November 10, 2015

REQUEST FOR PROPOSALS
RFP MODIFICATION No. 1
FTA Program Compliance Monitoring Services
Contract #C031383

Dear Interested Party:

Reference is made to the subject solicitation wherein the following changes are hereby incorporated:

2. RFP Title page, Page iv, Proposals Due Date: Strike: November 30, 2015 and replace with: December 4, 2015.
3. RFP, Page 31, Section 6.4 Tentative Schedule of Key Events, Proposals Due: Strike: November 30, 2015 and replace with December 4, 2015.
4. Insert in Task 5 page 10, under Deliverables: 5.1 Add new sentence to the end of paragraph: “All training materials become the property of NYSDOT after the training has been completed.”
5. Insert in Task 5 page 10, under Deliverables: 5.2 Add new sentence to the end of paragraph: “All training materials become the property of NYSDOT after the training has been completed.”
6. On page 23, under Contract Sections: After “SFS Vendor ID Number” and the paragraph ending in “through NYSDOT sponsorship,” add new paragraph labeled, “Conflict of Interest” and add “Firms with current contracts or pending contracts with any subrecipient are generally precluded from bidding on this contract; however, if a firm believes their current contract or pending contract with a subrecipient does not present a conflict of interest, they may submit justification and request an exception from NYSDOT before November 20, 2015. NYSDOT requires the proposer to certify (via Attachment 2 of RFP) that they do not have any current or pending contracts for any services with the identified subrecipients (listed in Attachment 14) or have received NYSDOT’s prior approval that any such contracts are not a conflict of interest. The Consultant awarded the contract cannot bid on any contract with any subrecipient during the term of the NYSDOT contract C031383 without prior approval of the NYSDOT Project Manager of contract C031383.”
7. Delete Attachment 2 and replace with the new revised Attachment 2, Offeror
NEW YORK STATE DEPARTMENT OF TRANSPORTATION
REQUEST FOR PROPOSALS
Contract #C031383
Attachment 27
Questions and Answers

Question #1: Is there a pre-bid meeting for this RFP?

Answer #1: No.

Question #2: We have applied to be certified as a DBE in New York State. Can this information be added to the C031383 Source list?

Answer #2: To count toward the Disadvantaged Business Enterprises (DBE – federal) goal as a subconsultant, a firm must be certified in NYS as a DBE at the time of proposal submittal. If the DBE application is being processed and certification status has not been granted at the time of proposal submittal, the firm cannot be counted as a DBE for this contract.

Question #3: We are a WBE and a MBE. Can you note this on the Source List?

Answer #3: This contract will be funded with federal funding. Therefore, there is a DBE goal, not a WBE or MBE goal for this contract. M/WBE status is not required or counted toward the DBE goal for this contract. Therefore, it does not need to be noted and any reference to MWBE status on the Sourcelist was an error.

Question #4: A) Will the successful consultant be prohibited from working for or proposing to the subrecipients or B) NYSDOT for any other professional service contracts?

Answer #4: A) In this Modification #1 to C031383 (see item #6), we are inserting on page 23 of the RFP a new paragraph labeled, “Conflict of Interest” which states “Firms with current contracts or pending contracts with any subrecipient are generally precluded from bidding on this contract; however, if a firm believes their current contract or pending contract with a subrecipient does not present a conflict of interest, they may submit justification and request an exception from NYSDOT before November 20, 2015. NYSDOT requires the proposer to certify (via Attachment 2 of RFP) that they do not have any current or pending contracts for any services with the identified subrecipients (listed in Attachment 14) or have received NYSDOT’s prior approval that any such contracts are not a conflict of interest. The Consultant awarded the contract cannot bid on any contract with any subrecipient during the term of the NYSDOT contract C031383 without prior approval of the NYSDOT Project Manager of contract C031383.”
Please be aware that Attachment 2 has been revised as per this Modification #1.

B) The successful consultant will be able to bid on other NYSDOT RFPs and submit proposals for other NYSDOT professional service contracts.

**Question #5:** Is there an existing contract for FTA Compliance Monitoring for NYSDOT?

**Answer #5:** No.

**Question #6:** A) Is there a minimum number of Attachment 6 company references required?  B) Is there a maximum allowed?

**Answer #6:** A) No minimum.  
B) Yes, page 97, Attachment 6, paragraph one states “proposers are required to submit relevant company project, experience, and contact information for reachable references for up to five past relevant company projects.”

**Question #7:** A) Do you want more than one Attachment 7 reference per person?  B) How many resumes do you want?

**Answer #7:** A) Yes, we ask for 3-5 references for each Key Personnel.  B) We want one resume for each of the key personnel.
Attachment 2: Consultant Information and Certifications

(Please submit this with your Cost Proposal)

CONTRACT NUMBER:  C031383
PROJECT TITLE:  FTA PROGRAM COMPLIANCE MONITORING SERVICES

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 5 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 that $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:
  http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf (Form ST-220-CA)
  http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf (Form ST-220-TD)

- The firm certifies that they do not have any current or pending contracts for any services with the identified subrecipients listed in Attachment 14 (Subrecipient List) or have received NYSDOT’s prior approval that any such contracts are not a conflict of interest. The Consultant awarded the contract cannot bid on any contract with any subrecipient during the term of the NYSDOT contract C031383 without prior approval of the NYSDOT Project Manager of contract C031383.”

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)
No other provision of the solicitation is otherwise changed or modified.

Please acknowledge receipt of RFP Modification #1 on Attachment 13 Form AOR of the RFP upon proposal submittal.