NEW YORK STATE DEPARTMENT OF TRANSPORTATION
REQUEST FOR PROPOSALS
Advanced Traffic Management System
Contract #C030789

June 8, 2012

To All Concerned:

Enclosed is a copy of the Non-Engineering Request for Proposals (RFP) referenced above. All information necessary for the submission of your proposal is contained in the Best Value solicitation.

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

Please note the following dates and deadlines:
- June 7, 2012: RFP release
- June 12, 2012: MANDATORY Region 3 Site Visit/Tour
- June 13, 2012: MANDATORY Region 8 Site Visit/Tour
- June 26, 2012: Main Office Pre-Proposal Conference (Optional)
- June 29, 2012: Deadline for questions about the RFP is 2:00 PM (NY Time)
- July 6, 2012: Deadline for release of answers to RFP questions
- July 31, 2012: Deadline for the submission of proposals on 3:00 PM (NY Time)
- Late August/early September: Technical Demonstrations
- Late Fall, 2012: Consultant Selection
- Winter 2012: Approved Contract

If you are interested in developing a proposal in response to this solicitation, please complete and submit the attached RFP Response Form to the designated NYSDOT contact person.

In Section 4 of the RFP, a “Checklist for Proposal Submission” is included for reference purposes when submitting your proposal to NYSDOT. It also contains instructions for complying with the Procurement Lobbying Law so that your proposal may be considered for contract award. NOTE: Failure to submit the required PLL forms with your proposal will result in elimination from consideration for contract award.
The Department of Transportation estimates that the selected Consultant will commence work in late 2012/early 2013 and continue for a period of five years, depending on performance.

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, the NYSDOT has set a DBE Participation Goal of 5%. 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), § 165-a, effective April 12, 2012. Under the Act, the Commissioner of the Office of General Services (OGS) will be developing a list (prohibited entities list) of “persons” who are engaged in “investment activities in Iran” (both are defined terms in the law). Pursuant to SFL § 165-a(3)(b), the initial list is expected to be issued no later than 120 days after the Act’s effective date, at which time it will be posted on the OGS website. By submitting a proposal in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, the selected Consultant (or any assignee) certifies that once the prohibited entities list is posted on the OGS website, it will not utilize on such Contract any subconsultant that is identified on the prohibited entities list.

Additionally, Offerors are advised that once the list is posted on the OGS website, any Consultant seeking to renew or extend a Contract or assume the responsibility of a Contract awarded in response to the 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 NYSDOT receive information that a person is in violation of the above-referenced certification, NYSDOT will offer the person an opportunity to respond. If the person 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 proposal 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

Enclosure
**RFP RESPONSE FORM:**

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 9**) before questions or other communications with the Department regarding this solicitation can be initiated.

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

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

_______________________________________________________________________
_______________________________________________________________________
_______________________________________________________________________

Name and Address of Organization (Include Zip Code):
_______________________________________________________________________
_______________________________________________________________________
_______________________________________________________________________

Signature: ____________________________________  Date: ________________

Printed Name and Title: ______________________________________

Telephone: _______________________________ Fax: ___________________________

E-Mail Address: ________________________________________________________

RFP Title: __________________________________________________________

Please send to:
Al Hasenkopf, Contract Management
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York  12232
Attention: Advanced Traffic Management System RFP (Contract #C030789)
E-Mail: ahasenkopf@dot.ny.gov
Fax: 518-457-8475
NEW YORK STATE DEPARTMENT OF TRANSPORTATION
REQUEST FOR PROPOSALS
ADVANCED TRAFFIC MANAGEMENT SYSTEM

CONTRACT #C030789

Proposal Due Date: July 31, 2012

Proposal Delivery Location and Additional Information:

Al Hasenkopf, Contract Management
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York 12232
Attention: Advanced Traffic Management System RFP (Contract #C030789)
E-Mail: ahasenkopf@dot.ny.gov
Fax: 518-457-8475

RFP Release Date: June 8, 2012
# REQUEST FOR PROPOSALS
## NEW YORK STATE DEPARTMENT OF TRANSPORTATION

**Advanced Traffic Management System**

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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 installation of a comprehensive Advanced Traffic Management System (ATMS) initially for NYSDOT Regions 3 (Central New York) and 8 (Lower Hudson Valley) with statewide implementation to be achieved through a phased approach, and to enter into a contract with the selected responsive and responsible consultant offering the best value to the state for the requested services.

1.2 Document Overview

This RFP specifies the functional and performance requirements, the responsibilities of the consultant and the New York State Department of Transportation (NYSDOT), and other pertinent information related to the acquisition of an Advanced Traffic Management System and related system maintenance and support services. The provisions and requirements of this RFP will be incorporated into the resulting contract between NYSDOT and the successful consultant. This document contains the following major sections.

Section 1 – Introduction. Section 1 provides an overview of NYSDOT, the program areas that require and will use the Advanced Traffic Management System, and background information about the project.

Section 2 – Project and Contract Objectives. Section 2 describes the purpose of the project and outlines NYSDOT’s project and contract objectives.

Section 3 – Scope of Work. Section 3 provides a description of NYSDOT’s requirements and the expected deliverables for the project.

Section 4 – Proposal Format and Contents. Section 4 describes the format and prescribed content required for the responses to this RFP.

Section 5 – Criteria for Evaluation of Proposals. Section 5 describes the methods and criteria to be used for evaluating responses to this proposal, including minimum qualifications, and for selecting an consultant.

Section 6 – Administrative Specifications. Section 6 contains general administrative information regarding the solicitation, including a schedule of events. Attachment 1 ‘Draft Contract’ contains the contract terms and conditions.
1.3 Project Background

1.3.1 Mission of New York State Department of Transportation

It is the mission of NYSDOT to ensure that our customers — those who live, work and 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:

1. Coordinating and developing 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; and

2. 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 over 100 billion vehicle miles, encompassing over 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.
- Over 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.

1.3.2 NYSDOT ATMS

NYSDOT is ultimately seeking a statewide, standardized approach to its Transportation Management Center (TMC)-based transportation management and traveler information systems. Specifically, this includes ATMS. Traditionally ATMS refers to systems that consolidate the command and control functions of field equipment and original equipment manufacturer (OEM) software (e.g., Variable Message Signs (VMS) management and camera viewing and control). Advanced Traveler Information System (ATIS) refers to incident management, traveler information reporting functions, and the display of traveler information to the public. Some
existing deployments have blended these two principle functions into a single graphical user interface (GUI).

Although the initial deployment of the system will be limited to Regions 3 and 8, NYSDOT is seeking an expandable statewide, standardized approach to transportation management and traveler information systems. NYSDOT is seeking an Enterprise Software License to cover all software licensing and updates for all NYSDOT regions. It is anticipated that the remaining Regions will be implemented in phases over time. It is possible that this may commence towards the end of the resulting contract’s five-year term or some time thereafter. Figure 1 indicates NYSDOT’s anticipated deployment phases and timeframes for each phase.

**Figure 1, ATMS Deployment Phases**

<table>
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<tr>
<th>Phase</th>
<th>Regions</th>
<th>Timeframe</th>
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<tbody>
<tr>
<td>1</td>
<td>3(^1), 8</td>
<td>18 months from project start</td>
</tr>
<tr>
<td>2(^2)</td>
<td>1, 4</td>
<td>18 months to 3 years</td>
</tr>
<tr>
<td>3(^3)</td>
<td>2, 6, 9</td>
<td>3 years to 10 years</td>
</tr>
<tr>
<td>4</td>
<td>5, 10, 11</td>
<td>10+ years</td>
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NYSDOT is looking to achieve the following:

- Cost savings associated with migrating from the current state of multiple disparate software applications to one ATMS with anticipated savings in the areas of software maintenance and support
- Provision of ongoing software support and maintenance
- Potential for future in-house NYSDOT IT infrastructure support
- The extension of features and functionality to smaller Regions that are not in a position to make significant investments in ATMS software on their own
- The ability of Regions to cover each other during emergencies
- The standardization of core processes, procedures, and performance measures across Regions

---

1 Region 3 controls some devices that are physically located in Region 7 on Region 7’s behalf.
2 Regions 1 and 4 are only possible if the selected solution’s technology is still current/viable.
3 It is anticipated that the STICC will participate in this phase. Also, Regions 2, 6 and 9 are only possible if the selected solution’s technology is still current/viable.
- Better visibility into Regional traffic management operations for the Statewide Transportation Information and Coordination Center (STICC) and the option for the STICC to provide backup services to the Regions
- To possibly install the selected solution in additional Regional TMCs if the selected solution’s technology is still current/viable

In order to realize these benefits NYSDOT realizes that a statewide system architecture must be developed to connect the Regional TMCs and area and statewide business partners such as the Thruway Authority and TRANSCOM. A network design is needed that will maximize system functionality and availability while minimizing cost and optimizing performance. The initial deployment of the ATMS in Regions 3 and 8 will be “stand alone” for Phase 1.

The New York State Department of Transportation, with its headquarters at 50 Wolf Road in Albany, is comprised of one centralized Main Office, 11 Regional Offices and 68 county-based transportation maintenance residencies. The users of the ATMS application will ultimately be distributed throughout the entire NYSDOT organization, with users in each Region’s Transportation Management Center (TMC – see below) and NYSDOT Main Office.

Main Office: Albany, New York
NYSDOT Region 1: Schenectady, New York
NYSDOT Region 2: Utica, New York
NYSDOT Region 3: Syracuse, New York
NYSDOT Region 4: Rochester, New York
NYSDOT Region 5: Buffalo, New York
NYSDOT Region 6: Hornell, New York
NYSDOT Region 7: Watertown, New York
NYSDOT Region 8: Poughkeepsie, New York
NYSDOT Region 9: Binghamton, New York
NYSDOT Region 10: Hauppauge, New York
NYSDOT Region 11: Long Island City, New York

1.4  TMC Activities

1.4.1  NYSDOT’s Vision for TMC deployment:

The approach for ATMS deployment to the TMCs is a phased approach as shown in Figure 1, with the Phase 1 deployment to Regions 3 and 8 constituting ‘stand-alone’ systems. As an expandable statewide, standardized approach to transportation management and traveler information systems is adopted across the NYSDOT enterprise, the Phase 2 and Phase 3 deployments will integrate with and build from the Phase 1 ATMS deployments. The NYDOT vision for TMCs across the NYSDOT enterprise is:

- TMCs will serve as the focal point for implementation and coordination of operational activities for the Department and its operational partners.
- NYSDOT and other transportation and public safety partners will coordinate multi-modal daily operational activities to manage the transportation system in the most efficient manner and to enable incident detection, verification and emergency response activities in the most timely and effective manner possible.
- Focal point for dissemination of real time information to the public and the media under regional and statewide traveler information programs.
- Links various system elements such as variable message signs (VMS), closed circuit television cameras (CCTV), detectors, and highway advisory radio systems (HAR), enabling operations personnel to manage recurring traffic demands and identify and react to incidents, emergencies and congestion in real time.

The functions of an ATMS need to be based on TMC activities. The following descriptions of TMC activities have been identified by NYSDOT:

At the highest level, TMC activities fall into the following categories:

- Monitor transportation system and manage traffic demand in real time
- Detect traffic incidents and expedite safe and efficient response and removal
- Monitor weather conditions and manage appropriate response
• Facilitate freight mobility via deployment or support of commercial vehicle operations (CVO) related systems such as traveler information, safety, permitting and credentialing, weigh-in-motion, etc.

• Coordinate communications and information to support security measures statewide

• Provide motorists and the media information on traffic and roadway conditions

• Conduct and/or coordinate internal operational activities such as lane closures for construction and maintenance activities, planning detours, and traffic management for special events

• Coordinate operational activities with transportation and public safety partners

The 11 NYSDOT Regions in New York State have historically operated with a great deal of independence in order to best meet the unique needs of each region. NYSDOT is seeking greater consistency of Regional operations as a result of this project. The ATMS deployment at Regions 3 and 8 under Phase 1 will serve as the foundation for the Phase 2 and Phase 3 deployments. The NYSDOT preliminary solution architecture concept, as described in Section 3.3, illustrates how the Level 3 TMCs (defined below) will provide the infrastructure to support the Level 2 and Level 1 TMCs.

1.4.2 Three Levels of TMCs Defined

• **Level 1 TMCs** - are smaller set-ups, with limited transportation management field infrastructure. They focus on coordination of daily operations activities and management of special events and weather situations. Level 1 TMCs include Region 2, Region 6, and Region 9.

• **Level 2 TMCs** - are usually mid-sized facilities, with moderate transportation management field infrastructure. This field infrastructure usually focuses on critical corridors or smaller networks, but transportation management and operations extend to a much broader base. Extensive daily real-time traffic and weather condition monitoring, management, and coordination is performed. Level 2 TMCs include Region 1, Region 4, and Region 5.

• **Level 3 TMCs** - are generally larger facilities with an extensive transportation management field infrastructure that perform a complex variety of tasks related to monitoring and managing the transportation network. This field infrastructure is deployed on a regional network-wide basis. Extensive daily real-time traffic and weather condition monitoring, management and coordination is performed. For purposes of this RFP, Region 3 is a Level 3 TMC as well as Region 8, Region 10 and Region 11.

Regional TMC differences are fundamentally based on the differences in population density and the related traffic, as well as the type and number of state road miles in the region, and the complexity of the multimodal metropolitan transportation system. Another important factor contributing to the difference in regional operations is the original NYSDOT strategic decision to allow a great deal of autonomy, and the FHWA’s encouragement of a regional and inter-regional focus and functions for TMCs. The length of time in operation, related extent of systems development, and level of integration with partners are all important differences among regions.
Regional differences and autonomy have led to the implementation of a number of different systems across the state. These differences result in higher support costs and present hurdles to the consolidation of information and the potential for inter-region support.

1.5 TMC Documentation

**Attachment 14**, Physical Demark and Logical Hand Off provides an overview of how field equipment and connectivity is currently architected in Regions 3 and 8. **Attachment 15**, TMC Equipment Inventory provides an inventory of field equipment and workstations in the Region 3 and Region 8 TMCs.

Information regarding systems used in the remaining regions can be found in **Attachment 6**, ATMS Concept of Operations in the tables “Key Legacy Systems Used by TMC’s” (p. 5) and “Traffic Management Systems Deployment Summary by Region” (p. 8)
2. **PROJECT AND CONTRACT OBJECTIVES**

2.1 **Project Purpose**

The purpose of the ATMS Project is to implement an ATMS, initially in Regions 3 and 8, but with a view to extending the implementation statewide over time using a phased approach as depicted in Figure 1.

2.2 **Project Objectives**

- The overall objective of the project is to achieve a statewide implementation of an ATMS using a phased approach.
- There will be three levels of Regions as described in Attachment 6 Concept of Operations, based on a number of factors, most importantly the quantity of locally supported field equipment (the higher level number, the more complex the operations at that TMC). Region 3 and 8 will be considered a level 3 center.
- Select a Consultant who will provide ATMS software that fulfills the requirements stated herein.
- Select a Consultant who will provide installation and implementation services of an ATMS, including connectivity support for field devices, controllers, and system interfaces.

2.3 **Contract Objectives**

2.3.1 **Minimum RFP Responsiveness Requirements**

Any Firm that does not provide all components of Part I and Part II by the RFP deadline may be determined to be non-responsive. Any firm deemed non responsive shall have its proposal removed from further consideration (prior to the technical evaluation of proposals). NYSDOT will not accept facsimile or e-mailed proposals in response to this RFP. Consultants that plan to hand deliver their proposals should contact the designated NYSDOT contract person 48 hours ahead of time to arrange for delivery and a receipt. Late and incomplete proposals will not be considered. Note that the deadline is for receipt of the proposal at the New York State Department of Transportation at Wolf Road, Albany, New York; not for the mailing or entrusting the proposal to a delivery service. Complete instructions on the preparation of the proposal can be found in RFP Section 4.

2.3.2 **Disadvantaged Business Enterprise Participation**

While not indicative of a proposer’s individual merit (technical excellence, proposer’s ability, experience, etc.), NYSDOT encourages the participation of certified Disadvantaged Business Enterprises (DBE) in its solicitations. The level of DBE participation will be relevant to the process of selecting proposals that will best achieve the overall goals of the Department. 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/).
The New York State Department of Transportation has established a **DBE participation goal of 5% (percent)** for this solicitation. The goal relates to the labor portion of the project budget. Meaningful participation requires a subconsultant **who is certified (at the time of Proposal submission)** as a NYSUCP DBE in order to count toward the DBE subconsultant participation goal. Participation by DBE prime consultants is encouraged but will not count towards meeting the 5% contract goal. Meaningful participation is defined as providing commercially useful functions or services. These services should:

- Result in a product or service distinguishable from the prime consultant’s product or service
- Be for scope of service elements which can be and are completely performed, supervised and managed by the DBE consultant
- Perform significant tasks which can be considered commercially marketable

NYSDOT has posted its final draft DBE Program Plan to its website (subject to change). The draft plan provides background information regarding how the Department conducts its Federally-required DBE program, covering such subjects as contract-level goals, good faith efforts by consultants, DBE certifications, etc:


2.3.3 **Term of the Agreement**

The base term of the resultant agreement from this solicitation will be five (5) years. **Attachment 1**, Draft Contract contains the Terms and Conditions for this contract.

2.3.4 **Ownership of Data Sources**

All data provided to the consultant for the Advanced Traffic Management System will remain the property of NYSDOT and the consultant will be prohibited from re-distributing the data, for any purpose, to any organization without the prior written approval of NYSDOT. Reference **Attachment 1**.

2.3.5 **Consultant Arrangements**

Only one (1) responsive and responsible Prime Consultant (or team of consultants wherein the contract will be with the Prime Consultant) will be retained through this RFP solicitation. Subconsulting and teaming arrangements are encouraged. Joint ventures are not allowed.

2.3.6 **Other Contract Objectives**

a. Selection of a qualified, responsive and responsible consultant via a greatly expedited solicitation schedule.

b. Fair and equitable treatment of all firms expressing interest in and competing for contract award.

c. Select a consultant who either meets/exceeds the contract’s 5% DBE goal or provides the State with an acceptable good faith effort.
3. SCOPE OF SERVICES

3.1 Overview
When under contract, the successful consultant (henceforth referred to as the “selected consultant”) will be responsible for providing Advanced Traffic Management System services for Regions 3 and 8 which meet the objectives and requirements as stated in this RFP and its draft contract. 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 and specifications required for consultants to provide a viable response to the RFP. The consultant is solely responsible for meeting all the requirements in this RFP. Questions regarding any information contained in this RFP are encouraged.

Submission of a proposal is an affirmation by the consultant that its organization complies with all the requirements and specifications set forth in this RFP and that its organization is capable of delivering the system and performing the services required in a manner consistent with the terms of this RFP and its draft contract, per the selected consultant’s proposed solution (as clarified). Further, the resulting contract’s scope of service shall consist of the work elements and requirements per the State’s RFP and the work elements and requirements per the selected consultant’s proposed scope of services, as clarified in the final negotiated contract.

During the course of the contract, NYSDOT reserves the right to approve all replacement prime consultant personnel; NYSDOT also reserves the right to approve any replacement subconsultant personnel after proposal submission and after contract execution.

3.2 System Requirements Matrix
The ATMS system requirements can be found in Attachment 5. Consultants are encouraged to ask questions about these requirements.

3.2.1 Requirement Priority
This RFP and its attachments provide project specifications, specific performance requirements, consultant responsibilities, and other pertinent information necessary for respondents to offer complete and responsive proposals. The consultant must respond to every requirement — whether designated as Mandatory, Necessary or Desired. NYSDOT may eliminate from further consideration any proposal that does not meet all the Mandatory requirements as being non-responsive to the RFP.

Definitions:
- **Mandatory** – The project requirements defined in this RFP, denoted as ‘Mandatory’, represent the Mandatory requirements that must be met by each consultant’s proposal in order to be initially deemed technically responsive to the RFP during the pre-screening evaluation phase. The consultant must meet this requirement. Mandatory requirements are evaluated as either pass or fail and are not included in the proposal score. If the
requirement is not met, NYSDOT may deem this proposal to be non-responsive. Any proposal deemed to be non-responsive shall eliminate the consultant and its proposal from further consideration.

- **Necessary** – the requirement is essential in fulfilling the contract. NYSDOT will evaluate and document the degree of responsiveness of the consultant’s response to requirements labeled within this RFP as ‘Necessary’ and numerically score responses. NYSDOT will not eliminate consultants who fail to demonstrate how they plan to meet a Necessary requirement; however, failure to demonstrate how a Necessary requirement will be met will result in a lower technical evaluation score.

- **Desired** – the requirement describes goods or services that the agency prefers, but that the consultant is not obligated to propose. NYSDOT will evaluate and document the degree of responsiveness and numerically score responses to requirements denoted as ‘Desired’.

### 3.3 Preliminary Solution Architecture Concept

NYSDOT expects consultants to recommend the application architecture that provides the best value solution based on the requirements of this RFP. NYSDOT does have some preliminary design ideas that may be considered by respondents. NYSDOT envisions three main ATMS functions that may be run on separate servers or on a single server depending on size of deployment and desire for availability. These functions are:

- Field device communications
- Database (must be MS SQL or Oracle)
- ATMS application

In order to provide required functionality while minimizing initial and ongoing management and maintenance costs, NYSDOT envisions that the functions will be deployed as follows:

- Level 3 TMCs will have all three functions
- Level 2 TMCs may not have the ATMS application server on site
- Level 1 TMCs may only have the Field device communications interface server.
- Redundant servers will be required for Level 3 TMCs.

### 3.4 NYSDOT Responsibilities

NYSDOT will be responsible for field equipment and field equipment networks. The physical demark and logical hand off between NYSDOT and vendor is illustrated in Attachment 14.

NYSDOT will procure all required hardware and any supporting software for the selected solution based on OGS contract pricing and availability. The selected consultant will be responsible for the installation of a comprehensive ATMS. Proposers must include in their cost proposal (Attachment 8) information about all hardware required to support the proposed solution, based on the consultant’s notional design using the information provided in the RFP and attachments. Hardware requirements must reflect support for local redundancy of critical components such as application and databases servers.

NYSDOT will be responsible for operator workstations. Details on existing hardware and software is included in Attachment 15 (i.e. equipment inventories for Regions 3 & 8).
Consultants must provide in their response the workstation requirements necessary to run their software and indicate in their response if upgrades to software or hardware will be required.

NYSDOT will be responsible for the LAN connections. It is expected that the ATMS network will remain separate from the DOT Admin network in the short-term.

NYSDOT will be responsible for WAN connections. It is expected that a redundant VPN connection will be created between Level 3 TMCs and Level 1 and Level 2 “affiliate” TMCs.

If appropriate NYSDOT will provide existing GIS data (statewide roadway points) for ATMS map functions

NYSDOT will be responsible for archive hardware for system data. Consultants must provide a comprehensive description of how system data will be archived in their technical solution description.

3.5 Consultant Responsibilities

To ensure production viability and a smooth transition of the ATMS to the production environment and use by NYSDOT staff (and its consultants), the selected consultant will commit fully qualified professional resources to all the project phases as describe in RFP Section 3.5. NYSDOT reserves the right to approve or reject the replacement of key personnel (project leadership) who may have responsibility with the ATMS project.

The consultant is required to assign a single project manager to the project who will act as the single point of contact with NYSDOT and will have full authority over all consultant resources assigned to the project. The selected consultant’s project manager will be required to maintain a regular or as-needed physical presence on the NYSDOT premises as agreed upon, at the project kick-off.

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

- [http://www.dhsses.ny.gov/ocs/resources/](http://www.dhsses.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:


  NYSDOT Information Security Policies are available upon request to the selected consultant.

  The selected consultant will provide the requested professional consultant services and produce all of the deliverables as specified in the RFP and as agreed-upon in the resulting contract. The consultant shall perform all of the activities and tasks required to achieve all of the RFP’s objectives, functions, outputs, and performance criteria stated therein, in a manner that meets all of the project’s and contract’s objectives, subject to available state funds. All services must be
consistent with state and federal laws and regulations. All services provided by the selected consultant shall be appropriate and acceptable to NYSDOT’s Project Manager.

During the life of the project, NYSDOT’s Project Manager 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 formal, written sign-off has been given by NYSDOT’s Project Manager.

NYSDOT will contract with a single prime consultant to provide an Advanced Traffic Management System that will provide NYSDOT with the required functionality and workflow process capabilities as detailed in this RFP. NYSDOT requires that the consultant follow a phased approach to the design, development, and implementation of the ATMS to ensure that a comprehensive and expandable system is implemented at NYSDOT during the term of the resulting contract and beyond. NYSDOT is not prescribing the timeframes for the phases described below, nor prescribing a waterfall approach to the implementation of the ATMS. The exact approach and methodologies proposed by the consultant to fulfill the deliverables and requirements of all phases as described below should be provided in the Technical Approach portion of a firm’s Part I Technical and Management Proposal. The consultant must address all the deliverables for the below phases in their project plan but can organize and plan for the accomplishment of the work based on their experience with projects of similar scale and scope. The complete ATMS detailed system requirements, which identify the required functionality of the system are provided in Attachment 5.

The consultant should recommend an implementation approach for the ATMS based on their best practices and experience as well as the RFP’s requirements and specifications, and should fully describe that approach within the Part I Technical proposal. The consultant must respond to all requirements defined in this Section and Attachment 5, regardless of the approach proposed by the consultant.

3.5.1 Project Initiation and Planning

After consultant selection and contract execution the Project Initiation activity builds upon the selected consultant’s proposed project plan.

During this activity, the project scope, schedule, and budget are refined and confirmed, and risk assessment activities advanced to the mitigation stage. The initial Project Plan and Project Management Plans are further developed, enhanced, and refined until they form a more definitive plan for completion of the project. Consultant deliverable requirements for the project initiation activities are described in Table 1.
Table 1, Project Initiation and Planning Phase Requirements

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-1</td>
<td>The consultant shall refine and deliver its proposed project plans consistent with agreements made during contract negotiation. The plan shall address: Work Breakdown Structure (WBS) • Project Schedule • Quality Management • Risk Management • Change Management • Acceptance Management • Issue Management and Escalation • Communication • Implementation/Transition (including migration plans) • Training The consultant shall thereafter maintain and manage the project plan.</td>
<td>Necessary</td>
<td>Project Plan</td>
</tr>
<tr>
<td>C-2</td>
<td>The consultant shall refine and deliver a project staffing plan that identifies individual resources assigned to each of the project activities. The consultant shall thereafter maintain and manage the project staffing plan, including efforts to meet the contract’s DBE goal.</td>
<td>Necessary</td>
<td>Staffing Plan</td>
</tr>
</tbody>
</table>

3.5.2 System Configuration

The purpose of System Configuration is to create a technical solution that satisfies the functional requirements for the initial ATMS system. This activity begins with a detailed review and analysis of the functional requirements to confirm a common understanding of how to evolve the requirements into the system design. Attachment 6 Concept of Operations provides a notional system that should be used to guide system design. Technical specifications are created for the application developers, enabling them to build and test the system. In addition to designing the technical solution, system design is the time to initiate focused planning efforts for both the testing and data preparation activities. Test descriptions are to be developed, traced to requirements, and include the expected test results. Consultant deliverable requirements for the system design activities are described in Table 2.
### Table 2, System Configuration Phase Requirements

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-3</td>
<td>The consultant shall develop and deliver a system architecture design document that describes the overall system architecture in terms of network, security, system, hardware, software, tools, peripherals, software licenses, and the logical distribution of system components and processes across the architecture.</td>
<td>Necessary</td>
<td>System Architecture Design</td>
</tr>
<tr>
<td>C-4</td>
<td>During System Configuration, the consultant shall deliver system security design documentation describing the logical security architecture design, the physical security architecture design, and the design of all controls to be used to mitigate threats to the confidentiality, integrity and availability of the system and system data.</td>
<td>Necessary</td>
<td>System Security Design</td>
</tr>
<tr>
<td>C-5</td>
<td>The consultant shall identify and document the database schemas, file formats, data views, an entity relationship diagram, and data dictionary for the system.</td>
<td>Necessary</td>
<td>Database Documentation</td>
</tr>
<tr>
<td>C-6</td>
<td>The consultant shall deliver comprehensive data model documentation that clearly describes the conceptual, logical, and physical data characteristics of the system. Database modeling information from ER/Studio is preferred.</td>
<td>Necessary</td>
<td>Data Model Documentation</td>
</tr>
<tr>
<td>C-7</td>
<td>The consultant shall provide a programmer's manual for any language-independent application programming interface (API).</td>
<td>Necessary</td>
<td>Programmer’s Manual for API</td>
</tr>
</tbody>
</table>
| C-8 | The technical documentation shall include:  
• anticipated data volume estimates  
• data needs for the system environment  
• updated data mapping  
• other NYSDOT interface descriptions | Necessary | Technical Documentation         |
| C-9 | The technical documentation shall include:  
• detailed specifications for hardware and software components  
• system performance expectations  
• data conversion approach for cleansing and loading historical data as well as population of new data | Necessary | Technical Documentation         |
<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
</table>
| C-10. | The consultant shall document test plans defining:  
  • the overall strategy for validating the functionality of the system  
  • the approach to ensure test coverage of each requirement  
  • the individual test cases that will be performed to execute the testing strategy  
  • the environments in which the tests will be conducted | Necessary | Test Plans |
| C-11. | The test plans shall include:  
  • testing objectives  
  • scope of testing (both what is in and what is out of scope)  
  • responsibilities (who will be performing the test)  
  • testing approach  
  • testing sequence  
  • defect reporting and criteria | Necessary | Test Plans |
| C-12. | The test case descriptions shall be traced to requirements and include:  
  • test data needed to execute the tests  
  • preconditions required prior to the start of test  
  • criteria for suspending and resuming testing  
  • expected test results | Necessary | Test Case Descriptions |

### 3.5.3 System Construction

The System Construction phase consists of all activities required to build, test, and validate the new ATMS system to the point at which it can be turned over for System Acceptance. This includes construction of all components of the system, including utilities required to adequately prepare and load the data. In addition, System Construction consists of a series of tests of the system components, with each set of tests are to be performed against a progressively larger grouping of components until the operation of the system, in its entirety, has been verified. All actual test results shall be documented, and necessary corrective actions shall be implemented in the system and system documentation. Status reports of testing progress shall be provided on a regular basis and shall include the status of corrective actions.

NYSDOT typically deploys applications into a pre-production environment initially to ensure the applications are completely functional and defect free before transitioning the deployment to the production environment, which is reflected in the requirements below. The Consultant is encouraged to recommend their approach for deploying their application in detail in their Technical Approach, as outlined in Section 4.2.4. NYSDOT will determine if a pre-production environment will be needed based on the evaluation of the Consultant proposals.

Since the ultimate goal of this activity is to produce an ATMS system that is ready for acceptance testing, an aspect of this phase shall be the creation of the various training materials and system
documentation that support the new system, including preparation of technical support materials. These materials need to address both the use and maintenance of the system and shall play an integral part in the System Acceptance and System Implementation phases of the lifecycle. Deliverable requirements for the System Construction activities are described in Table 3.

Table 3

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
</table>
| C-13 | During System Construction, the consultant shall deliver test results including detailed outcomes for the following:  
• data migration tests  
• system tests (including performance tests)  
• security tests | Necessary | Test Results                        |
| C-14 | During System Construction, the consultant shall deliver test results that identify the version of each software component tested. | Necessary | Test Results                        |
| C-15 | During System Construction, the consultant shall deliver test progress reports that include:  
• number of defects identified in testing  
• types of defects found  
• status of corrective actions | Necessary | Test Progress Reports                |
| C-16 | During System Construction, the consultant shall deliver a validated system in the Pre-Production environment, to include the installation and integration of all ATMS components. | Necessary | Validated Pre-Production System      |
| C-17 | During System Construction, the consultant shall update and deliver technical documentation to include corrective actions implemented as a result of testing activities. | Necessary | Updated Technical Documentation      |
| C-18 | During System Construction, the consultant shall develop and deliver the following user documentation:  
• User Manual  
• Database Administrator Manual, including installation and upgrade guides  
• System Administrator Manual  
• FAQs and scripts for technical support staff  
• Documentation on how to incorporate customizations during system upgrades | Necessary | User Documentation                  |
| C-19 | During System Construction, the user manuals shall include a collection of printable on-line documentation designed to instruct users in the operation of the system. | Necessary | User Documentation                  |
3.5.4 Data Migration

The data necessary to populate the ATMS must be entered into the system, e.g. field equipment characteristics, sign and camera locations, etc. The appropriate NYSDOT Program area will provide the data for entry and approve the data as having been successfully entered. The deliverable requirements for the data migration activities are described in Table 4.

Table 4, Data Migration Requirements

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-20</td>
<td>The consultant shall provide data entry of all data necessary to populate the ATMS on the Pre-Production and Production Environments.</td>
<td>Necessary</td>
<td>Approved entry of system data</td>
</tr>
</tbody>
</table>

3.5.5 System Acceptance

System Acceptance is the point in the lifecycle at which every aspect of the application, along with any supporting data conversion routines and system utilities, are thoroughly validated by NYSDOT prior to proceeding with System Implementation. This entire phase is centered on gaining sufficient evidence of the system’s accuracy and functionality to be able to proceed to System Implementation with the highest level of confidence possible in the success of the system. With the testing roadmap established in earlier lifecycle phases, NYSDOT now takes responsibility for maneuvering the system through its operations. In addition to confirming the operation of the system and its fit to the business needs that it is intended to satisfy, System Acceptance is also the point in the lifecycle during which all supporting documentation and reference materials are refined and updated to guarantee their consistency with the final delivered system. Consultant deliverable requirements for the system acceptance activities are described in Table 5.

Table 5, System Acceptance Phase Requirements

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
</table>
| C-21 | During System Acceptance, the consultant shall deliver final test results for the following:  
• data validation results  
• data migration  
• acceptance test results (including performance tests)  
• security and vulnerability test results | Necessary | Test Results |
| C-22 | During System Acceptance, the consultant shall deliver an accepted operational NYSDOT ATMS system. | Necessary | Accepted System |
| C-23 | During System Acceptance, the consultant shall deliver accepted migrated data in the system. | Necessary | Migrated Data |

3.5.6 System Implementation

The purpose of System Implementation can be summarized as the deployment and the transition of system support responsibilities. At a finer level of detail, deploying the system consists of
executing all steps necessary to educate the system users on the use of the new system, placing the newly developed system into production, confirming that all data required at the start of operations is available and accurate, and validating that business functions that interact with the system are functioning properly. Transitioning the system support responsibilities involves changing from a system development to a system support and maintenance mode of operation, with ownership of the new system moving from the consultant to NYSDOT. Deliverable requirements for the Implementation Activities are described in Table 6.

Table 6. System Implementation Phase Requirements

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-24</td>
<td>During Implementation, the consultant shall deliver an operational, accurate and formally accepted ATMS system to NYSDOT.</td>
<td>Necessary</td>
<td>Operational System</td>
</tr>
<tr>
<td>C-25</td>
<td>During Implementation, the consultant shall deliver approved installation and data migration scripts to NYSDOT to promote the system to the Pre-Production and Production Environments.</td>
<td>Necessary</td>
<td>Installation &amp; Migration Scripts</td>
</tr>
<tr>
<td>C-26</td>
<td>During Implementation, the consultant shall install and deploy the system in the production environment in accordance with the approved Project Implementation and Transition Plan.</td>
<td>Necessary</td>
<td>Operational System</td>
</tr>
<tr>
<td>C-27</td>
<td>During Implementation, the consultant shall conduct knowledge transfer in accordance with the approved project knowledge transfer approach.</td>
<td>Necessary</td>
<td>Knowledge Transfer</td>
</tr>
</tbody>
</table>

3.5.7 Training Requirements

The ATMS will be a mission critical complex system that will be used daily by many NYSDOT staff and its consultants. NYSDOT considers the training of these users to be critical for acceptance of this system as well as the daily use of this system. NYSDOT will review and approve all consultant ATMS training staff and user training materials, including training plans and role-based training materials.

NYSDOT training responsibilities include:

- NYSDOT will review and approve all role-based ATMS training schedules.
- NYSDOT will review and approve all consultant training staff.
- NYSDOT will review and approve the overall ATMS training plan.
- NYSDOT will review and approve the ATMS annual training plan. Note: For the purpose of their proposals, Consultant’s should base their annual training planning on the number of users defined for Region’s 3 and 8.
- NYSDOT will identify all NYSDOT and consultant staff to be trained during the implementation by role.
- NYSDOT will identify all NYSDOT and consultant staff to be trained annually by role. Note: For the purpose of their proposals, Consultant’s should base their annual training planning on the number of users defined for Region’s 3 and 8.
- NYSDOT will review and approve all consultant-developed role-based ATMS training materials.
- NYSDOT will provide training facilities and network connections for all of the ATMS training sessions.
- NYSDOT will designate the Pre-Production Technical Environment for use during training. The Consultant is encouraged to recommend the environment to be used for training, pre-production or production, as they provide their detailed description of training in their Technical Approach, as outlined in Section 4.2.4.
- Implementation training will be performed at each of the two regions (Regions 3 and 8.)

Table 7 presents estimates of the numbers of users (including consultants) that will need to receive in depth training on the use of the ATMS.

**Table 7, User Training Estimates**

<table>
<thead>
<tr>
<th>NYSDOT Location</th>
<th>Number of Users</th>
</tr>
</thead>
<tbody>
<tr>
<td>Region 3</td>
<td>up to 12</td>
</tr>
<tr>
<td>Region 8</td>
<td>up to 30</td>
</tr>
<tr>
<td>Total</td>
<td>up to 42</td>
</tr>
</tbody>
</table>

The Consultant Training requirements are described in Table 8.

**Table 8, Consultant Training Requirements**

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-28</td>
<td>The consultant shall provide assistance to NYSDOT to implement an ATMS training environment in the Pre-Production Environment.</td>
<td>Necessary</td>
<td>Training Environment</td>
</tr>
<tr>
<td>C-29</td>
<td>The consultant shall provide the capability to refresh the ATMS training environment for each training session.</td>
<td>Necessary</td>
<td>Training Environment</td>
</tr>
<tr>
<td>C-30</td>
<td>The training shall be conducted on site at the Region 3 and 8 TMCs via selected consultant personnel and resources.</td>
<td>Necessary</td>
<td>Training Program</td>
</tr>
<tr>
<td>C-31</td>
<td>The consultant shall deliver sufficient multiple sessions to accommodate the number of users indicated in Table 7 and to allow for the fact that TMC coverage needs to be maintained during the trainings.</td>
<td>Necessary</td>
<td>Training Program</td>
</tr>
<tr>
<td>ID</td>
<td>Requirement</td>
<td>Priority</td>
<td>Deliverable</td>
</tr>
<tr>
<td>------</td>
<td>--------------------------------------------------------------------------------------------------------</td>
<td>----------</td>
<td>-------------------</td>
</tr>
<tr>
<td>C-32</td>
<td>The consultant shall refine and deliver a training plan identifying the:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Schedule for all role-based training sessions</td>
<td></td>
<td>Training Plan</td>
</tr>
<tr>
<td></td>
<td>• Consultant-provided resources to deliver training</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Training evaluation collection, analysis, and improvement process</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Success metrics identification, collection, and evaluation process</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Expected training results</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• Post Training Support</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Necessary</td>
<td></td>
</tr>
<tr>
<td>C-33</td>
<td>The consultant shall develop customized ATMS role-based training and materials for each role.</td>
<td></td>
<td>Training Materials</td>
</tr>
<tr>
<td></td>
<td>Role based training materials may include:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Participant Guidebooks (Printed and Electronic)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>including exercises</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Instructor Guidebooks (Printed and Electronic)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>including exercises and answers</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• CD’s containing the Participant Guidebooks in MS Word and PDF format</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• CD’s containing the Instructor Guidebooks in MS Word and PDF format</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• PowerPoint Presentations</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• User Manuals</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• On-Line Help</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Necessary</td>
<td></td>
</tr>
<tr>
<td>C-34</td>
<td>The consultant shall plan and perform computer-based training in the NYSDOT Locations indicated in the User Training Estimates table. The consultant should plan to provide any specialized computer equipment.</td>
<td></td>
<td>Training Program</td>
</tr>
<tr>
<td>C-35</td>
<td>The consultant shall plan and provide training to NYSDOT User Acceptance Test (UAT) participants prior to UAT.</td>
<td></td>
<td>Training for UAT Participants</td>
</tr>
<tr>
<td>C-36</td>
<td>The consultant shall update impacted training material whenever software changes, including customizations, affect the operation of the software.</td>
<td></td>
<td>Training Material Updates</td>
</tr>
</tbody>
</table>

### 3.5.8 Support Requirements

NYSDOT considers support of the system after implementation to be critical. The Support Requirements cover the initial application maintenance period and subsequent maintenance of the application during the term of the contract. The provision of on-going support will require attendance at periodic status meetings at which the scope of the support will be determined. The on-going support will include but not be limited to:

1. Reviewing commercial software package bug reports, enhancements, and upgrades
2. Reviewing custom software bug reports and enhancement requests

The Support Requirements are described in Table 9.

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
<th>Deliverable</th>
</tr>
</thead>
</table>
| C-37 | The consultant shall follow the maintenance agreement portion of Attachment 1’s draft Agreement (article 13) that will cover the ATMS from the final acceptance of the ATMS in the production environment. The maintenance agreement covers the following:  
  • Remote diagnostics  
  • Technical support from the consultant  
  • On-site issue resolution if necessary  
  • Fixes to the software (updates, upgrades, security patches, etc)  
  • Updates to user, technical, and training documentation to support software changes resulting from fixes  
  • Integration of new equipment | Necessary | Maintenance Agreement              |
| C-38 | The consultant shall provide technical and application support for end-users 24 x 7 x 365.                                                      | Necessary | Technical Support                 |
| C-39 | The consultant shall comply with the Service Level Objectives indicated in Table 10 below.                                                     | Necessary | Technical Support                 |
| C-40 | The consultant shall:  
  • Propose a backup and recovery process which meets NYSDOT’s requirements  
  • Recommend disaster recovery processes  
  • Provide instructions for business continuity | Necessary | Backup & BC/DR Processes          |
| C-41 | The consultant shall provide NYSDOT personnel with access to an enhancement-tracking system.                                               | Necessary | Enhancement Tracking System Access |
| C-42 | The consultant shall provide NYSDOT personnel with access to an ATMS bug-reporting and defect-resolution system.                           | Necessary | Defect Tracking System Access     |
| C-43 | The consultant shall attend on-going support status meetings with NYSDOT personnel, as needed.                                               | Necessary | Technical Support                 |
| C-44 | The consultant shall annually provide NYSDOT with the software release schedule for any off the shelf software components contained within ATMS. | Necessary | Software Release Schedule         |
The consultant shall work with NYSDOT and its subconsultants to develop recommendations for a statewide system architecture to connect the regional TMCs and regional and statewide business partners such as the Thruway Authority and TRANSCOM.

Table 10 lists the State’s Service Level Objectives:

<table>
<thead>
<tr>
<th>Defect Priority</th>
<th>Response Time</th>
<th>Resolution Time</th>
<th>Hours and Days of Coverage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Priority 1</td>
<td>1 hour</td>
<td>4 hours</td>
<td>24 hrs/day; 7 days/wk</td>
</tr>
<tr>
<td>Priority 2</td>
<td>4 hours</td>
<td>1 business day</td>
<td>8:00 a.m. to 8:00 p.m. ET weekdays</td>
</tr>
<tr>
<td>Priority 3</td>
<td>1 business day</td>
<td>2 business days</td>
<td>8:00 a.m. to 6:00 p.m. ET weekdays</td>
</tr>
</tbody>
</table>

1. Response Time is defined as the time between the receipt of the call and the time that a Support Team member begins working on the problem.

2. Resolution Time is defined as the time between when the Support Team member begins working on the problem and the time the problem was resolved.

3. A Priority 1 Defect is a problem whose nature and/or severity prevent the State from continuing its business. A Priority 1 Defect may have one or more of the following characteristics: (a) a critical function of the Application/Device is not available; (b) the Application/Device hangs indefinitely and/or causes other State applications to hang; (c) the Application/Device crashes and/or causes other State applications to crash; and/or (d) a security incident has occurred or is suspected to have occurred.

4. A Priority 2 Defect may have one or more of the following characteristics: (a) the performance, functionality or usability of one or more of the Application/Device’s parts is severely degraded; (b) multiple users are impacted; and/or (c) one or more business functions are unavailable or unusable by the end users.

5. A Priority 3 Defect is a failure of a system or part thereof which has a minor impact on a State business process and can be handled on a non-immediate basis. Examples may include user requests (e.g., a report is not formatted correctly) and peripheral problems (e.g., output fails to print properly).

6. Consultant shall not close a Defect unless a Fix shall have been demonstrated to either: (a) repair the functionality, performance and usability of the Application/Device to its pre-Defect
level or (b) improve the functionality, performance and usability of the Application/Device from its pre-Defect capability.

7. Unless, for a particular defect, the State has provided prior written approval for different response times, the Contractor shall, for each calendar month and for each Defect Priority level, respond to one hundred percent (100%) of reported Defects within the Maximum Response Time during Hours and Days of Coverage.

3.5.9 Consultant Performance Requirements

Table 11 provides a description consultant performance requirements for interaction with the NYSDOT project team. NYSDOT will assign a NYSDOT Project Manager to lead and coordinate the effort for the NYSDOT. All deliverables, status reports, meetings, and project-related communications will go through the NYSDOT Project Manager for proper coordination and distribution unless otherwise directed by the NYSDOT Project Manager. The Consultant Performance Requirements are specified in Table 11.

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-46.</td>
<td>The consultant shall request for and obtain approval from NYSDOT prior to appointing or replacing key personnel.</td>
<td>Necessary</td>
</tr>
<tr>
<td>C-47.</td>
<td>Should it become necessary to replace key personnel, the consultant shall provide replacement staff members for key personnel with equal or superior skills and qualifications, with full authority to act in that position for full performance under the Contract, and with rates not to exceed those of the originally supplied staff member.</td>
<td>Necessary</td>
</tr>
<tr>
<td>C-48.</td>
<td>The consultant project manager shall serve as focal point of contact for NYSDOT regarding project status, meetings &amp; reporting requirements.</td>
<td>Necessary</td>
</tr>
<tr>
<td>C-49.</td>
<td>The consultant project manager is responsible for managing scope changes, and financial, administrative, and technical issues or concerns raised by NYSDOT.</td>
<td>Necessary</td>
</tr>
<tr>
<td>C-51.</td>
<td>Consultant staff shall comply with the NYSDOT Information Security Policy. The NYSDOT Information Security Policy will be provided to the selected vendor.</td>
<td>Necessary</td>
</tr>
<tr>
<td>C-52.</td>
<td>The consultant shall work in cooperation with NYSDOT and its designated consultants to ensure proper coordination of the ATMS project with other NYSDOT initiatives.</td>
<td>Necessary</td>
</tr>
</tbody>
</table>
3.6 Consultant Experience and Qualifications

3.6.1 Consultant Experience

NYSDOT considers proposers’ qualifications and experience to be of paramount importance. Proposers must document their experience as described in Section 4, Response Requirements and Proposal Format.

The consultant's team experience must be relevant and must be for services comparable, in scale and scope, to NYSDOT’s operation. NYSDOT understands that there may be a need for a potential consultant to use one or more subconsultants to satisfy certain requirements. The consultant experience requirements can be satisfied by the primary consultant or its subconsultants. NYSDOT reserves the right to approve all subconsultants as part of this contract. The consultant Experience and Qualification requirements are described in in Table 12.

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
</tr>
</thead>
<tbody>
<tr>
<td>C-53.</td>
<td>The consultant shall have a minimum of three years of experience providing Advanced Traffic Management Systems and installation services using the solution it has proposed.</td>
<td>Mandatory</td>
</tr>
<tr>
<td>C-54.</td>
<td>The consultant’s ATMS experience shall be verifiable and within the last five years.</td>
<td>Necessary</td>
</tr>
</tbody>
</table>

3.6.2 Consultant Key Personnel

The consultant must provide necessary staff to conduct the project defined in this RFP, to perform all of the required tasks, and produce all required deliverables. NYSDOT requires that the proposer provides a project staffing plan that includes, at a minimum, the following key staff roles (positions) and any other roles that it considers instrumental to the project. The staffing plan will also identify the timeframe the role will be involved, level at which they will participate over that timeframe, and the timeframe that the role will be at NYSDOT versus located remotely.

**Project Manager** – Responsible for execution and coordination of all aspects of the consultant’s project plan and schedule; provides the primary point of contact for the NYSDOT, also has authority to act on behalf of the consultant.

**Technical Architect** – Responsible for the design and implementation of the proposed technical solution.

**Software Engineer** – Responsible for leading the software development activities for the implementation of the proposed system including: creation of application specifications, design and development for any custom software, configuration and implementation of any COTS software, and system testing activities.

In addition to these key personnel roles, the consultant should identify any other key staff that are considered instrumental in the project’s successful completion. Persons identified for the positions described above are considered key personnel for the project, and the NYSDOT requires the consultant provide for the continuity of key personnel for the duration of the project.
Substitutions for such key personnel cannot be made without NYSDOT approval. Should it become necessary to replace the key personnel, the consultant must provide replacement staff with equal or superior skills and qualifications.

Table 13 specifies the requirements for key personnel.

**Table 13, Consultant Key Personnel Requirements**

<table>
<thead>
<tr>
<th>ID</th>
<th>Requirement</th>
<th>Priority</th>
</tr>
</thead>
</table>
| C-55 | The consultant shall appoint key personnel to be responsible for coordinating with NYSDOT and managing project activities. Key personnel include:  
• Project Manager  
• Technical Architect  
• Software Engineer                                                                                          | Necessary|
| C-56 | The Project Manager shall have a minimum of 3 years of verifiable experience overseeing ATMS projects.                                                                                                   | Necessary|
| C-57 | The Technical Architect shall have a minimum of 3 years of experience designing and implementing ATMS solutions.                                                                                         | Necessary|
| C-58 | The Lead System/Software Engineer shall have a minimum of 3 years of verifiable experience leading system/software activities for the implementation of ATMS systems.                              | Necessary|
4. PROPOSAL FORMAT AND CONTENTS

4.1 General Procedures

Consultants must submit a complete proposal in response to this RFP, using the format and forms provided in this section and the relevant attachments, responding to all requirements and describing its approach to satisfying each requirement. In addition to Attachment 2’s certifications, submission of the consultant’s proposal shall be construed by NYSDOT as the consultant’s acceptance of the procedures, evaluation criteria, and other administrative instructions in this RFP.

For the purposes of evaluation, each proposal must be submitted in two separate parts. A responsive proposal shall consist of a Part I Technical and Management Proposal (see Section 4.2 Part I), and a Part II Cost and Contract Proposal (see Section 4.3 Part II). Part I shall consist exclusively of the Technical and Management Proposal. Part II is the Cost Proposal with other administrative items. Each part must be complete in itself in order that the evaluation of both parts can be accomplished independently and concurrently, and Part I can be evaluated strictly on the basis of its technical merits and Part II can be evaluated, in part, on the basis of competitive proposed costs. Cost information is not to be included in the Part I submittal, and Technical and Management information is not to be included in the Part II submittal.

NYSDOT may deem a proposal non-responsive and remove that consultant and its proposal from further consideration for failure to provide the information required or for failure to submit a proposal in the required format. Consultants must deliver proposals to the NYSDOT Contract Management’s office no later than 2:00 PM ET on the specified proposal due date. Consultants mailing proposals should allow sufficient mail delivery time to ensure timely receipt of their proposal. NYSDOT will not accept faxed or e-mailed proposals. The consultant’s proposal must meet the response requirements listed in this Section.

Consultants must submit Part I and Part II in separate sealed labeled packages. Proposals should be submitted in three ring binders. Each response section should be separated by labeled tab dividers. Do not submit proposals bound any other way (e.g., stapled, spiral- or cloth-bound). Clearly identify any attachment with the consultant’s and the RFP’s name on a cover sheet that is firmly attached to the document. Clearly identify any unattached documents with the consultant’s and the RFP’s name on each page of the document.

In order to promote uniformity of preparation and to facilitate review, proposals should be printed on standard 8½ by 11-inch white paper and be organized in accordance with the format set forth in this RFP. Proposal text should be 11 point font or larger, except where necessitated for readability of tables, figures, schedules, or special graphics. 12 point fonts are preferred. Please avoid printing schedules using fonts smaller that 8 point. Illustrations that support the text must be simple and direct and be either sized to fit on 8 ½ by 11-inch paper or printed on 11 inch by 17 inch paper as long as the pages are folded to the 8 ½ by 11-inch size. Illustrations and photographs must be reproducible in black and white without obscuring their distinctive information. Double sided printing is allowed. Color printing is allowed.
Consultants must submit a complete proposal in response to the RFP, using the format defined herein. The consultant’s proposal for NYSDOT’s Advanced Traffic Management System will be composed and presented in the format and order that follows.

4.2 Part I: Technical and Management Proposal

The Part I proposal response requirements are listed below. Please be sure that these instructions are followed to ensure that your proposal is considered responsive to be eligible for contract award.

<table>
<thead>
<tr>
<th>Part I - Technical and Management Submittal Checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Ten (10) Printed and bound hard copies of Part I plus one copy of Part I on CD/DVD in MS Office 2007 compatible format.</td>
</tr>
<tr>
<td>☐ Securely sealed and clearly labeled with the consultant’s name, address, and telephone number and the words “ATMS RFP Part I — Technical and Management Proposal (C030789)”</td>
</tr>
<tr>
<td>☐ Name of person(s) who prepared proposal</td>
</tr>
<tr>
<td>☐ Contact person(s), email addresses and telephone numbers</td>
</tr>
<tr>
<td>☐ Signed Cover Letter on official business letterhead</td>
</tr>
<tr>
<td>☐ Table of Contents identifying each major section and initial-page numbers</td>
</tr>
<tr>
<td>☐ Executive Summary of proposed approach</td>
</tr>
<tr>
<td>☐ Technical and management approach</td>
</tr>
<tr>
<td>☐ Description of maintenance and support services</td>
</tr>
<tr>
<td>☐ Complete and submit Attachment 3 Company Experience and References</td>
</tr>
<tr>
<td>☐ Complete and submit Attachment 4 Staffing Plan, Resumes, Project Experience and References</td>
</tr>
<tr>
<td>☐ Complete and submit Attachment 7 Requirements Traceability Matrix with an indication of proposer’s ability to meet system requirements</td>
</tr>
</tbody>
</table>

The consultant must submit ten (10) paper copies of Part I, and one soft copy on a CD/DVD (in Microsoft Office 2007 compatible format) — each clearly identified on the cover or label with the consultant’s name and the words “ATMS RFP Part I — Technical and Management Proposal (C030789).” Proposals must be securely sealed and clearly labeled. Any outside packaging containing Part I copies must be clearly marked with the words “ATMS RFP, Part I — Technical and Management Proposal (C030789).”

Note: Cost information is not to be included in the Part I submittal, and Technical and Management information is not to be included in Part II submittal.

NYSDOT reserves the right to make clarifications to the scope of work to be performed under this Agreement, via RFP Attachment 1, Exhibit A, Scope of Work Clarifications, during contract negotiations with the selected Consultant.

4.2.1 Cover Letter

The consultant must submit a signed Cover Letter on official business letterhead. The Cover Letter must accompany each volume and include the following:
• The signature of an official authorized to bind the consultant to all of its provisions.

• A statement that, if awarded the contract, the consultant will comply with all the requirements set forth in the RFP.

• A statement that the offered named key personnel will be provided once NYSDOT issues a notice to proceed. The NYSDOT does not allow unapproved substitutes.

• Any claims of confidential and proprietary information should also be identified and addressed in this section. 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 a proposer believes information included in their proposal is confidential and proprietary, they should identify those page(s) of their proposal which contain such information as “confidential and proprietary”. Labeling all pages as “confidential” or “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 proposers shall explain the material and substantive reason(s) why this information should be considered exempt from public disclosure under FOIL. The identification of pages and the reasons for exemption should be included in the Executive Summary 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. The State will only consider those items confidential and proprietary which it agrees are confidential and proprietary based on the proof provided by the consultant and responses to the State’s questions regarding any such claims.

• The following information regarding the consultant’s official representative for its proposal:
  1. Name of consultant’s official representative
  2. Title
  3. Name of company
  4. Address
  5. Telephone number
  6. FAX number
  7. E-mail address of the consultant’s representative

• (If there are multiple offices of the consultant, indicate which one will be primarily responsible for the contract. Indicate which other offices are also involved.)

• The legal names of all Subconsultants involved in the consultant’s response.

4.2.2 Table of Contents
The Table of Contents should identify each major section of the consultant’s proposal, along with its initial-page number. Any offered attachments or addendums shall be cited here.
4.2.3 **Executive Summary**

Provide a brief and concise description of the proposed approach and work effort. Feel free to concisely discuss emerging trends and relevant issues.

4.2.4 **System Requirements and Technical Approach**

**System Requirements**

Using the Requirements table provided as Attachment 5, ATMS System Requirements, and using the following indicators, the consultant should provide its indication as to whether its proposed solution meets NYSDOT’s requirements with respect to system requirements.

**Scale for consultant ability to meet requirements:**

- **OB** - Meets requirement “out of the box”
- **CNF** - Meets requirements with special configuration
- **CST** - Meets requirements with custom software code
- **NAV** - Not available

**Definitions:**

- **OB** – out of the box. Assumed to mean that the system meets the requirements without any of the following being applicable.

- **CNF** – special configuration. Special configuration is the scenario where the product does not include standard features built specifically to address the requirement in question, but the desired results can be achieved by configuring the system in a specific way. A typical example of a special configuration is the use of a workflow engine that supports business processes. The workflow typically requires configuration to implement business rules that are unique to the process. The application has a framework to alter the look or function of the application based on data stored in supporting database table;

- **CST** – customization. This is the scenario where the standard product does not include features built specifically to address the requirement in question, and where custom development effort is needed to achieve the desired results;

- **NAV** – not available. The required functionality is not available and cannot be provided. This is the scenario where the standard product does not have features built specifically to address the requirement in question, and where the respondent does not recommend additional customization to the software to meet the requirement.

**The consultant must respond to every requirement.** The consultant must also respond to any “specific instructions to respondents” by providing the page number in their proposal where the fulfillment of the requirement is provided. Not providing the page number where the requirement is addressed in the proposal will result in a lower score. **Failure to respond to each and every requirement may lead to proposal dismissal on non-responsive grounds.**
Technical Approach

The consultant shall describe its approach for performing the work and accomplishing the scope and objectives as identified in the RFP. Specifically, the response shall include the approach for performing the work and accomplishing project objectives as outlined in RFP Section 3.5 Consultant Responsibilities and Section 3.6 Consultant Experience and Qualifications, including:

3.5.1 Project Initiation and Planning (Requirements C-1 to C-2)
3.5.2 System Configuration (Requirements C-3 to C-12)
3.5.3 System Construction (Requirements C-13 to C-19)
3.5.4 Data Migration (Requirement C-20)
3.5.5 System Acceptance (Requirements C-21 to C-23)
3.5.6 System Implementation (Requirements C-24 to C-27)
3.5.7 Training Requirements (Requirements C-28 to C-36)
3.5.8 Support Requirements (Requirements C-37 to C-45)
3.5.9 Consultant Performance Requirements (Requirements C-46 to C-52)
3.6.1 Consultant Experience Requirements (Requirements C-53 to C-54)
3.6.2 Consultant Key Personnel Requirements (Requirements C-55 to C-58)

Additionally, Consultants are expected to respond to these specific responsibilities by using Attachment 7, Response Requirement Traceability Matrix, to provide the page number(s) in their proposal where the approach to meeting the requirement is provided.

The response shall also include a technical solution description relating the architecture of the solution proposed and the approach to achieving it. The technical solution description shall incorporate the recommended local redundancy to support the proposed solution and needs of the TMCs. The description shall include the following:

1. System architecture (including system hardware, system software, supporting tools, network diagrams, and redundant infrastructure needed to support the proposed solution)
2. Information architecture (conceptual data model)
3. Security architecture (description of how security controls are positioned to maintain the system’s confidentiality, integrity, and availability)
4. Narrative description of the proposed process to get from current to final state
5. Proposed approach for testing and promoting the system
6. Recommendations for all hardware and software needed to support its proposed design including the recommended local redundant infrastructure. These recommendations must comply with all requirements and specifications described in this RFP.
7. Recommendations and proposed solution for archiving system data.
4.2.5 Experience and References
The qualifications and prior experience of the consultant are of great importance to NYSDOT. Direct, prior and relevant experience in the provision of maintenance decision support systems is highly desirable. Consultants must complete the relevant sections of the following documentation as part of the response:

Company Experience and References (Attachment 3)
Staffing Plan and Resumes (Attachment 4)

NYSDOT requires substantial relevant experience and expertise, and consultants must demonstrate that experience through past and current project attestations and must provide reachable, verifiable references. Experience information should be provided for all proposed firm(s) and for all key consultant staff assigned to this account per Attachments 3 and 4. The experience must be relevant and must be for services comparable, in scale and scope, to NYSDOT’s operation, both regional and statewide (i.e. Government transportation agencies covering both densely populated urban areas and rural regions). 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 required, it is critical that the consultant demonstrate experience with such an operation, again of comparable scale and scope, and the consultant must demonstrate a sound management plan to ensure subconsultant’s compliance with all contract provisions. Present a DBE management plan, to ensure that the contract’s 5% DBE goal is managed and met over the course of the contract service delivery. The consultant is expected to provide reachable references to verify all offered experience. NYSDOT reserves the right to request information from any source so named, and further reserves the right to contact additional references (including appropriate references not specifically named by consultants) to completely verify all offered experience as well as to request additional references. Failure to provide reachable and responsive references will lead to the downgrading of an consultant’s experience score.

4.2.6 Project Schedule
A consultant’s Part I Technical proposal shall include a proposed project schedule (in MS Project 2007 format) specific to this project.

4.2.7 Staffing Plan
The consultant shall complete and submit Attachment 4 Staffing Plan and Resumes.

4.3 Part II – Cost and Contract Proposal
The Part II proposal response requirements are listed below. Please be sure that these instructions are followed to ensure that your proposal is considered responsive to be eligible for contract award:
### Part II - Cost and Contract Submittal Checklist

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Five (5) Printed and bound hard copies of Part II plus one copy on CD/DVD, in MS Excel 2007 format</td>
</tr>
<tr>
<td></td>
<td>Securely sealed and clearly labeled with the words “NYSDOT, ATMS RFP, Part II — Cost and Contract Proposal (C030789)”</td>
</tr>
<tr>
<td></td>
<td>Required Cost information (complete and submit Attachment 8, Cost Proposal)</td>
</tr>
<tr>
<td></td>
<td>Name, title, address, email, and telephone number of person(s) with authority to negotiate and who may be contacted during proposal evaluation</td>
</tr>
<tr>
<td></td>
<td>Complete and submit Attachment 2, (sign both Sections II and III)</td>
</tr>
</tbody>
</table>
|   | Complete and submit the Attachment 9 Procurement Lobbying Law 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 two forms are required with a firm’s RFP Response.  
- **Note:** Failure to submit the completed PLL forms with your proposal will result in elimination from consideration for contract award |
|   | Complete and submit Attachment 12, DBE Participation Information Form                               |
|   | Complete and submit (if applicable) Attachment 13, DBE Subconsultant Participation Solicitation Log AND Letter of Explanation of Non or Partial DBE Goal Attainment |
|   | Complete and submit all future RFP Modification Acknowledgement Forms as instructed                 |

Part II of the proposal consists of two sections: (1) a Cost Section, which sets forth the lump sum fees and rates for performing the work in the scope of services, and (2) the Contract Section, which provides the required State certification and RFP administrative forms. All signatures on each copy must be an original. Cost information is **not** to be included in the Part I submittal, and Technical and Management information is **not** to be included in Part II submittal.

The consultant must submit five (5) paper copies of Part II, and one soft copy on a CD/DVD (in Microsoft Office 2007 compatible format) — each clearly identified on the cover or label with the consultant’s name and the words “ATMS RFP, Part II — Cost Proposal (C030789).” All copies of Part II must be packaged separately from Part I. Proposals shall be securely sealed and clearly labeled. Any outside packaging containing Part II copies must be clearly marked with the words “ATMS RFP, Part II — Cost Proposal (C030789).”

#### 4.3.1 Cost Section

NYSDOT requires that all cost information be presented using the RFP provided Microsoft Excel spreadsheets (see Attachment 8) in both a hardcopy Part II response and in electronic copy on CD with the latter securely presented in your Part II response. The accuracy of calculations and formulas in the spreadsheet are the sole responsibility of the consultant.
NYSDOT will procure all required hardware and any supporting software for the selected solution based on OGS contract pricing and availability. The selected consultant will be responsible for the installation of a comprehensive ATMS. Proposers must include in their cost proposal (Attachment 8) information about all hardware required to support the proposed solution, based on the consultant’s notional design using the information provided in the RFP and attachments. Hardware requirements must reflect support for local redundancy of critical components such as application and databases servers.

The consultant shall propose the cost for all software needed to support its proposed design, and shall make recommendations regarding the required hardware to operate the proposed software. NYSDOT is seeking an Enterprise Software License to cover all software licensing and updates for all NYSDOT regions for the duration of the contract. The one-time costs for the first year will cover the Enterprise Software License and any maintenance costs for the first year. The first year starts upon the acceptance of the system by NYSDOT. The consultant shall include in its cost proposal estimated costs for all recommended hardware required to support its proposed design for the Phase 1 deployment. Do not include costs for the proposed system redundancy and recommended archival approach as described in the technical solution description. All proposed software and recommended hardware must comply with all requirements and specifications described in this RFP. The State will purchase all hardware, software, and any third party products 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 hardware costs to a firms cost offer which are required to support its proposed design and implement its solution but not included in a consultant’s Part II cost submission.

When completing Attachment 8’s spreadsheet, consultants shall follow these instructions:

1. All proposed one-time and recurring costs must include ANY AND ALL one-time and recurring fees, charges, or costs for the duration of the contract, including:
   a. All applicable, allowable overhead
   b. Company fees and profit
   c. Direct non-salary expenses, including but not limited to:
      − Labor, parts, shipping, material and equipment cost
      − Software license and maintenance costs
      − Emergency work; additional services as specified herein
      − Repairs and replacement of major or minor parts as necessary
      − Administrative, reporting, or other requirements, overhead costs, and profit
      − 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. Ensure that all aspects of your proposed scope of services includes appropriate travel costs (i.e., training). NYSDOT cannot increase your cost proposal to add anticipated costs not covered in your proposal.
− 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

− If a consultant indicates compliance with a requirement in Attachment 5, System Requirements, the costs related to that requirement must be included in the Cost Proposal. An optimal proposal shall present detailed explanations supporting each proposed RFP requirement-satisfying cost item.

− Terminology used in the cost spreadsheets for products and services must be consistent with the terminology used in the rest of the response.

− All worksheets must be completed in order for the response to be considered complete.

− Consultant should not make entries in colored cells.

− Changes should not be made to the spreadsheet format or formulas, but the consultant may attach additional worksheets to explain its proposed costs.

− Best and Final offers may be requested of all firms invited to the Technical Presentation.

The Cost Proposal shall be presented as a fixed price with required cost breakdowns (detailed information defining and explaining the elements and metrics of the Cost Proposal by phase/activity or task/subtask). All labor must be estimated by task and by hours and by consultant personnel. Labor rates by year shall be presented for all consultant staff (rates shall be broken down by salary, overhead and fee). Additionally, consultants should offer competitive cost information (product licenses, daily rates, overhead, fees, etc.). NYSDOT may request a “Best and Final Offer” from any and all consultants during the final stages of the proposal evaluation process. NYSDOT may also negotiate a firm’s cost proposal during contract negotiations.

4.3.2 Contract Section

The Consultant shall specifically state its acceptance of all Terms and Conditions of the Draft Contract contained in Attachment 1 of this Request for Proposals by completing and submitting the Consultant Information and Certifications Form (Attachment 2), to indicate a firm’s acceptance of all of the terms and conditions contained in the Draft Contract. Altering this form without the prior expressed written approval of the New York State Department of Transportation is prohibited and will lead to the proposal being deemed non-responsive and subsequently dismissed.

NYSDOT reserves the right to make minor clarifications to the Scope of Services to be performed under this Agreement, via Attachment A, Exhibit A, Scope of Service Clarifications, subsequent to the opening of proposals but prior to contract execution.

4.3.3 DBE Participation

Interested proposers should verify their attainment of the contract DBE subconsultant participation goal by completing Attachment 12 DBE Participation Information. Provide the legal names of all certified DBE consultants (prime and/or subconsultant).
To count towards the Department’s DBE goal, a firm offering DBE participation must be currently certified per the NYSUCP DBE Directory. If the proposal does not meet the 5% percent DBE participation goal, the firm must provide evidence of a good faith effort by completing Attachment 13 DBE Subconsultant Participation Solicitation Log. Additionally, if the firm does not meet the specified 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 if partially), 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 partially and should at a minimum address the following factors: the potential firm’s method of accomplishing the work, the subcontracting opportunities associated with the proposed approach and scope of services, and the availability of certified firms for the work to be performed by either a prime consultant or via subcontract.

Additionally, prime consultants certified as a DBE who propose are not relieved from seeking participation of certified Disadvantaged Business Enterprises (DBEs) for subcontractable services in this solicitation. In these situations, it is expected that unless DBE outreach efforts by the prime result in proposed DBE subconsultants, that the prime consultant provide evidence of a good faith effort by completing Attachment 13.

The above forms and letter must be included in Part II: Cost and Contract submission. Firms are advised to refer to Section 5 for the procedure the Department will follow in evaluating a firm’s proposed DBE participation.

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

4.4 Other Considerations

4.4.1 Document Preparation

In order to promote uniformity of preparation and to facilitate review, Proposals must adhere to the following criteria:

Proposals must be printed on standard 8½ by 11-inch white paper. Pages can be printed double-sided.

Proposals must be organized in accordance with the format set forth in the RFP document.

Proposals must be self-contained and should not reference web-links. Should web links be unavoidable, you must identify what specific information is being reference via the link and must detail the location/path instructions required to locate this specific information. Non-specific link information shall not be considered.

Proposals should strive to consistently use 12 point font size. Smaller font sizes are allowed in footnotes or table headers but not the text itself.

Illustrations that support the text must be simple and direct and be either sized to fit on 8 ½ by 11-inch paper or printed on 11 inch by 17 inch paper as long as the pages are folded to the 8 ½ by 11-inch size, and fold out from the non-bound edge. Illustrations must be reproducible in black and white without obscuring their distinctive information; photographs must be black and white.
Proposals that make extensive use of color photographs or illustrations, or that include separate brochures and overly elaborate embellishments, are discouraged. NYSDOT may need to reproduce proposals for evaluation purposes and the benefit of color would be lost.

A request for protecting confidential information must be on a case-by-case basis (i.e., specific information contained in your proposal). Labeling an entire proposal or sections ‘Confidential’ and/or ‘copyright protected’ is not allowed and may lead to early proposal dismissal.

Consultants must submit Part I (including the Cover Letter) and Part II in separate binders and in separate, sealed packages. Consultants must deliver hardcopy proposals to the NYS Department of Transportation’s Contract Management’s office no later than 2:00 PM ET on the specified RFP proposal due date. Consultants mailing proposals should allow sufficient mail delivery time to ensure timely receipt of their proposals. NYSDOT will not accept faxed or e-mailed complete proposals. NYSDOT may automatically disqualify any offering that is not in compliance with the submission criteria.

4.4.2 Method of Payment

Payment will be based on the acceptance of completed deliverables by phase identified in RFP Section 3 Scope of Service. A proposed payment schedule is included in Attachment 8. Additional work shall be paid for via the agreed-upon labor rates negotiated via rates proposed in Attachment 8 with reasonable reimbursement for agreed-upon out-of-pocket expenses (subject to state reimbursement limitations).

Requests for payments shall be made by the consultant on the basis of 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 request for payments are encouraged. All vendors are directed to register with the New York State Office of the State Comptroller to receive electronic payments per Governor’s Directive.

Each consultant must reference its Consultant Identification Number (CIN) in its Part II proposal. If an consultant does not have a CIN and is selected for contract award, it will be required to obtain one through the following NYSDOT web site prior to negotiation of the contract:


Each consultant must reference its SFS Vendor Identification Number in its Part II proposal. If an consultant does not have an SFS number and is selected for contract award, it will be required to obtain one through NYSDOT sponsorship.
5. CRITERIA FOR EVALUATION OF PROPOSALS

5.1 Overview of Evaluation of Proposals

Proposals received on or before the RFP’s published proposal due date shall be opened, logged-in, and examined for completeness and adherence to the RFP’s response requirements. Logged in proposals shall be certified as being received. Proposals received late shall not be opened and shall be returned to sender.

Once logged in, proposals shall be pre-screened to determine if they meet the minimum RFP responsiveness requirements, (including mandatory requirements). Proposals that meet minimum RFP responsiveness requirements shall be considered further; proposals that do not meet minimum RFP responsiveness requirements may be deemed non-responsive. Proposals deemed to be non-responsive shall be removed from further consideration.

Proposals passing pre-screening shall then be evaluated by NYSDOT using a Best Value Method evaluation process based on the technical and cost criteria described below. Technical considerations are of greater importance than pricing considerations; however, the competitiveness of proposed costs is a significant factor in NYSDOT’s evaluation of proposals.

Technical and Management proposal evaluation will be accomplished by a representative Technical Evaluation Committee comprised, as appropriate, of technical, program and management subject matter experts. Technical Evaluation Committee members will be given technical proposals with instructions and score sheets. Committee members, working as individuals, shall compare each proposal against the RFP, measuring the degree of responsiveness to the RFP’s specifications and requirements. Committee members will document their findings, and assign a numerical score for each of the RFP’s evaluation criteria. Evaluators may identify clarification questions along the way. Beyond the level of peculiarity set in this RFP, proposal evaluation process rules, scales, definitions and instruments shall be internally defined and approved by NYSDOT prior to the receipt of proposals.

Once independent evaluation of proposals is complete, the Committee shall meet as a group to collectively discuss their findings with possible score changes. Reason(s) for score changes shall be documented. Offered experience may be verified by contacting references provided by proposers. Evaluators may revise findings and scores based on consideration of reference checks.

Proposers responding to this RFP are not allowed to change their technical proposal. However, proposers may be requested to clarify issues or to provide additional insights into their proposal through written clarifications and/or technical interviews. If written clarifications are required to complete the technical evaluation of proposals, evaluators will be allowed to revise their technical scores based on this additional information. Scores after initial technical proposal review shall remain open and are subject to change as a result of completing technical interviews; initial written proposal scores may be changed due to further clarification and insights gained from shortlisted firms which go through technical interviews. After initial technical proposal evaluation, initial cost scores shall be combined to generate an initial best value score, to determine which proposals are mathematically susceptible to contract award/eligible to be invited to attend technical interviews. Technical scores may be adjusted via consideration of Best and
Final offers. Final written proposal scores will be generated at the conclusion of the technical interviews (plus optional Best and Final Offer requests). For those firms that do not make the initial best value shortlist, their final written technical scores will be produced after group discussion and final clarifications have concluded.

Technical interviews are required to complete the technical evaluation of proposals. There are up to 60 points available for the initial evaluation of written technical proposals and there are up to 10 points available for the in-person technical interview and presentation. Cost proposal evaluation results (up to 30 points) shall be considered with initial raw technical score results to determine initial offered Best Value, which shall lead to an initial Best Value-determined shortlist of firms (determined to be mathematically susceptible for contract award). NYSDOT will short-list the field of proposals, identifying those proposals subject to contract award (any proposal within 10 points of the top initial best value ranked proposal plus any ‘cluster’ of proposal surrounding the cut-off line). NYSDOT will publish the short list of firms on its website under this solicitation. Technical interviews are required to complete the technical evaluation of proposals and will be held at NYSDOT’s offices at a date and time to be determined.

NYSDOT reserves the right to ask clarifying questions regarding each cost proposal (Part II) and DBE participation as well. Furthermore, NYSDOT reserves the right to request best and final offers from firms that are determined to be susceptible for contract award. NYSDOT also reserves the right to re-score the remaining technical and cost proposals should a firm either withdraw from this solicitation or be deemed non-responsive after initial evaluation and scoring.

An award shall be made to the offeror whose proposal receives the highest total Best Value score after considering all technical and cost/price evaluation factors.

**Note:** In the event two or more proposals are found to be “substantially equivalent”, NYSDOT reserves the right to award the contract under the terms of State Finance Law §163 (10)(a).

At the conclusion of the proposal evaluation process, an announcement of NYSDOT’s designation will be posted on the NYSDOT Web site (https://www.dot.ny.gov/business select ‘Consulting Service Opportunities’). All firms shall be notified in writing regarding the results from the solicitation. All non-selected firms will be offered an opportunity to hold a debriefing.

It is expressly understood that this Request for Proposals does not commit NYSDOT to award a contract, 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.

### 5.2 Proposal Evaluation Process

NYSDOT shall establish a Technical Evaluation Committee (TEC), which will evaluate the Part I Technical and Management proposal and the Technical Presentation. Cost proposals shall be evaluated by NYSDOT Contract Management. Relevant NYSDOT subject matter experts (technical, program, and management) will staff the Technical Evaluation Committee. Technical and cost proposals will be evaluated separately. Issues which cross technical and cost separation lines or which may arise during these evaluations will be handled by NYSDOT Contract Management, with assistance from an Executive Committee as required. With the
recommendation from the Executive Committee, the appropriate NYSDOT executive will approve the results of the proposal evaluation process and designate the selected consultant. A team of NYSDOT subject matter experts will negotiate the resulting contract with the selected consultant, with NYSDOT Contract Management and Legal facilitation. NYSDOT, the Attorney General, and the State Comptroller must approve any final contract.

Consultants responding to this RFP may be requested to clarify technical cost, and/or contract issues or to provide additional insight into their proposal through written clarifications. If written clarifications are required to complete the technical evaluation of proposals, evaluators will be allowed to revise their technical scores based on their consideration and deliberation of this additional, clarifying information. Technical presentations are required of all short-listed consultants and will be held at the Department's offices located in Albany, New York, at a date and time to be determined by NYSDOT. Additionally, the Department reserves the right to request Best and Final Offers from firms that are determined to be mathematically susceptible to contract award.

Using the proposal evaluation process described herein, NYSDOT will evaluate proposals that are received prior to the deadline and deemed complete. NYSDOT will not consider proposals that are received late or are deemed to be incomplete.

NYSDOT will first pre-screen each proposal to determine whether it was received on time, is complete, and adheres to the required response formats. Early submission of proposals is encouraged. Next, NYSDOT will conduct a mandatory technical requirements review of those proposals that have passed the pre-screening. Proposals that pass the mandatory review will continue to the next step — Technical evaluation and Cost evaluation. NYSDOT will review and score each section of the proposals on a scale that is based upon pre-established evaluation criteria (approved before receipt of proposals; to become part of the procurement record). When the Part I and Part II evaluations are complete, the technical and management score will be added to the cost score to develop a composite Best Value score. At the end of all possible technical scoring, technical proposals will receive a final perfected Best Value score that will be weighted such that the Technical score will comprise 70 percent of the final score (60 perfected technical points allocated to the highest scoring RFP written response, 10 perfected technical points allocated to the highest scoring technical presentation) and 30 perfected cost score points allocated to the lowest proposed total cost). As part of the technical evaluation process, consultants with a mathematical chance of being awarded a contract shall be invited to and provide an technical presentation at the NYSDOT Albany-area office. These consultants will be required to bring their key personnel to the technical presentations. The paragraphs that follow describe each phase of the proposal evaluation process in greater detail.

5.2.1 Pre-Screening of Proposals

NYSDOT Contract Management must receive all proposals at the designated address by 2:00 PM ET on the RFP’s proposal due date. It is the sole responsibility of the consultant to assure that its proposal is received on time. NYSDOT Contract Management will pre-screen all proposals received on time. Late submissions shall be dismissed. Proposals must contain all the information requested in this RFP to be considered complete. All proposals must follow the format outlined in RFP Section 4, Proposal Format and Contents. The pre-screening will ensure
that the consultant has submitted all required Part I - Technical and Management proposal, and Part II - Cost proposal components. Failure to provide the proposal in this format may result in it being deemed non-responsive. NYSDOT may remove from consideration and not evaluate any proposal deemed non-responsive. Consultants whose proposals are deemed non-responsive will be notified, in writing, of their elimination.

**DBE Review.** As part of the pre-screening process, the proposed DBE subconsultant participation percentages offered for NYSUCP certified subconsultants will be reviewed (Attachment 12, DBE Participation Information). To count towards the Department’s DBE participation goal, each offered DBE firm must be currently listed in the NYSUCP Directory. If the proposed DBE subconsultant participation is less than the established 5% (percent) goal, the firm’s evidence of a Good Faith Effort (Attachment 13, DBE Subconsultant Participation Solicitation Log) to achieve the goal will be reviewed, along with the firm’s letter of explanation (DBE Goal Attainment Explanation Letter) as to why it was unable to meet the goal. 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 the Department 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). Pending DBEs are not allowed.

**Review of Mandatory Technical Requirements.** All Part I proposals submitted on time will be reviewed to ensure that all requirements identified as Mandatory have been met. NYSDOT will consider proposals that do not meet all Mandatory requirements to be non-responsive and will eliminate such proposals from further consideration. Consultants whose proposals are deemed non-responsive will be notified, in writing, of their elimination. NYSDOT reserves the right to ask clarification questions on a firm’s mandatory responses.

### 5.2.2 Part I and Part II Proposal Evaluations

Each proposal which clears Pre-Screening will have its Part I proposal evaluated further, and will have its Part II proposal evaluated further. NYSDOT reserves the right to ask for clarifications of either proposal. Other than responses made to requests by NYSDOT for clarification of such contents, no consultant will be permitted to alter its proposal after the final filing date and time. When the Part I and Part II evaluations are complete, the two scores will be added together to develop a composite Best Value score (initial and final).

#### 5.2.2.1 Part I Proposal Evaluation

The Technical and Management Part I proposal will be evaluated and point scored, and, when perfected, will represent 70% of the total score. The initial evaluation of the written Technical and Management proposal will account for up to 60 points of the total score while the technical interview will account for up to 10 points of the total score. Technical interview scores will be separately perfected.

All steps and details governing the proposal evaluation process shall be set forth in a proposal evaluation process document to be approved by the NYSDOT Executive Committee prior to the
receipt of proposals. The proposal evaluation process document will become part of the State’s official procurement record.

The Technical Evaluation Committee (TEC) will evaluate and score each section of the Part I Technical and Management proposal on the scale determined by NYSDOT prior to submission of proposals. Each TEC member will first independently evaluate each proposal to determine the degree of responsiveness of each area against the requirements and specifications contained in the RFP (the requirement traceability matrix shall be used). Each evaluator shall document their independent findings then determine the appropriate score for each RFP factor using the predefined scale and definitions. Once all independent evaluations are complete, the TEC shall meet and discuss each proposal as a group. Scores may change as a result of group discussions and all reasons for score changes shall be documented. Clarification questions may be requested either during the initial technical proposal evaluation stage or as part of the technical interviews (or both). Scores and findings may be changed as the result of the consideration of clarified material. Firms shall be given a reasonable amount of time to respond to clarification question requests.

5.2.2.1.1 Technical Presentation Evaluation

As part of the technical evaluation, the top-rated consultants who have a mathematical chance of being selected (a Best Value determination, based on combined technical and cost scores) will be required to provide a technical presentation of their proposal to NYSDOT. The key staff members identified in the consultant’s proposal must attend. Prior to the technical presentations, NYSDOT will provide each consultant with a Technical Presentation Package, including an agenda, instructions, and possible clarification questions. Consultants shall not change their proposal during the technical presentation but responses to requested clarifications are permitted. The presentation will be evaluated and scored by the TEC and will account for 10 percent of the consultant’s final Best Value score. In addition, the consultant must be prepared to demonstrate its proposed solution as instructed in the Technical Presentation Package. The TEC will be allowed to revise their earlier Part I technical scores based on the results of further clarifications and insights gained from this demonstration. The consultant assumes the responsibility of being prepared for and conducting this activity.

Technical presentations will be held at the Department's main office located in Albany, New York, at a date and time to be determined by NYSDOT. Each presenter will be given a Technical Presentation Package which defines the schedule and expected content of the presentation. The presenter will be expected to:

- Provide a demonstration of how the offered solution addresses the Technical Presentation Package and allow the evaluators to further gage the consultants ability to meet the RFP specifications.
- Have all Key Personnel in attendance for the presentation, provide a short introduction of the Key Personnel and discuss of their capabilities and experience.
- Respond to clarification questions from the TEC.
5.2.2.1.2 Total Technical Score Calculation

Upon conclusion of the consultant’s technical presentation, the technical presentation score will be separately perfected, with the highest scoring technical presentation score receiving a perfect 10 points and all others receiving proportionately lower technical presentation scores. After possible rescoring of initial written technical proposal scores (with reasons for re-score changes documented), the proposal with the highest Part I technical score shall receive a perfect 60 points and all others receiving proportionately lower scores. Perfected presentation and written scores shall be added together to generate a total Part I technical proposal score.

5.2.2.2 Part II Cost Proposal Evaluation

Cost proposals will be evaluated for reasonable costed elements, reasonable hourly rates, overhead rates and fees. Clarification questions may be asked. Cost proposals shall be scored, and will account up to 30 points of the total best value score.

Consultants are required to provide a competitive fixed cost inclusive of all proposed services and technical solutions contained in the consultant’s proposal by using the tables and worksheets provided in Attachment 8. Competitive hourly rates are also to be proposed.

NYSDOT Contract Management will evaluate, score and rank each Part II Cost Proposals using the following formula: (A/B)*C ((A divided by B) times C) where:

A is Total Price of the lowest price Cost proposal
B is Total Price of the Cost proposal being scored
C is Cost points available (30 points or 30% of the final cost score)

Total price will be evaluated based on the fixed price cost provided for Regions 3 and 8 (as per the 'Pricing Summary' tab) plus a cost factor that reflects an estimate of the cost to extend the implementation to other regions (to be based on these rates). NYSDOT will estimate this cost factor and rates will be weighted according to a formula devised by NYSDOT.

The proposer with the lowest total proposed cost will receive a perfected cost score of 30 points. Proposals with higher proposed total cost will receive proportionally lower cost scores.

5.2.2.3 Selection Recommendation

Each consultant’s final Best Value score will be calculated by adding its total perfected technical score (written and interview) and its perfected cost score. NYSDOT will then rank consultants in descending order of final Best Value score. The results of the proposal evaluation process shall be documented by NYSDOT Contract Management. This report along with a consultant selection recommendation shall be forwarded to NYSDOT Executive Committee for approval. The designation will be publicly announced on NYSDOT’s website.

A tentative contract award shall be made to the consultant whose proposal receives the highest total Best Value score after considering all technical and cost/price evaluation factors. Note: In the event two or more proposals are found to be “substantially equivalent”, the Department reserves the right to award the contract under the terms of State Finance Law §163 (10)(a). Any ‘ties’ shall be decided by the substantially equivalent rule contained in the approved evaluation process document.
A team of NYSDOT subject matter experts will negotiate the resulting contract with the selected consultant, with NYSDOT Contract Management and Legal facilitation. The final contract is subject to approval by the Attorney General and the Office of the State Comptroller and is not binding until such approval is received.

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

It is expressly understood that this Request for Proposals does not commit NYSDOT to award a contract, 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.

5.3 Proposal Scoring and Evaluation Weights

The proposals will be evaluated in accordance with the weighted scoring system indicated in the table below.

<table>
<thead>
<tr>
<th>Step</th>
<th>Title</th>
<th>Scoring Method</th>
<th>Points out of 100</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Pre-Screening</td>
<td>Pass/Fail</td>
<td>N/A</td>
</tr>
<tr>
<td>2</td>
<td>Mandatory Requirements Review</td>
<td>Pass/Fail</td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>Mandatory Requirements</td>
<td></td>
<td></td>
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<tr>
<td>3</td>
<td>Technical Proposal</td>
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<td></td>
<td>System Requirements</td>
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<tr>
<td></td>
<td>Technical Approach</td>
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<td></td>
<td>Experience</td>
<td></td>
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<td></td>
<td>Experience of Staff (7)</td>
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<td></td>
<td>Experience of Firm (3)</td>
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<tr>
<td></td>
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<td></td>
<td>Organization and Staffing Plan</td>
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<tr>
<td>4</td>
<td>Cost Proposal</td>
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<td>Phase 1</td>
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<tr>
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<td></td>
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<td>100</td>
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</table>
6. ADMINISTRATIVE SPECIFICATIONS

6.1 Pre-Proposal Conference (Mandatory and Optional)

To assist firms in preparing proposals in response to this solicitation, a MANDATORY Site Tour is being held on Tuesday, June 12, 2012 in the Region 3 TMC, and a MANDATORY Site Tour is being held on Wednesday, June 13, 2012 in the Region 8 TMC. Additional information about the site visits will be sent to firms submitting proposals that pass pre-screening.

To further assist firms in preparing proposals in response to this solicitation, an Optional pre-proposal conference will be held on Tuesday, June 26, 2012 in NYSDOT’s Main Office conference room A&B, 50 Wolf Road, Albany, NY. The conference will start at 10:00 AM (New York time) and is scheduled to end at 11:50 AM. Questions on the RFP are due by 2:00 PM June 27, 2012 to Mr. Al Hasenkopf, NYSDOT Contract Management via e-mail (ahasenkopf@dot.ny.gov). Questions submitted in advance of the June 26th pre-proposal conference may be answered during the conference. An opportunity will be afforded for questions and answers during the conference.

Participation via teleconference is possible – anyone who wants to participate via teleconference must contact Mr. Hasenkopf via e-mail (ahasenkopf@dot.ny.gov) before C.O.B. June 22, 2012. A general review of the solicitation will occur and specific questions regarding the solicitation may be answered. Interested firms are encouraged to attend and ask questions. Interested DBE consultants are also encouraged to attend.

For security control purposes, if you plan to attend, please e-mail the names of all attendees to Mr. Hasenkopf via e-mail (ahasenkopf@dot.ny.gov) by 2:00 PM on June 25, 2012. Each proposer is requested to send no more than five representatives to the conference (if more are needed, please ask).

6.2 Proposal Due Date

Your proposal must be received in NYSDOT Contract Management’s office by 3:00 PM ET on Wednesday July 31, 2012.

6.3 Proposal Submission

The proposal must be submitted and shipped to:
   Al Hasenkopf, Contract Management
   New York State Department of Transportation
   50 Wolf Road, 6th Floor
   Albany, New York 12232
   Attention: C030789 ATMS RFP

6.4 State’s Rights to Proposals

All proposals, upon submission to NYSDOT, shall become its property for use as deemed appropriate. By submitting a proposal, the consultant 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 prerogative with regard to proposals submitted:

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.

6.5 Affirmative Action Goals

The Department desires to foster and promote the participation of disadvantaged, minority and women-owned business enterprises in its contracting program. Accordingly, such enterprises are encouraged to consider submitting proposals in response to this solicitation and should be encouraged by other consultants to submit subcontract proposals for those portions which may be performed by subcontract (see Attachment 1, Draft Contract).
6.6 Inquiries and Information

All questions concerning this solicitation must be directed only to Mr. Al Hasenkopf. The last date to submit questions for this solicitation is indicated in Section 6.7, Schedule of Key Events (below). All inquiries should be addressed to:

   Al Hasenkopf, Contract Management  
   New York State Department of Transportation  
   50 Wolf Road, 6th Floor  
   Albany, New York 12232  
   Attention: Advanced Traffic Management System RFP (Contract #C030789)  
   E-Mail: ahasenkopf@dot.ny.gov  
   Fax: 518-457-8475

Responses to all questions of a substantive nature, as well as copies of the questions, will be posted to NYSDOT’s website under this solicitation.
6.7 Tentative Schedule of Key Events

NYSDOT will attempt to adhere to the following schedule with regard to this solicitation:

<table>
<thead>
<tr>
<th>Event</th>
<th>Timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>RFP Release Date</td>
<td>June 7, 2012</td>
</tr>
<tr>
<td>MANDATORY Region 3 Site Visit/Tour</td>
<td>June 12, 2012</td>
</tr>
<tr>
<td>MANDATORY Region 8 Site Visit/Tour</td>
<td>June 13, 2012</td>
</tr>
<tr>
<td>Optional Pre-Proposal Conference</td>
<td>June 20, 2012</td>
</tr>
<tr>
<td>Question Submittal Deadline</td>
<td>June 27, 2012 @ 2:00 PM ET</td>
</tr>
<tr>
<td>Question Response Deadline</td>
<td>July 6, 2012</td>
</tr>
<tr>
<td>Proposals Due</td>
<td>July 31, 2012 @ 3:00 PM ET</td>
</tr>
<tr>
<td>Proposal Evaluation Begins</td>
<td>July, 2012</td>
</tr>
<tr>
<td>Technical Presentations</td>
<td>Late August/early September, 2012</td>
</tr>
<tr>
<td>Consultant Selection</td>
<td>Late Fall, 2012</td>
</tr>
</tbody>
</table>

6.8 Registration with NYSDOT

All consultant firms entering into contracts with the New York State Department of Transportation (NYSDOT) whether as prime consultants, joint venture partners or subconsultants, are required to electronically register their firm using NYSDOT’s Consultant Selection System web application (CSSWeb). All consultant firms entering into NYSDOT agreements 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; DBE, MBE and/or WBE 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 Office of the State Comptroller for approval. Registered firms are responsible for verifying and updating their registration information for the duration of the agreement.

Consultant Firm Registration instructions are available at:


or via:


Consultant Firm Registration begins at:


Questions regarding the CSSWeb application and firm registration should be directed to the CSSWeb Administrator by email at css@dot.ny.gov or by telephone at 518-457-2600.
6.9 Protest Procedure

The New York State Department of Transportation (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 FHWA’s DBE Administrative Reconsideration per 49 CFR Part 26.53(d).

6.10 Information Items for Selected Vendor

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

Vendor Responsibility

- The selected consultant will need to go to NYSDOT Web site (https://www.dot.ny.gov/main/business-center/consultants/forms-publications-and-instructions) to review the vendor responsibility questionnaire. The selected consultant will be required to submit a completed questionnaire within 10 days of being notified of selection for contract award. If you are a successful consultant, NYSDOT will not be able to begin negotiations with your firm if this questionnaire is not completed and electronically submitted as required.

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 Web sites:

Insurance Requirements of this Project

- Please carefully read the terms and conditions of the draft Contract appended as Attachment 1 of this RFP. Your attention is drawn to the insurance requirements for this Project that are contained in Article 9 of the draft Contract. These insurances are mandatory for the firm(s) selected as a result of this solicitation and will not be waived.

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 10, Consultant 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 10, Consultant 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 15th of each year the contract is in effect.
**Consultant Responsibility When Proposing to Use a Former NYSDOT Employee**

- It is the Consultant’s responsibility to ensure they propose staff that is 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 11**.

**Registration with NYSDOT**

- 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 Office of the State Comptroller for approval. Registered firms are responsible for verifying and updating their registration information for the duration of the agreement. Section VI of this RFP provides more information

### 6.11 Acronym List

- ATIS – Advanced Traveler Information System
- ATMS – Advanced Traffic Management System
- CCTV – Closed Circuit Television System
- CIN – Consultant Identifier Number
- CNF – Meets requirements with special configuration
- CST – Meets requirements with custom software
- CVO – Commercial Vehicle Operations
- DBE – Disadvantaged Business Enterprise
- FHWA – Federal Highway Administration
- FOIL – Freedom of Information Law
- GUI – Graphical User Interface
- HAR – Highway Advisory Radio
- NAV – Not Available
• NYS – New York State
• NYSDOT – New York State Department of Transportation
• NYSUCP – New York State Unified Certification Program
• OB – Meets requirements ‘out-of-the-box’
• OEM – Original Equipment Manufacturer
• OGS – Office of General Services
• PDF – Portable Document Format
• RFP – Request for Proposals
• STICC – Statewide Transportation Information and Coordination Center
• SFL – State Finance Law
• SFS – NYS Statewide Financial System
• TEC – Technical Evaluation Committee
• TMC – Transportation Management Center
• UAT – User Acceptance Test
• VMS – Variable Message Signs
Attachments
Attachment 1 – Draft Contract
Attachment 2 – Consultant Information and Certifications
Attachment 3 – Company Experience and References
Attachment 4 – Staffing Plan, Resumes, Project Experience and References
Attachment 5 – ATMS System Requirements
Attachment 6 – ATMS Concept of Operations
Attachment 7 – Requirements Traceability Matrix
Attachment 8 – Cost Proposal
Attachment 9 – Procurement Lobbying Compliance Form
Attachment 10 – Consultant Employment Disclosure Forms A and B
Attachment 11 – Use of Former NYSDOT Employee Information
Attachment 12 – DBE Participation Information Form
Attachment 13 – DBE Subconsultants Participation Solicitation Log
Attachment 14 – Physical Demark and Logical Hand Off
Attachment 15 – TMC Equipment Inventory