
<tr>
<th>CONTRACT NO. C030786</th>
<th>DBE PARTICIPATION GOAL</th>
<th>PAGE NUMBER ___ OF ___</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>18%</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>PRIME FIRM NAME/ADDRESS/ZIP CODE</th>
<th>CONTACT PERSON</th>
<th>TELEPHONE NUMBER:</th>
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<tr>
<td></td>
<td></td>
<td>E-MAIL:</td>
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</table>

<table>
<thead>
<tr>
<th>SOLICITED COMPANY NAME AND CONTACT PERSON</th>
<th>TELEPHONE (WITH AREA CODE)</th>
<th>FEDERAL EMPLOYER ID #</th>
<th>WORK TYPES BEING SOLICITED</th>
<th>TYPES AND DATES OF CONTACTS</th>
<th>CONTACT RESULT(S)</th>
</tr>
</thead>
<tbody>
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Please use additional pages as necessary
INSTRUCTIONS FOR COMPLETING ATTACHMENT 9, DBE SUBCONSULTANT PARTICIPATION
SOLICITATION LOG (GOOD FAITH EFFORT DOCUMENTATION)

To be deemed responsive to this solicitation, Consultants whose proposed DBE participation does not meet the established Disadvantaged Business Enterprises (DBE) participation goal must document and report their efforts to solicit participation by certified DBE in this Non-Architecture/Non-Engineering contract. The DBE Subconsultant Participation Solicitation Log is used for this purpose.

PLEASE NOTE: Only participation by NYSUCP certified DBE subconsultants count toward the Contract’s DBE goal attainment. Participation by DBE prime consultants does NOT count toward the Contract’s DBE goal - participation by DBE prime consultants only counts towards NYSDOT corporate DBE goal. Also, please note that once a proposal has been submitted, a firm’s cost proposal CAN NOT BE changed, so responding firms only have one opportunity to get their DBE submission correct. Substitutes can only be allowed if the technical qualifications are similar to what was originally proposed with no change in cost. FHWA’s administrative reconsideration process can be followed provided that the validity of the consultant selection process is preserved.

Guidance concerning Good Faith Efforts in meeting DBE participation goals in Federally funded contracts is located at the end of this section.

The log is to be filled out and submitted with the proposing firm’s Cost and Contract Proposal. In order for a proposal to be determined as responsive when the DBE participation goal is not attained at all, or is only partially attained, the proposer must complete all sections of this form and submit a DBE Subconsultant Participation Solicitation Log, along with a DBE Goal Attainment Explanation Letter, documenting the firm’s Good Faith Effort.

*** DBE CERTIFICATION IS A FEDERAL PROGRAM CERTIFICATION. ***

IT IS SEPARATE AND DISTINCT FROM THE NEW YORK STATE MBE & WBE PROGRAM.
Pleasedo not confuse the two. Firms with questions regarding these programs are encouraged to submit written questions

PAGE NO.: Enter 1 of 1; or 1 of 2 and 2 of 2; etc. Use additional forms as needed.

PRIME NAME/ADDRESS/ZIP CODE: Enter name of the Prime Consultant, its address and zip code.

CONTACT PERSON: Enter the name of the person your firm has designated as the authorized contact person for this solicitation.

CONTACT PERSON TELEPHONE AND E-MAIL: Enter area code, phone number and e-mail address for the person your firm has designated as the authorized contact person for this solicitation.

DBE CONSULTANTS SOLICITED:

SOLICITED COMPANY NAME AND CONTACT PERSON: Enter name of solicited firm and name of the individual associated with the firm to whom the solicitation inquiry was sent.

TELEPHONE (With Area Code): Enter telephone number (including area code) of the solicited firm.
FEDERAL EMPLOYER ID #: Enter the Federal Employer Identification Number of the solicited firm.

WORK TYPE(S) BEING SOLICITED: Enter the work type(s) or Commercial Useful Function for which this firm has been solicited in connection with the Scope of Services for this contract. (NOTE: Work type codes are provided for every certified firm listed in the Biznet DBE Registry: http://www.nysucp.net/.)

TYPES AND DATES OF CONTACT: Enter dates on which your firm contacted the solicited firm, either by mail (date solicitation sent), telephone (including date and time of call) or other person-to-person contact. Identify the type of contact by prefacing each date with ‘M” if a mail contact; “T” if a telephone call; and “D” if a direct meeting with the firm.

CONTACT RESULT(S): Enter the code(s) which indicates the result(s) of your solicitation.

*** USE ADDITIONAL PAGES AS NEEDED ***

A description of the codes to use is as follows:

**CODE DESCRIPTION:**

1. This firm is unavailable to participate in the contract for the reason(s) stated on the DBE Solicitation Response. (Attach explanation to the Log.)

2. This firm is no longer in business. (NOTE: If this action is checked, attach your explanation as to why the solicitation was sent to the firm and how evidence that it was no longer in business was obtained. Attach the returned envelope showing that it was undeliverable, for instance.)

3. The soliciting Prime Consultant was unable to reach this firm after having a telephone conversation to follow-up on the DBE participation solicitation inquiry. (NOTE: Indicate In the Types and Dates of Contact column the dates and times at which follow-up was attempted.)

4. This firm did not respond to repeated telephone messages. (NOTE: Indicate in the Types and Dates of Contact column the dates and times at which messages were left.)
GUIDANCE CONCERNING GOOD FAITH EFFORTS IN MEETING DBE PARTICIPATION GOALS IN FEDERALLY-FUNDED CONTRACTS

The following is a list of types of actions that demonstrate good-faith efforts in obtaining DBE participation for federally funded contracts. This list is not exclusive or exhaustive. The bidder must show that it took all necessary and reasonable steps to achieve a DBE goal which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if they were not fully successful.

Soliciting through all reasonable and available means (e.g., attendance at pre-bid meetings, utilizing the NYSUCP DBE Directory: http://www.nysucp.net/) the interest of all certified DBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.

Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the bidder might otherwise prefer to perform these work items with its own forces.

Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.

Negotiating in good faith with interested DBEs – it is the bidder’s responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBEs to perform the work.

A bidder using good business judgment should consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and should take a firm’s price and capabilities, as well as contract goals, into consideration. However, the fact that there may be some additional costs involved in finding a DBE is not in itself sufficient reason for failure to meet the contract DBE goal. Also, the ability or desire to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good-faith efforts.

Do not reject DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor’s standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union versus non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor’s efforts to meet the project goal.

Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.
CONSULTANT’S PROPOSAL CANDIDATE CERTIFICATION

I, ___________________________________ (Consultant Name) certify that all information concerning all candidates' experience and background information presented in this proposal submission is accurate and complete. All candidates, prior to being submitted, have been interviewed, and information regarding their experience and previous history has been verified.

I understand that knowingly making a false written statement on this form, or any attachment, may result in disqualification. Discovery of false information subsequent to candidate engagement may result in dismissal from this engagement. I agree to accept this condition and hereby certify that all statements made in this proposal are true and complete, to the best of my knowledge.

Date: ___________________________ Signature: ____________________________________________________

Proposer’s Authorized Representative

Name (Spell out): __________________________________________________

I understand that if proposed Project Manager Candidate does not have formal MS Project training, he/she must complete this training and provide the required certification within 60 days of NYSDOT designation (notification of award), or my firm may be de-designated.

Date: ___________________________ Signature: ____________________________________________________

Proposer’s Authorized Representative

Name (Spell out): __________________________________________________

*Note to Proposer:
Any firm submitting inaccurate or misleading information may be disqualified and reported to the Office of General Services and the NYS Comptroller’s Office. If specific firms continue to submit inaccurate or misleading information, such firms may be made inactivate or removed from an active list of eligible firms until further notice.
ATTACHMENT 11

NON-COLLUSIVE BIDDING CERTIFICATION
REQUIRED BY SECTION 139-D OF THE STATE FINANCE LAW

SECTION 139-D, Statement of Non-Collusion in bids to the State:

BY SUBMISSION OF THIS BID, BIDDER AND EACH PERSON SIGNING ON BEHALF OF BIDDER CERTIFIES, AND IN THE CASE OF JOINT BID, EACH PARTY THERE TO CERTIFIES AS TO ITS OWN ORGANIZATION, UNDER PENALTY OF PERJURY, THAT TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF:

[1] The prices of this bid have been arrived at independently, without collusion, consultation, communication, or agreement, for the purposes of restricting competition, as to any matter relating to such prices with any other Bidder or with any competitor;
[2] Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the Bidder and will not knowingly be disclosed by the Bidder prior to opening, directly or indirectly, to any other Bidder or to any competitor; and
[3] No attempt has been made or will be made by the Bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

A BID SHALL NOT BE CONSIDERED FOR AWARD NOR SHALL ANY AWARD BE MADE WHERE [1], [2], [3] ABOVE HAVE NOT BEEN COMPLIED WITH; PROVIDED HOWEVER, THAT IF IN ANY CASE THE BIDDER(S) CANNOT MAKE THE FOREGOING CERTIFICATION, THE BIDDER SHALL SO STATE AND SHALL FURNISH BELOW A SIGNED STATEMENT WHICH SETS FORTH IN DETAIL THE REASONS THEREFORE:

[AFFIX ADDENDUM TO THIS PAGE IF SPACE IS REQUIRED FOR STATEMENT.]

Subscribed to under penalty of perjury under the laws of the State of New York, this ______ day of ___________, 20____ as the act and deed of said corporation of partnership.
attachement 11

non-collusive bidding certification required by section 139-D of the state finance law

if bidder(s) (are) a partnership, complete the following:

<table>
<thead>
<tr>
<th>names of partners or principals</th>
<th>legal residence</th>
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if bidder(s) (are) a corporation, complete the following:

<table>
<thead>
<tr>
<th>name</th>
<th>legal residence</th>
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<tbody>
<tr>
<td>president:</td>
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<tr>
<td>secretary:</td>
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<td>treasurer:</td>
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<tr>
<td>president:</td>
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<tr>
<td>secretary:</td>
<td></td>
</tr>
<tr>
<td>treasurer:</td>
<td></td>
</tr>
</tbody>
</table>
ATTACHMENT 11

NON-COLLUSIVE BIDDING CERTIFICATION REQUIRED BY
SECTION 139-D OF THE STATE FINANCE LAW

**Identifying Data**

Potential Contractor: __________________________________________________

Address: ___________________________________________________________

____________________________________________________________

City, Town, etc.

Telephone:__________________________   Title__________________________

If applicable, Responsible Corporate Officer

Name:______________________________   Title__________________________

Signature: _______________________________________________________________

Joint or combined bids by companies or firms must be certified on behalf of each participant.

____________________________________   _____________________________

Legal name of person, firm or corporation     Legal name of person, firm or corporation

By  _____________________________   ______________________________

_____________________________   ______________________________

Title        Title

Address: _____________________________   Address: ______________________

_____________________________  _______________________

City   State    City    State
## FORM A

### State Consultant Services – Contractor’s Planned Employment

**From Contract Start Date Through The End Of The Contract Term**

<table>
<thead>
<tr>
<th>State Agency Name</th>
<th>Agency Code</th>
<th>Contractor Name</th>
<th>Contract Number</th>
<th>Contract Start Date</th>
<th>Contract End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>NYSDOT</td>
<td>3900283</td>
<td></td>
<td>C030786</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>ONET Employment Category Code</th>
<th>ONET Employment Category Name</th>
<th>Number of Employees</th>
<th>Number of hours to be worked</th>
<th>Amount Payable Under the Contract</th>
</tr>
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<tbody>
<tr>
<td></td>
<td></td>
<td>0</td>
<td>0</td>
<td>$ 0.00</td>
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**Total this page**

| 0 | 0 | $ 0.00 |

**Grand Total**

---

Name of person who prepared this report:
Preparer's Signature: ________________________________
Title: ________________________________
Phone #: ________________________________
Date Prepared: ________________________________
Attachment 13

FORM B

State Consultant Services - Contractor’s Annual Employment Report

Report Period: April 1, 2023 to March 31, 2023

Contracting State Agency Name: NYSDOT
Contract Number: C030786
Contract Term: to
Contractor Name:
Contractor Address:
Description of Services Being Provided: Highway Oversize Overweight Credentialing System (HOOCS) Services for NYSDOT

Scope of Contract (Choose one that best fits):
- [ ] Analysis
- [ ] Evaluation
- [ ] Research
- [ ] Training
- [ ] Data Processing
- [ ] Computer Programming
- [x] Other IT Consulting
- [ ] Engineering
- [ ] Architect Services
- [ ] Surveying
- [ ] Environmental Services
- [ ] Health Services
- [ ] Mental Health Services
- [ ] Accounting
- [ ] Auditing
- [ ] Other Consulting
- [ ] Paralegal
- [ ] Legal
- [ ] Other Consulting

<table>
<thead>
<tr>
<th>Employment Category</th>
<th>Number of Employees</th>
<th>Number of Hours Worked</th>
<th>Amount Payable Under the Contract</th>
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Total this page

Grand Total

Name of person who prepared this report:
Preparer's Signature: _____________________________________________
Title: ___________________________ Phone #: _______________________
Date Prepared: ___________________________

(Use additional pages if necessary.)
ATTACHMENT 14

USE OF FORMER NYSDOT EMPLOYEES

It is the Consultant’s responsibility to ensure they propose staff that are eligible to work on the proposed project. It is an individual’s responsibility to comply with the NYS Public Officer’s Law.

The following procedure applies if either of the following criteria is met.

- It is two years or less between the date that the individual is proposed and the individual’s date of separation from the State.
- The individual proposed has worked on the project while employed by NYSDOT regardless of how long ago they left NYSDOT.

Procedure

- Before the consultant proposes an individual, the individual must obtain an opinion from the New York State Joint Commission on Public Ethics (http://www.jcope.ny.gov/) that approves their participation in the project as they are proposed.
- A copy of this opinion must be on file in the consultant’s office and available for review by NYSDOT if requested.
- Failure to obtain the New York State Joint Commission on Public Ethics approval for an individual’s participation in a project may jeopardize the firm’s designation for that project.
1. NYSDOT TECHNICAL ENVIRONMENT

The New York State Department of Transportation (NYSDOT) technical environment is managed by the Office of Information Technology Services (ITS) at the NYSDOT Main Office located on Wolf Road in Albany. The computer hardware and databases used in support of the Highway Oversize Overweight Credentialing System (HOOCS) will be configured to support multiple processing environments that are logically, and in some cases physically, separated. The separation of computing resources is necessary to prevent ongoing development and testing activities from conflicting with one another, or with the production system, and allows the controlled implementation of new functionality and software patches. The NYSDOT technical environment consists of four logical and physical tiers: Development, Test, Quality Assurance, and Production.

1.1 Code Migration and Testing Tiers

1.1.1 Development Tier

The Development Tier is the environment where integrators will develop, modify, and test software code. ITS utilizes the development environment to perform unit testing. Unit testing is the most ‘micro’ scale of testing and validates a particular function or specific section of code. These tests are written and performed by developers, require detailed knowledge of the internal program design, and cover things like statements, branches, conditions and paths. Unit tests should also include the preliminary testing of interfaces (exchanges of data or control) with other systems.

1.1.2 Test Tier

The Test Tier is the environment used for Functionality, User Interface, Security, and (optionally) System Interface testing. Functionality testing is a collaborative effort by developers, testers, and end users, which requires no knowledge of the internal design. It is software testing that evaluates the system's overall compliance with its specified functional requirements and behavior versus the expectations of the customer. Intra-system testing includes:

**Functionality testing** - Verification that the individual components flow and function effectively as one integrated system.
User Interface testing - Verification that the Graphical User Interface (GUI) meets its written specifications, including look and feel ('user-friendliness'), handicap compliance, drop downs, lists of values, validity checking, etc.

Security testing - Verification that the system protects data while enabling functionality as intended. The six basic elements that should be addressed, regardless of the method used to implement security are: confidentiality, integrity, authentication, authorization, availability, and non-repudiation.

Static testing – The Intra-system test phase is where activities such as desk checks, code reviews, and peer reviews intended to find and fix mistakes should be conducted. Code reviews allow the transfer of knowledge and best practices from the more experienced staff to the less experienced.

System Interface testing - System Interface testing seeks to validate the quality of the interfaces between independent systems. This includes all exchanges of data or control and file extracts and/or reports into the system being tested, as well as to all other internal and external systems. System Interface testing may also be performed utilizing the Quality Assurance Tier.

1.1.3 Quality Assurance Tier

The Quality Assurance (QA) tier is the environment used for system interface (optionally) and enterprise integration testing comprising Performance, Recovery, and Operational testing.

Enterprise Integration testing validates that all necessary interfaced enterprise services and components will function as designed in the production tier. Enterprise Integration testing includes:

Performance testing - a set of tests (stress, load, etc.) used to determine the stability of the system under a variety of operational conditions, from normal to extreme, often to a breaking point. Performance tests seek to reveal the system’s robustness, availability, and error handling under heavy loads to ensure that the software doesn't crash due to insufficient resources (memory, disk space, number of connections, network capacity, etc.), high concurrency, denial of service attacks and the like. Performance tests are also used to determine the speed or effectiveness of a computer, network, software program, or device.

Recovery testing - the activity of testing how well an application is able to recover from crashes, hardware failures, and other similar problems.

Operational testing - verifies that all enterprise components that were insufficiently tested, or were not tested at all, during prior phases are functioning as intended, including: Citrix, GIS, LDAP or OID, mobile devices, Portal, Tidal, Business Objects, etc.

User Acceptance testing - User acceptance is the point in time when the customer, using as a basis the collective results of prior testing and exposure to the system, acknowledges that the system meets the predefined criteria for that phase and may move to the next phase of an implementation.

Regression testing - Regression testing focuses on finding defects (previously working functionality that has stopped working) after changes to the code or the operating
environment have taken place. The extent of testing will depend on the magnitude of the changes and/or the level of risk to the organization should the software fail. NYSDOT strives to fashion easily repeatable, preferably automated, tests to help streamline regression testing efforts. A sanity test, or sanity check, is a basic type of regression test used to quickly assure that the application or system works as expected.

1.1.4 Production Tier

The Production Tier is the operational environment operational application utilization.

1.2 NYSDOT Technical Environment Access Rules

Applications that require customization will be installed, customized, and tested in the Development Tier. Fully tested installation and data-migration scripts will need to be provided in order to move applications and data to the Test, Quality Assurance, and Production Tiers.

Commercial applications that do not require customization can be installed in the Test Tier by Consultants. Fully tested installation and data migration scripts will be provided in order to move applications and data to the Quality Assurance and Production Tiers.

1.3 Installation Packages

NYSDOT requires generic, repeatable installation packages or scripts which contain all necessary application, data-migration scripts that can be run with little or no modification on any application server or database tier. Neither developers nor vendors are granted permission or access to tiers other than development.

Converted data, stored in ASCII text files, must follow standard data-loading procedures. Supported options for Oracle are:

- **Oracle SQL*Loader** - Create an SQL*Loader control file and UNIX shell script to utilize the Oracle SQL*Loader utility for loading the conversion data.

- **Oracle Bulk Load using ‘External Tables’ feature** - Using the ‘External Tables’ feature of Oracle, the conversion data file is treated as though it is a table. Bulk SQL statements, such as “insert into … select * from …” can then be used against these files.

- **Oracle PL/SQL package** - Create custom stored procedures that read converted data and then process and populate the target tables. Advantages of this approach are ease of development, customized yet structured data loading, and excellent error handling capabilities.

And supported options for SQL Server are:

- **SQL Server BCP Import/Export Utility** – A DOS/Powershell/UNIX script that will execute the utility and move large amounts of data into/out of SQL Server.

- **SQL Server Bulk Insert** – Use a TSQL script to load data directly into a SQL table.

- **SQL Server Integration Services (SSIS) package** - Create packages that read the data into the requested tables. This is a pure SQL Server solution that is easily administered, and works seamlessly with the database with regard to creation of the packages, scheduling of runs, as well as error handling and reporting.
The selected process developed must be repeatable in Development, Test, QA, and finally run against Production. Data will not be “migrated” from development or test environments into the production environment.

1.4 Requirements Traceability Management/Software Configuration Management

NYSDOT uses Rational V.7 tools to manage the software development lifecycle. The following modules are currently licensed and preferred by NYSDOT:

<table>
<thead>
<tr>
<th>Tool</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Team Concert</td>
<td>Change management, defect tracking and software management</td>
</tr>
<tr>
<td>Requisition Composer</td>
<td>Requirements management</td>
</tr>
<tr>
<td>Rational Software Architect</td>
<td>Systems modeling</td>
</tr>
<tr>
<td>Quality Manager</td>
<td>Quality Management</td>
</tr>
<tr>
<td>HP LoadRunner</td>
<td>Automated testing</td>
</tr>
</tbody>
</table>

1.5 Hardware Configuration Management/Data Archiving

The client-side hardware is Intel Pentium 3 or 4 based microprocessors with 2 GB of memory, using a Microsoft Windows XP operating system and Internet Explorer 8 web browser.

The UNIX Application Server environment is a three-tiered architecture of client, mid-tier, and database consisting of:

- Operating System – AIX 6.1.3.5, AIX 7.1.0.3, SUSE Linux 11 PL2, Oracle Linux Release 6 Update 3 (6.3) and Oracle VM Release 3.2.1
- Application Server – Oracle Application Server 10g (10.1.2/10.1.3.5), Oracle Weblogic Server 11g (10.3.5/6), IBM WebSphere Application Server (latest version available 8.5)
- Forms and Reports Services – Oracle 10g Application Server 10.1.2.2

The Windows Application Server environment consists of the following:

- Microsoft Server 2008 R2
- VMWare Vshpere / ESXi : 4.1
- Internet Information Server IIS 6/7/7.5

Note: Support for applications running in a virtual environment is preferred.

The current NYSDOT file-sharing environment is a Microsoft clustered environment using DFS with SAN attached storage.

Client software distribution is accomplished on the NYSDOT network using LANDesk.

1.6 Networks

All network communication is done using the TCP/IP protocol.
For all remote access, web applications run in the DMZ using SSL encryption and application-based authentication, or run through Citrix.

Network Standards:

- Redundant Checkpoint (on Nokia) firewalls
- Redundant Juniper ISG 2000, provide VPN/ firewall, at the Main Office
- Redundant F5 Load Balancing (for External Servers/ Application load balancing)
- Redundant F5 Load Balancing (for Internal Servers/Application load balancing)
- Cisco switches/routers support the Main Office WAN and LAN
- Juniper Firewall/VPN utilized at remote locations for connectivity and security
- Cisco switch environments support the Regional Office LANs
- Redundant Internet connectivity consists of: 1- 100 Mb circuit for Primary use and 1-30Mb circuit for Secondary (Failover).
- Internal client internet access is configured utilizing ISA proxy servers
- Enterprise data center in Albany; network architecture via hub and spoke environment
- 10 Regional offices with 100 Mb WAN connectivity via NYeNET (New York State private network)
- Approximately 300 remote sites throughout the state connected via T1, Broadband, or DSL
- Wireless Air-cards for mobile connectivity

1.7 Database

NYSDOT maintains several commercial relational database management systems (RDBMS), preferred databases are: Oracle 11.2 and SQL Server 2008. NYSDOT supports both online transaction processing (OLTP) and warehouse databases at an enterprise level.

1.8 Geographic Information Systems (GIS)

NYSDOT’s GIS software environment is standardized on the Esri suite and currently includes the following components:

- Desktop: Esri ArcGIS Desktop 10.1 running on Windows XP SP2 & Windows 7 operating systems.
- Database: Esri ArcGIS Server (ArcSDE) 9.3.1, Oracle 11g R2 database running on AIX 7.1.

Esri software for NYSDOT is covered by Enterprise License Agreement with Esri and bidders should not include the procurement of Esri software in their cost proposals.
1.9 Custom Code
NYSDOT supports a variety of programming languages. Those preferred for custom coding include Java, PL/SQL, and Visual Basic

1.10 Backup & Recovery/Disaster Recovery/Business Continuity
Oracle - Backup and Recovery of Oracle environments is handled by Oracle's Recovery Manager in conjunction with IBM Tivoli Storage Manager. A combination of full and incremental backups is taken to ensure point-in-time recovery.

SQL Server – ITS has two distinct backup strategies for the SQL Server, simple or full-recovery mode. The backup strategy is dictated by the needs of the application as well as the environment that the application resides in (Development, Test, QA and Production).

- 'Simple' recovery mode - one full backup per day
- 'Full' recovery mode - one full backup per day plus transaction log and differential backups to ensure point-in-time recovery

SQL databases are backed up using the SQL backup utility within Microsoft SQL, which creates a backup file that is then picked up by the Backup Exec runs. Production SQL Server backups are done using the SnapManager for SQL Server tool from NetApp.

- NYSDOT currently utilizes two methods of backups; IBM Tivoli Storage Manager (TSM) and SnapManager for SQL Server (NetApp).

1.11 Job Scheduling
Automated job scheduling at NYSDOT is performed by Tidal Enterprise Scheduler by Cisco. Tidal Enterprise Scheduler v5.3.1 provides the ability to launch and monitor job automation across a wide variety of operating system platforms. NYSDOT currently has Tidal Agents performing automated tasks across NYSDOT's Unix, Window, iSeries, Mainframe, Oracle and Email environments, as well as processing job output from external sources.

1.12 Business Intelligence (For informational Purposes Only)
Core Business Intelligent Tools

- Business Objects Enterprise (Web Intelligence, Universes, and Crystal Reports included)
- OBIEE (ad hoc reporting and dashboards)
- ER Studio (data modeling)
- Oracle Warehouse Builder
- Oracle Portal
- Kimball, Inomon, and Hybrid methodologies of data warehouse design

1.13 Service Oriented Architecture
NYSDOT is in the process of implementing and extending a Service Oriented Architecture (SOA) solution. This new methodology will allow NYSDOT to improve major business processes, have interoperable services, well-defined business functionalities, and reusable components, while using predefined standards and state-of-the-art tools.
## 2. Service Levels

The following tables show examples of Severity Levels of Trouble Tickets. NYSDOT will determine the severity level assigned, and reserves the right to assign severity levels as deemed necessary.

### Service Level Agreement Matrix

<table>
<thead>
<tr>
<th>Severity 1</th>
<th>Severity 2</th>
<th>Severity 3</th>
<th>Severity 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete or substantial loss of service or severe degradation of the system that makes the service unusable. Inability to use a mission-critical application.</td>
<td>Multiple users are affected by a service degradation or out-of-service condition. Significant loss of service or high business impact. Any service that affects certain key officials (executive personnel). Failure of a redundant system component.</td>
<td>An individual line or port is out of service, or limited features for a small number of users (one to ten) are not functioning. Minimal business impact, problem may be bypassed. Some loss of service or other specific functionality is lost. Non Service Affecting Alarms.</td>
<td>An informational request or a fault that has no business impact.</td>
</tr>
</tbody>
</table>

### Service Level Agreement Matrix – Restoration*

<table>
<thead>
<tr>
<th>Severity 1</th>
<th>Severity 2</th>
<th>Severity 3</th>
<th>Severity 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consultant shall have all services related to the trouble/alarm ticket restored within two (2) consecutive hours of receipt, or to the satisfaction of NYSDOT; identify the trouble to be a non-Consultant issue.</td>
<td>Consultant shall have all services related to the trouble/alarm ticket restored within four (4) consecutive hours of receipt, or to the satisfaction of NYSDOT; identify the trouble to be a non-Consultant issue.</td>
<td>Consultant shall have all services related to the trouble/alarm ticket restored within eight (8) consecutive business hours of receipt, or to the satisfaction of NYSDOT; identify the trouble to be a non-Consultant issue.</td>
<td>Consultant shall respond to the information request, or have all services related to the trouble/alarm ticket restored within twenty-four (24) consecutive business hours of receipt, or to the satisfaction of NYSDOT; identify the trouble to be a non-Consultant issue.</td>
</tr>
</tbody>
</table>

Business Hours: Monday - Friday, 7:00 AM – 5:00 PM EST, excluding NYS designated non-floating holidays.
Attachment 20

HOOCS RFP C030786
Sample Data Access Request

To assist firms in preparing their technical proposals, sample data is available by requesting a confidential Managed File Transfer Utility (MFT) e-mail via a confidential portal. Some or all of the data in the sample data set may contain confidential or proprietary information that must be safeguarded from disclosure, therefore NYSDOT cannot post this data to its website. To gain access to the sample data, please complete and submit to alfred.hasenkopf@dot.ny.gov the HOOCS Sample Data Access Non-Disclosure Release Agreement (Below) and request access to the sample data. A completed non-disclosure agreement (NDA) must be submitted to NYSDOT before such Consultants (Outside Parties) may be allowed to have any access to the privileged, confidential, or otherwise non-Public NYSDOT data sample. Once NYSDOT has received your completed NDA, it will be inspected for completeness. Once the submitted NDA has been determined to be responsive, you shall receive a reply e-mail containing instructions regarding how to access the confidential data sample.
STANDARD NYSDOT NON-DISCLOSURE AGREEMENT

This Agreement made this ____ day of ______________, 20___, by and between New York State Department of Transportation, having its principal office for transaction of business located at 50 Wolf Road, Albany, NY 12232 and ____________________________________ (“Outside Party”) residing at or having a principal office for the transaction of business located at ____________________________________.

WHEREAS, the New York State Department of Transportation (“NYSDOT”) is an executive agency of the State of New York charged with, among other things, the protection and safeguarding of confidential and proprietary information secured from third-parties and consultants; and

WHEREAS, in order to facilitate the security, confidentiality, and integrity of NYSDOT data, information and systems by requiring the execution of a Non-Disclosure Agreement or contract provision between NYSDOT and all Outside Parties being granted access to NYSDOT data, information and systems NYSDOT policies require, as a condition of access, that outside parties agree to the non-disclosure of confidential and proprietary information; and

WHEREAS, the Outside Party is acknowledges that during the course of its relationship with NYSDOT, there may be non-Public data, information and systems disclosed to them, made available to, or accessed by the Outside Party consisting of, but not necessarily limited to: a) technical data, information and systems -- methods, processes, formulae, systems, techniques, computer programs, research projects, plans, drawings, blueprints and design specifications; and/or b) business data, information and systems -- vendor lists, customer lists, constituent lists, financial data, strategic plans, case files, photographs, laboratory reports, charts, studies or information regarding NYSDOT’s business dealings and relations with other Outside Parties.

NOW THEREFORE, it is hereby agreed as follows:

1. Compliance with Information Technology (IT) Procedures -- Outside Party shall comply with all NYSDOT and/or State security, IT security, and other policies, procedures and standards and shall follow best industry-accepted security practices during the course of its relationship with NYSDOT. This shall include, but not be limited to, the use of individually-assigned passwords for logging onto IT systems or networks; preserving the confidentiality of such passwords, logon procedures, and NYSDOT and/or State data; refraining from accessing any NYSDOT and/or State IT systems, networks or data which they do not need and have not been authorized by NYSDOT to use in connection with performance of the work of the project; regular updating and use of firewall and virus protection software; regular preparation of project data backups; and compliance with any other existing or future IT security measures as required by NYSDOT and/or the State.

2. Non-Disclosure Commitment. Outside Party agrees not to disclose, under any circumstances whatsoever, NYSDOT data, information and systems obtained in the course of its relationship with NYSDOT unless and until a written release pertaining to specific
NYSDOT information, data and systems is provided to Outside Party by duly authorized NYSDOT staff. Outside Party agrees not to communicate with any news media regarding NYSDOT, the project being performed for NYSDOT, or its relationship with NYSDOT without first notifying, consulting with, and complying with the procedures and guidance of NYSDOT’s Office of Public Affairs.

3. Protection of NYSDOT Confidential Information. Outside Party acknowledges that NYSDOT, as a government agency, maintains a variety of legally privileged or otherwise confidential information whose unauthorized disclosure is prohibited by federal and/or state statutes, exempted from disclosure in pretrial discovery, under the Freedom of Information Law (FOIL), and/or under the Personal Privacy Protection Law, or otherwise protected against disclosure. Outside Party agrees to: (i) protect any legally privileged, confidential or otherwise non-Public NYSDOT data, information and systems from unauthorized use or disclosure with the same degree of care that Outside Party uses to protect its own proprietary trade secrets or other confidential information; (ii) use the NYSDOT data, information and systems only for the purposes relating to the project(s) or scope of assignment(s) it is performing or may be called to perform for NYSDOT; (iii) not reproduce the NYSDOT data, information and systems in any form except as necessary for purposes relating to the project(s) or scope of assignment(s) it is performing or may be called to perform for NYSDOT; (iv) not to disclose the data, information and systems or otherwise permit access thereto except to Outside Party staff, employees, agents, subcontractors, jobbers, interns and others associated with the Outside Party working on the project or assignment and/or consultants designated by the NYSDOT, with the explicit understanding that this prohibition includes disclosure of data, information and systems by Outside Party staff, employees, agents, subcontractors, jobbers, interns and others associated with the Outside Party working on the project or assignment to Outside Party sales, marketing, management, and any other Outside Party staff not directly working on the project or assignment.

4. Employment Eligibility, Background Checks and Security Clearances. Outside Party commits that he or she (if an individual) is; and each and every officer, employee or subconsultant performing work of the project on behalf of Outside Party (if a consultant or other firm), shall be; either a U.S. citizen or legally eligible to work in the United States; and that such status or eligibility shall be maintained at all times during Outside Party’s performance of work on the project for which Outside Party has been retained or has otherwise been granted access to, including but not limited to all periods during which Outside Party is accessing any NYSDOT, federal, state or municipal government facilities, information technology systems or data maintained therein. Outside Party shall (if a consultant or other firm) identify each such officer or employee proposed to perform work on the project at least five working days prior to the proposed start of such officer or employee’s work on the project, and shall cooperate with any and all background check procedures which NYSDOT and/or the State may require, including but not limited to photographing, fingerprinting, other technical identification, provision of name, work and home addresses, date of birth, company affiliation, company contact for employment verification, performance of a criminal history check, background investigation, or other security clearance procedures which NYSDOT and/or the State may consider necessary.
NYSDOT reserves the right to disapprove or require replacement of any of Outside Party’s employees for cause, and to eject and/or bar such disapproved or replaced employees from NYSDOT’s facilities. NYSDOT shall not exercise such authority arbitrarily or unreasonably. Grounds for disapproval or replacement shall include, but not be limited to: security risks or violations of security procedures; a personal past history of unlawful business-related conduct; lack of necessary technical, training or experience qualifications; unacceptable quality of work; disruptive or otherwise inappropriate conduct in NYSDOT facilities; or failure or refusal to comply with NYSDOT security procedures or requirements.

5. Facility Security and Access. Outside Party, and (if a consultant or other firm) any and all officers, employees and/or subconsultants, shall comply with any and all applicable NYSDOT and/or State facility security and access requirements and procedures in the performance of work involved in the project for which access is granted. This shall include, but not be limited to, Outside Party (if an individual) or all of Outside Party’s officers, employees and/or subconsultants (if a consultant or other firm) wearing or carrying at all times, and producing for inspection upon request, any NYSDOT or State identification card issued to them, and also carrying at all times and producing for inspection upon request an additional current form of photographic identification, and a written authorization from Outside Party indicating that the individual is acting on behalf of the Outside Party and/or an identified subconsultant. Outside Party shall (if a consultant or other firm) be responsible for compliance by any and all officers, employees, and/or subconsultants with all facility security procedures required by NYSDOT and/or the State, including but not limited to controls over access to and egress from NYSDOT, State, or other federal or municipal governmental facilities, and the physical security of any and all equipment, materials, and data storage media. Outside Party shall be responsible for, and shall correct at its own expense, any personal injuries, facility damage, or theft of or damage to equipment caused by failure to comply with such security requirements and procedures.

6. Temporary Access. Where an emergency or other circumstance occurs which renders immediate compliance with the foregoing security requirements impractical, NYSDOT may, in its sole judgment and discretion, defer Outside Party’s immediate compliance with the foregoing requirements and grant temporary access to NYSDOT and/or State facilities, IT systems and data as necessary for performance of work of the project. Such deferment shall not be construed as a waiver of NYSDOT’s right or the State’s right to require subsequent security clearance for any individuals previously granted such temporary access, and compliance by such individuals with employee screening, facility security and IT security requirements. Even in such circumstances, however, NYSDOT and/or the State shall approve such individual’s access prior to such individual’s accessing a NYSDOT facility or IT system, network or data. NYSDOT and/or the State shall also have authority to accompany such an individual, granted temporary access, at all times when using a NYSDOT facility or IT system, network or data.

7. Reservation of Control over Security. NYSDOT and the State reserve the right, in their sole discretion, to withhold approval of and refuse to grant access to NYSDOT, State,
federal or municipal governmental facilities or IT systems, networks or data to Outside Party, and/or to any individual officer or employee and/or subconsultant proposed by or through Outside Party who refuses to comply with the foregoing security procedures, or where NYSDOT and/or the State determine that the individual may present a risk to the security interests of NYSDOT and/or the State. Such right shall be in addition to the right of NYSDOT and the State under other provisions of this Agreement to review and approve or disapprove staff proposed by the Outside Party on grounds of their background, qualifications or general fitness to perform the work of the project.

8. Communications with Third Parties. Outside Party agrees not to disclose the nature of its work to any third party without prior written NYSDOT consent.

9. Return or Destruction of Records. Except to the degree that a valid contract between Outside Party and NYSDOT expressly provides otherwise, all products, whether physical or intellectual, produced in this relationship are NYSDOT property; and the Outside Party has no rights to claim, distribute, or market such products or related NYSDOT data, information and systems without prior written consent from authorized representatives of NYSDOT. Upon termination of its relationship with NYSDOT, or when and as otherwise directed by NYSDOT, Outside Party shall be obligated, at its own cost and expense, to return to NYSDOT or destroy any and all software, data, records, or other material, whether in electronic, recorded, printed or other format, previously received from NYSDOT, including all copies thereof. Outside Party shall do so within 48 hours of agreement termination or such other timeframe as may be directed by NYSDOT.

10. Application to Outside Party’s Organization. Where the signer of this document is representing an Outside Party with more than one employee, the Outside Party also shall ensure that all current and future staff, employees, agents, subcontractors, jobbers, interns and others associated with the Outside Party who may become involved in its relationship with NYSDOT are adequately instructed in the requirements of all NYSDOT security policies, procedures and standards, including but not limited to Outside Party’s obligations pursuant to this Agreement, and shall be required to sign a written personal acknowledgment that they have been informed of, understand, and agree to comply with the terms and conditions of this Agreement.

11. Information Not Considered Confidential. Data, information and systems shall not be subject to these requirements only to the extent that it (i) is or becomes, through no act or omission of the receiving party or an employee or agent of the receiving party, publicly known by third parties in the same trade or business as the receiving party; (ii) is lawfully received from a third party having the right to disseminate the data, information and systems without restriction on disclosure, (iii) is furnished to others by the disclosing party without restriction on disclosure, (iv) is independently developed by the receiving party without reference to data, information and systems, or (v) is disclosed by the receiving party under proper judicial or governmental process with reasonable prior notice to the other party.
12. Certification of Compliance. NYSDOT specifically reserves the right to require the
Outside Party to certify its compliance with NYSDOT security policies, procedures and
standards including but not limited to compliance with Outside Party’s obligations
pursuant to this Agreement. Failure to provide such certification within a reasonable time
shall be considered good and sufficient cause for immediate termination of the Outside
Party’s relationship with NYSDOT.

13. Revocation of Access. NYSDOT may terminate access to the covered information if, in
the sole opinion of NYSDOT, the Outside Party fails to comply with the terms of this
Agreement. Either party to this Agreement may terminate this Agreement upon thirty (30)
days written notice without cause. Upon termination, all information provided shall be
returned or disposed of as set forth in paragraph 9 above, or as otherwise specified by
NYSDOT.

14. Remedies for Breach. Any violation of this Agreement may result in immediate
termination of the relationship, and or the imposition of civil and criminal
penalties/prosecution, or both. NYSDOT reserves its right to pursue any remedy available
to it, in any forum, for any such violation(s).

15. Defense and Indemnification. Outside Party hereby agrees to defend, indemnify and hold
harmless the Department from any and all causes of actions in law or equity, demands,
payments, recoveries, arising either directly or indirectly from the activities of the Outside
Party during the course of its relationship with NYSDOT. Outside Party for and on behalf
of itself and all employees, agents, subcontractors, jobbers, interns and others associated
with the Outside Party who may become involved in its relationship with NYSDOT
hereby releases Department from any liability, either directly or indirectly, arising from the
use of and access to NYSDOT data, information and systems.

16. Governing Law. This Agreement shall be construed under the laws of the State of New
York.

17. Savings Clause. If any of the provisions of this Agreement are held invalid, such invalidity
shall not affect or impair other provisions herein that can be given effect without the
invalid provisions, and to this end the provisions of this Agreement are severable.

IN WITNESS WHEREOF, the parties have caused this agreement to be executed by their
duly authorized officials as of the date first above written.

“Outside Party” Consultant for NYSDOT

By: _________________________________  Title: ________________________________

Name: _________________________________  Date: ________________________