Attachment 16 - NYSDOT Form 255 NAE: General Instructions

THE NYSDOT 255NAE FORM SHALL NOT BE ALTERED AND IT SHALL BE SUBMITTED IN BLACK AND WHITE. ANY PAGES OF THE 255NAE WHICH HAVE BEEN ALTERED OR HAVE NOT FOLLOWED THE FORMATTING INSTRUCTIONS CONTAINED IN THE RFP MAY, AT NYSDOT’S DISCRETION, BE REMOVED FROM THE SUBMISSION BEFORE THE TECHNICAL EVALUATION PROCESS.

The form’s purpose is to provide information regarding the firm’s qualifications to undertake a specific project. Only one form should be submitted for each team (prime or joint-venture plus subconsultants). SEPARATE FORMS SHOULD NOT BE SUBMITTED FOR SUBCONSULTANTS. Responses should be as complete and accurate as possible, contain data relevant to the specific project, and be provided by the required due date to the designated Office of Contracts Management Specialist. ALL INFORMATION CONTAINED IN THE FORM SHOULD BE CURRENT AND FACTUAL.

Refer to the project RFP for instructions that may be specific to the particular solicitation.

The form must be submitted as a single electronic document in Adobe PDF format and included in Part I Technical and Management Proposal specified in the RFP. DO NOT INCLUDE ANY GRAPHICS EXCEPT AS NEEDED FOR THE ORGANIZATIONAL CHART (ITEM 7).

Definitions:
Principals are those individuals in a firm who possess legal responsibility for its management. They may be owners, partners, corporate officers, associates, administrators, etc.
Discipline, as used in this questionnaire, refers to the primary capability of individuals in the responding firm. Possession of an academic degree, professional registration, certification, or extensive experience in a particular field of practice normally reflects an individual’s primary discipline.
Joint Venture is a collaborative undertaking by two or more firms or individuals for which the participants are both jointly and individually responsible.
Key Staff, Specialists, and Individual Consultants, as used in this questionnaire, refer to individuals who will have major project responsibility or will provide unusual or unique capabilities for the project under consideration

Instructions for Filing Form 255NAE (Numbers below correspond to numbers contained in form):

1. Provide the Contract C number and the name of the project for which this form is being submitted. Key information is labeled in the project RFP.
2. Provide the publication date of the issue of the NYS Contract Reporter in which the ad appeared.

3. Provide the following information about the firm:
   A. Provide the name and address of the prime firm (or joint venture) where correspondence regarding this project should be directed.
   B. Provide the 8 digit NYSDOT Consultant Identification Number (CIN) of the prime firm (or joint venture) submitting this form for the project, if available.
   C. Provide the firm name, location (city, state) and 8-digit CIN (if available) for all additional offices of the prime firm (or joint venture partners) that will be performing work on the project.
   D. Provide the address, county and 8 digit CIN (if available) of the specific office which will have responsibility for performing the majority of the advertised work (if different from 3A).
   E. List the name, title, telephone number, and e-mail address of that principal/officer who will serve as the point of contact. Such an individual must be empowered to speak for the firm (or joint venture) on policy and contractual matters and should be familiar with the programs and procedures of NYSDOT.
   F. Prime and or J/V’s percentage of work (defined as the estimated percentage of the direct technical salary for the ENTIRE project to be performed by the consultant, less that of all subconsultants). Use only whole numbers.

Note: All respondents to this solicitation must reference their Consultant Identification Number (CIN). If an offeror does not have a CIN and they are selected for contract award, they will be required to obtain one through the following NYSDOT Web site prior to negotiation of the contract: “How to Register a New Consultant Firm with NYSDOT” via: https://www.dot.ny.gov/portal/page/portal/main/business-center/consultants/forms-publications-and-instructions

4. Insert the number of consultant personnel by discipline:
   A. That will be working on the subject project
   B. That are available

While some personnel may be qualified in several disciplines, each person should be counted only once in accord with his or her primary function. Write in any additional disciplines and number of people in each, in blank spaces.
5. Answer only if this form is being submitted by a joint venture of two or more collaborating firms.

A. Indicate, by checking the appropriate response, whether the proposed joint venture has a written agreement outlining specific areas of responsibility for each participating entity.

B. Indicate, by checking the appropriate response, whether this particular joint venture has worked together on other projects.

6. Respondents intending to use outside (as opposed to in-house or permanently and formally affiliated) subconsultants or associates should:

A. provide names and addresses of all such individuals or firms,

B. Indicate if the subconsultant is a certified M/WBE or SDVOB by stipulating “yes” or “no”. For M/WBEs or SDVOBs participation to be credited, the firm must be listed on the official NYS M/WBE Directory (the link is: https://ny.newnycontracts.com/) and the NYS Office of General Services SDVOB Directory (the link is https://online.ogs.ny.gov/SDVOB/search) If “yes” is indicated, you must provide a copy of the firm’s M/WBE or SDVIB letter from a certifying partner in a PDF format along with the 255NAE submission.

C. their particular areas of technical/professional expertise as it relates to this project.

D. their percent of work (defined as the estimated percentage of the direct technical salary for the ENTIRE project to be performed by the subconsultant). Use only whole numbers.

E. the Percent of Participation (not required for this project)

F. indicate if the firm has worked in the past with the Prime/JV, and

G. their available staff by discipline (see instructions for item 4).

If more than two outside consultants or associates are proposed, attach an additional sheet(s) containing requested information.

7. Provide a project organizational chart depicting the key staff (including their name, firm affiliation and project title) that makes up your proposed team. This must be limited to one page in length, with a font size no smaller than 10 point. NO OTHER INFORMATION SHOULD BE INCLUDED ON THIS PAGE.

8. The selection and retention of a Consultant is contingent on the availability of the key staff. Regardless of whether respondent is a joint venture or an independent firm, resumes are required for all personnel identified in the RFP as key staff. Care should be taken to limit resumes to only those personnel and specialists for whom resumes are requested by NYSDOT.
If a firm is proposing individual(s) for a key staff position who are currently employed by a different firm, then a letter from the individual(s) confirming their intent to leave their current employer to join the proposing firm if designated for the contract must be supplied. The confirmation letter must be e-mailed as a separate PDF document along with the NYSDOT 255NAE submission. Resumes for the individual(s) are required. Do not provide resumes for alternate staff. Although the consultant is expected to make every effort to provide the proposed key staff, if the advertised start date is delayed and key staff is no longer available, the consultant may propose alternate staff for NYSDOT approval.

Font size must be no smaller than 10 point, and each resume may be no more than one page in length. Each resume must include:

A. Name of the key person or specialist and his or her title.

B. The project title which that person will be expected to fulfill in connection with this project.

C. The name of the firm or organization with whom that individual is or has committed to be associated for this project (including the office location for firms with multiple offices), and their current employment status.

D. Years of relevant experience with firm listed in item 8C above (if less than one year, show the hire date or enter to be hired), and with other firms.

E. The highest academic degree achieved and the discipline covered (if more than one highest degree, such as two Ph.D.’s, list both), the year received and the particular technical/professional discipline which that individual will bring to the project.

F. List any appropriate licenses or certifications.

G. Date individual will be available (month/day/year). If availability date is after the start of work as noted in the RFP, an explanation of how this deficiency will be addressed must be provided in Item 9. If the individual is currently employed on a NYSDOT project, then the appropriate NYSDOT Project Manager must be notified previous to the submission of the 255NAE form, and their name provided.

H. A synopsis of experience, training, or other qualities which reflect individual’s potential contribution to this project. Prior project experience should include: the date, the individual’s assignment on the project, the type of services, the project owner, a brief project description including the estimated cost of the project, the role of the firm the individual worked for (prime, sub, JV, etc.), the percent of work that the firm was responsible for, and a description of the work that the individual was directly responsible for. Please limit synopsis of experience to information directly relevant to the duties specific to the RFP, Section IV.
9. **Approach to Scope of Services**: Describe your approach for implementing the Scope of Services as outlined in Section III of this RFP. Your approach to the items below may reflect acceptance of the Scope of Services of this RFP, or you may wish to elaborate upon it. Describe, in detail, your plan for accomplishing any tasks specified in Section IV of the RFP.

If proposing a joint venture, describe clearly in item 9 the manner in which the project will be managed by the joint venture and the technical work coordinated and accomplished by the joint venture.

Item 9 must be limited to FOUR pages in length, with a font size no smaller than 10 point. **Do not include any graphics.**

10. **Firm/Team’s Experience**: The qualifications of the proposer are of great importance to NYSDOT. Address any specific experience requirements detailed in Section IV of the RFP.

Item 10 must be limited to FOUR pages in length, with a font size no smaller than 10 point. **Do not include any graphics.**

11. **Project Experience**: Item 12 must be limited to four (4) pages. **Project reference shall not be a current NYSDOT employee.**

12. Completed forms should be signed and dated by the principal responsible for the conduct of the work in the event it is awarded to the organization submitting this form, or by the principal of each firm for a joint-venture. Also list the name telephone number, and e-mail address of the individual who prepared the form.