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DEPARTMENT OF TRANSPORTATION
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Albany, New York 12232-0203
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NEW YORK STATE DEPARTMENT OF TRANSPORTATION
REQUEST FOR PROPOSALS
511NY Services
Contract #C031118

December 14, 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 the designated New York State Department of Transportation (NYSDOT) Contract Manager, Peter Russell, via e-mail at: Peter.Russell@dot.ny.gov.

Please note the following **dates and deadlines**:

- **January 21, 2013:** Deadline for questions about the RFP is 2:00 PM (NY Time)
- **January 28, 2013:** Deadline for release of answers to RFP questions
- **February 8, 2013:** Deadline for submission of proposals is 2:00 PM (NY Time)

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 early 2013 and continue for a period of three years, with two options for 12-month extensions, depending on performance. NYSDOT reserves the right to extend the contract beyond the five years to enable transition of the system to a new operator.

NYSDOT encourages the participation of certified Disadvantaged Business Enterprises (DBEs) in its solicitations. Please see the New York State Unified Certification Program (NYSUCP) DBE Directory for certified Disadvantaged Business Enterprises via: <http://biznet.nysucp.net/>. **For this solicitation, NYSDOT has set a DBE Participation Goal of 11%. 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.

We look forward to the receipt of your proposal.

Sincerely,

WILLIAM A. HOWE
Director
NYSDOT Contract Management
Enclosure

RFP RESPONSE FORM:

511NY SERVICES

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 NYSDOT 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:

Peter Russell, Contract Management
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York 12232
Attention: 511NY Services RFP (Contract #C031118)
E-mail: Peter.Russell@dot.ny.gov

NEW YORK STATE DEPARTMENT OF TRANSPORTATION

REQUEST FOR PROPOSALS

511NY Services

CONTRACT #C031118



Proposal Due Date: February 8, 2013

Proposal Delivery Location and Additional Information:

Peter Russell, Contract Management
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York 12232

Attention: 511NY Services RFP (Contract #C031118)
E-mail: Peter.Russell@dot.ny.gov

RFP Release Date: December 14, 2012

**REQUEST FOR PROPOSALS
NEW YORK STATE DEPARTMENT OF TRANSPORTATION
511NY Services RFP**

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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 to provide 511NY Services once a contract has been negotiated and signed. NYSDOT intends to make its selection and enter into contract #C031118 with a consultant that provides best value to the State.

The NYSDOT 511NY is a multi-platform, travel information service distributing information via the web (<http://www.511ny.org>), mobile applications, telephone, social media and e-mail.

The focus of this RFP is to select a consultant to:

- Re-host and operate the 511NY in a hosted environment that provides all of the existing 511NY Services
- Perform selected enhancements of the 511NY Service
- Maintain and operate 511NY for the duration of the contract

An additional dimension to this RFP and the resulting contract requires the successful bidder to build and price the new, hosted 511NY in such a manner that Data Center Services and Interactive Voice Response (IVR) Services can be transferred out if necessary and become part of a possible New York State government data center and IVR shared services initiative (See Section 1.4).

1.2 Document Overview

This RFP specifies the functional and performance requirements, the responsibilities of the consultant and NYSDOT, and other pertinent information related to the acquisition of 511NY Services 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: Provides an overview of NYSDOT, the program areas that require and will use 511NY, and background information about the project.

Section 2 – Project and Contract Objectives: Describes the purpose of the project and outlines NYSDOT's project and contract objectives.

Section 3 – Scope of Work: Provides a description of NYSDOT's requirements and the expected deliverables for the project.

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

Section 5 – Criteria for Evaluation of Proposals: Describes the methods and criteria to be used for evaluating responses to this proposal and for selecting a consultant.

Section 6 – Administrative Specifications: 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 its 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:

- Coordinating and developing a comprehensive transportation policy for the State; coordinating and assisting in the development and operation of transportation facilities and services for highways, railroads, mass transit systems, ports, waterways, and aviation facilities; and formulating and keeping current a long-range, comprehensive statewide master plan for the balanced development of public and private commuter and general transportation facilities.
- 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 services; and providing oversight in matters relative to the safe operation of bus lines, commuter railroads, and subway systems that are publicly subsidized through the Public Transportation Safety Board.

Today, the New York State transportation network includes:

- A state and local highway system that annually handles more than 100 billion vehicle miles, encompassing more than 110,000 highway miles, 17,000 highway bridges, and numerous other assets, such as large culverts, retaining walls, tunnels, and sign structures.
- An extensive 5,000-mile rail network, over which 42 million tons of equipment, raw materials, manufactured goods, and produce are shipped each year.
- 456 public and private aviation facilities, through which more than 31 million people travel each year.
- More than 130 public transit operators, serving more than 5.2 million passengers each day.
- 12 major public and private ports, which handle more than 110 million tons of freight annually.

The New York State Department of Transportation, with its headquarters at 50 Wolf Road in Albany, is comprised of a centralized Main Office, 11 Regional Offices, and 68 county-based transportation maintenance residencies. Figure 1 provides a map of the NYSDOT Regions.

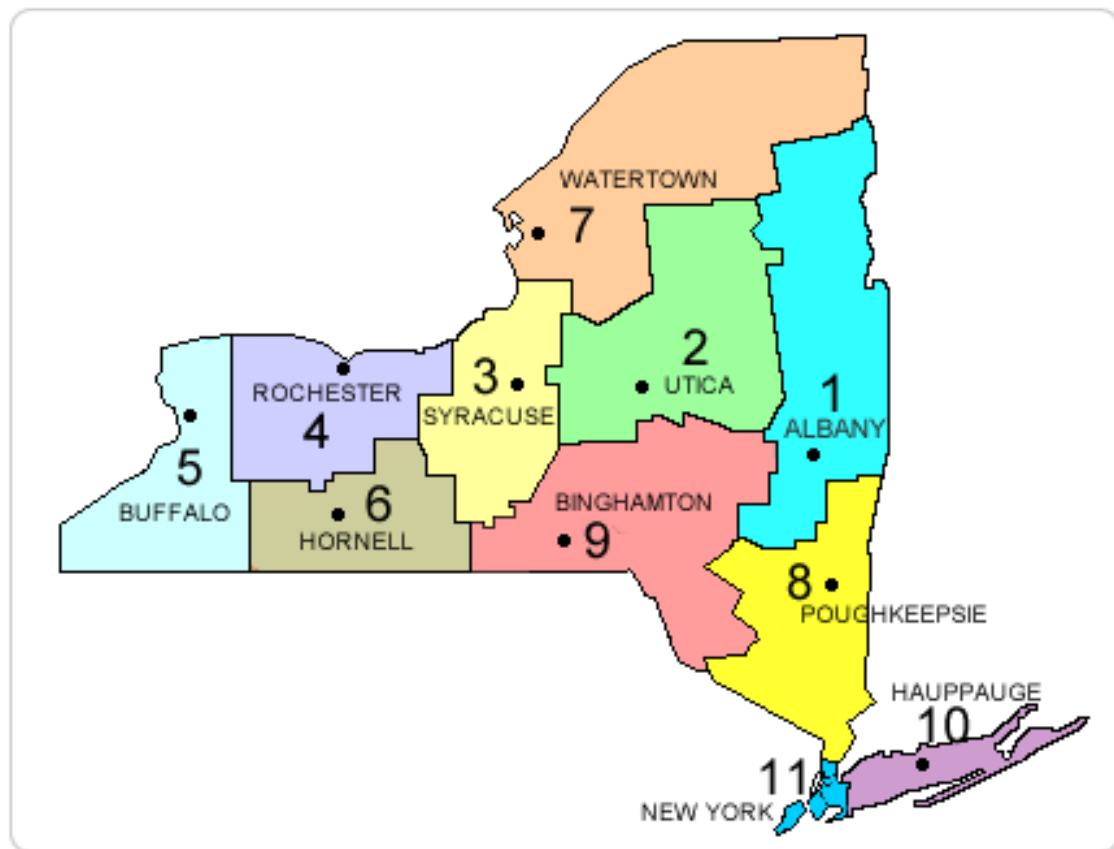


Figure 1, NYSDOT Regions

The NYSDOT Regions include:

- Main Office: Albany, New York
- NYSDOT Region 1: Albany, 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

1.3.2 511NY

New York has a robust 511 system, providing numerous multi-modal call transfer and web-based options, a multi-state (NY, CT, NJ) multi-operator transit trip planner, and coverage for incident, construction, and special event information for all State routes (including arterials, connectors, and interstate highways).

The existing 511NY provides comprehensive traffic, transit, and travel information to the traveling public, in numerous formats (phone, web, My511NY, e-alerts, social media, mobile applications, and developer XML data feeds). It primarily serves commuters, through-travelers, local-travelers, and commercial vehicle operators on a day-to-day basis. 511NY proved immensely useful in late August and early September 2011 for emergency operations due to Hurricane Irene and Tropical Storm Lee, and again in late 2012 during Hurricane/Tropical Storm Sandy. During those times, 511NY became the primary source for transportation system status information for travelers, the media, and the State Office of Emergency Management.

Figure 2 provides a map of the 511NY Calling Regions.

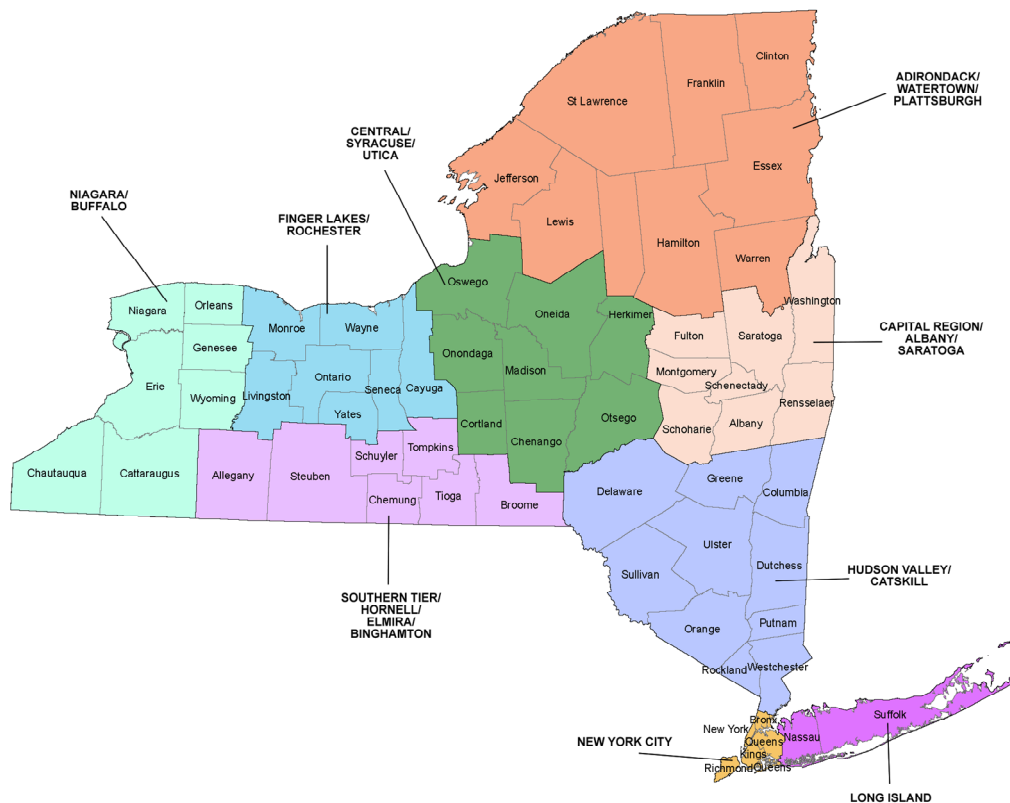


Figure 2, 511NY Calling Regions

Table 1 provides a list of the 511NY calling regions and their telephone numbers. 511NY utilizes calling regions in order to provide users with information specific to that area of the state.

Table 1, 511NY Calling Region Phone Numbers

Toll Free Telephone Number	Region Name
877-690-5110	New York State
877-690-5111	Adirondack
877-690-5112	Capital Region/Albany
877-690-5113	Niagara/Buffalo
877-690-5114	Hudson Valley/Catskill
877-690-5115	Long Island
877-690-5116	New York Metro
877-690-5117	Rochester
877-690-5118	Southern Tier
877-690-5119	Central/Syracuse

The NYSDOT vision for 511NY is to continue to provide comprehensive travel information, include new information as it becomes available, and add additional formats and capabilities for the traveling public to access the most up-to-date travel information available. To accomplish that vision, 511NY needs to update information/applications regularly, including:

- Providing improved information on incidents, status, modal availability, travel speed and time, roadway conditions, congestion, work zones, weather, planned events, and tourism for New York State
- Expanding modes of communication (including telephones, personal communication devices, websites, social media) as the technology develops
- Improving customer applications for information and ride sharing based on customer feedback and operational need
- Increasing the use of data from new or existing transportation resources
- Collecting and distributing Transportation Restriction information
- Allowing users to customize the data presented to suit their own needs

The goal for 511NY is to increase travel and transportation satisfaction through:

- Increased mobility and reliability
- Enhanced safety and security
- Environmental sustainability and impact
- Economic sustainability and competitiveness
- Social equity

NYSDOT recently established a partnership with the Metropolitan Transportation Authority (MTA), the nation's largest transit provider, to consolidate and provide traffic, transit, and travel information for the MTA via 511NY. NYSDOT is hoping to establish a similar partnership with

the Port Authority of New York/New Jersey (PANYNJ) to consolidate and provide traffic, transit, and travel information via 511NY for PANYNJ as well.

1.3.3 511NY Stakeholders

Besides NYSDOT, other important stakeholders will be involved in the 511 solution deployment. These entities include many other transportation-related agencies and authorities such as:

- Metropolitan Transit Authority (MTA)
- New York State Thruway Authority (NYSTA)
- Niagara International Transportation Technology Coalition (NITTEC) - an organization of fourteen agencies in Western New York and Southern Ontario
- Transportation Operations Coordinating Committee (TRANSCOM) - a coalition of 16 transportation and public safety agencies in the New York - New Jersey - Connecticut metropolitan region
- Upstate transit organizations

1.4 NYS Enterprise Shared Services Initiatives

A number of New York State government back-office operations are under consideration for consolidation. Collectively, the initiative is referred to as Enterprise Shared Services. NYSDOT needs to position 511NY as a candidate for the Enterprise Shared Services in two areas: Interactive Voice Response (IVR) and Data Center. It is possible that the IVR and the Data Center functions could be transferred to New York State operations when and if those two operations become available.

Respondents to this RFP are notified that NYSDOT may move the IVR function and the Data Center function during the lifecycle of this engagement. **See Attachment 14: Additional Contingency Services** for more information.

1.5 Title VI Assurance

The New York State Department of Transportation (NYSDOT), in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C 2000d to 2000d-4 and Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the U.S. Department of Transportation and Title 23 Code of Federal Regulations, Part 200, Title VI Program and Related Statutes, as amended, issued pursuant to such Act, hereby notifies all who respond to a written NYSDOT solicitation, request for proposal, or invitation to bid that it will affirmatively ensure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit bids and will not be discriminated against on the grounds of race, color, national origin, sex, age, disability/handicap, or income status in consideration for an award.

1.6 Designated Contacts

The individual named below is the sole point of contact in the State for matters related to this RFP. Pursuant to State Finance Laws 139-j and 139-k, this RFP includes and imposes certain restrictions on communications between NYSDOT and an offeror/bidder during the procurement process. The law provides that, during the Restricted Period of agency procurement for goods or services, offerors may only contact the agency's designated contact person(s), and all contacts, whether permissible or impermissible, shall be recorded. The Restricted Period is the date of the earliest method by which an agency solicits a response from offerors to a contract opportunity until the date the contract is awarded and, if applicable, approved by the Comptroller's Office.

Designated Contact: Peter Russell
Title: Contract Management Specialist 2
Phone: (518) 485-8620
E-mail: Peter.Russell@dot.ny.gov
Address: New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York 12232

1.7 Iran Divestment Act

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. This act may be viewed in its entirety at <http://www.ogs.ny.gov/about/regs/docs/ida2012.pdf>.

Pursuant to SFL § 165-a(3)(b), the Commissioner of the Office of General Services (OGS) has developed and maintains a list (prohibited entities list) of "persons" who are engaged in "investment activities in Iran" (both are defined terms in the law). The list may be found on the OGS website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>. By submitting a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Bidder/Contractor (or any assignee) certifies that, it will not utilize, on such Contract, any subcontractor that is identified on the prohibited entities list. Additionally, any Contractor seeking to renew or extend a Contract or assume the responsibility of a Contract awarded in response to this solicitation, must certify at the time the Contract is renewed, extended or assigned that it is not included on the prohibited entities list.

During the term of the Contract, should the New York State Department of Transportation (NYSDOT) receive information that a Bidder/Contractor (or any assignee) is in violation of the above-referenced certification, NYSDOT will offer the Bidder/Contractor (or any assignee) an opportunity to respond. If the Bidder/Contractor (or any assignee) fails to demonstrate that it has ceased its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then NYSDOT shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

NYSDOT reserves the right to reject any bid or request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award.

1.8 RFP Modifications

If necessary, NYSDOT will issue Modifications to modify conditions or requirements of this RFP. Modifications will be disseminated only by posting on NYSDOT's web site. Modifications will not be mailed out. Proposers are advised to visit the NYSDOT web site (<https://www.dot.ny.gov/portal/page/portal/doing-business/opportunities/consult-ads#1305>) regularly to check for Modifications. The final Modification will be posted on NYSDOT's web site not later than seven calendar days prior to the Proposal due date. If an additional Modification is required within seven days of the Proposal due date, the Proposal due date shall be revised such that there will be seven days from the final Modification to the Proposal due date.

2. PROJECT AND CONTRACT OBJECTIVES

2.1 Project Purpose

The focus of this RFP is to select a consultant to host all existing 511NY services in a new hosted environment, terminate the current 511NY, and implement a number enhancements to improve 511NY. This procurement is driven by NYSDOT's desire to continue to provide 511NY Services to the public.

2.2 System Re-Hosting

NYSDOT is seeking to have the complete suite of 511NY features, functions and services hosted in a new environment. At times throughout this RFP, the terms 'replicate' or 'replication' are used to refer to the re-hosting. NYSDOT does not seek an exact copy, or one-to-one reproduction of the current architecture. Prospective consultants should propose hosting the 511NY services using a new environment. The new 511NY environment should provide the existing functionality, support the enhancements identified in this RFP, and provide support for future growth. 511NY is an evolving system and the re-hosted 511NY will need to be flexible to support improvements unforeseen at this time. NYSDOT is open to creative and flexible proposed solutions. Alternative approaches that meet the requirements, while minimizing risk and cost will be considered.

Existing NYS-owned hardware will remain in service to operate the existing 511NY until the new 511NY is ready to go live. After the new 511NY is operational, the NYSDOT owned 511NY hardware will be shutdown. It is NYSDOT's intent not to own any of the hardware that will support the new 511NY. NYSDOT, however, will remain the owner of the 511NY website domains and all intellectual property from the now existing 511 system.

Existing NYS-owned or licensed software currently used to provide 511NY services may be utilized for re-hosting, depending on license availability, to facilitate the new 511NY hosted services.

At this time, the 511NY website has been recently re-architected and NYSDOT is not looking for any significant changes to it.

The 511NY technical environment consists of two logical and physical environments: Test and Production. Most of the existing 511NY hardware that supports the 511NY technical environment is over 5 years old. NYSDOT will not own, nor be responsible for, any hardware necessary to host or support this procurement. The existing NYSDOT owned hardware will remain in use supporting the existing 511NY. The consultant is expected to provide independent hosting services. When the hosted 511NY becomes the production system, the existing NYSDOT owned hardware will be shut down and not used to provide the 511NY Services specified in this RFP.. The 511NY technical environment is currently hosted by the current vendor, Telvent, at a Savvis data center. Further detail on the existing 511NY hardware and software environment is provided in Attachment 15, '511NY Portfolio'.

2.3 Project Objectives

This project will procure the services of a consultant team who will provide the following 511NY services to NYSDOT:

- Host existing 511NY system and system capabilities in a new environment. Build and transition in such a manner to allow the existing vendor to maintain all regular maintenance and operation duties during the transition phase.
- Maintain all current data feeds and data interfaces, and social media messaging including, but not limited to:

NYSDOT Condition Acquisition and Reporting System (CARS)

NYSDOT Region 8, 10 and 11 Data

Transportation Operations Coordinating Committee (TRANSCOM) OpenReach Data

Niagara International Transportation Technology Coalition (NITTEC) data

Traffic Land video image data feed

Travel Restrictions from the NYSDOT Pre-Screening tool

- Maintain 511NY Twitter Area feeds and Twitter Transit feeds Geo-reference (fuse) of all received data
- Support the NYSDOT Winter Travel Advisory (WTA)
- Re-host the existing 511NY IVR capabilities
- Re-host the existing 511NY website and mobile website
- Re-host the existing 511NY mobile applications
- Implement selected enhancements to 511NY
- Provide transition support if, during the life of the contract, services are transferred to New York State operations
- Provide transition support at the end of any awarded contract

NYSDOT is looking for creative and flexible solutions to replace the existing environment. The new 511NY environment should provide the existing functionality, support the enhancements identified in this RFP, and provide support for future growth. 511NY is an evolving system and the re-hosted 511NY will need to be flexible to support improvements unforeseen at this time.

The existing applications will be provided to the selected consultant for re-use. If it makes sense, the applications can be re-architected and/or re-written.

A brief description of the existing 511NY hardware, software, and interfaces is documented in **Attachment 15**, '511NY Portfolio.' 511NY is a dynamic system and updates occur regularly, therefore, Attachment 15 represents a snapshot of the system at the time of RFP release..

Additionally, **Attachment 5**, 'Existing System Functionality' describes the existing functionality of 511NY. This attachment provides a summary of many, but not all, of the current 511NY functions and features.

2.3.1 Implementation Expectations

NYSDOT expects the following two phases to occur during the life of the contract:

During **Phase 1**, the consultant shall perform the following activities:

- **Project Initiation and Planning** - The consultant will perform project initiation and planning activities for both Phase 1 and Phase 2.
- **Phase 1 Project Execution and Control** - The consultant will perform project execution and control utilizing the plans, schedules, procedures, and templates prepared and anticipated during project initiation and planning.
- **System Re-Hosting** - The consultant will re-host the existing 511NY capabilities – functionality and services in their proposed environment.
- **Go-Live Cutover**- Following completion of acceptance testing, the newly hosted 511NY will go-live in the new Production Environment. The existing system/hardware will be taken off-line and shutdown.

NYSDOT expects the Go-Live Cutover to occur within 8 months of issuing the Notice to Proceed to the Consultant. See the Service Level Addendum (Attachment 16), Section 9 for Overall Performance requirements.

During **Phase 2**, the consultant shall perform the following activities:

- **Phase 2 Project Execution and Control** - The consultant will perform project execution and control utilizing the plans, schedules, procedures, and templates prepared and anticipated during project initiation and planning.
- **System Enhancement** - The consultant will implement the enhancements specified in this RFP into 511NY.
- **System Operation and Maintenance** - The consultant will operate and maintain 511NY for the life of the contract.
- **System Transition** - occurs at the end of the contract's life, wherein the consultant will provide support for transitioning the system to (possibly) another consultant. This support includes keeping the system running and providing documentation, software, and transition support.

The expected activities are further defined in Section 3, Scope of Services.

2.3.2 Transition of Interactive Voice Recording (IVR) and/or Data Center Services to a New York State-operated environment.

NYSDOT may, at its discretion, transition IVR and/or Data Center services from the new hosted location and shift those services to a possible New York State-operated facility. In the event this option is exercised, NYSDOT will require the services of the selected consultant to assist in this task. See <http://www.ittransformation.ny.gov/> for more information regarding the State's overall IT objectives. Please see Attachment 14: Additional Contingency Services for more information.

2.3.3 Additional Requirements

As part of this contract, NYSDOT expects the consultant to purchase approximately 100 miles of commercially available traffic probe data in the first year of the contract. The probe data will be collected from one or more major New York State corridors to be selected at a later date.

During the following years of the contract, NYSDOT will purchase the same 100 miles of data and may request that the consultant purchase up to an additional 1,400 miles of probe data.

2.3.4 Additional Contingency Services

NYSDOT may, at its discretion, request that the consultant provide additional 511NY-related information technology and telephony services not provided for within the basic terms and fees of this RFP for enhancement, maintenance, support, and training. It is expected that such Additional Contingency Services will not exceed 15% of the contact's Maximum Amount Payable (MAP). The additional services are defined in **Attachment 14**, 'Additional Contingency Services.'

2.4 Contract Objectives

2.4.1 Minimum RFP Responsiveness Requirements

Responding consultants must provide all components of **Part I and Part II by the RFP deadline**. Failure to do so may result in the consultant being deemed non-responsive. Consultants deemed non-responsive shall have their proposal removed from further consideration (prior to the technical evaluation of proposals). NYSDOT will not accept facsimile or e-mailed proposals in RFP responses. 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 of the proposal to a delivery service. Complete instructions on the preparation of the proposal can be found in RFP Section 4.

2.4.2 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/>.

- NYSDOT has established a **DBE participation goal of 11% (percent)** for this solicitation. The DBE participation goal relates to the total contract value. A subconsultant **who is certified (at the time of Proposal submission)** as an NYSUCP DBE must provide meaningful participation in the execution of the 511NY services in order to count toward the DBE subconsultant participation goal. Participation by DBE prime consultants is encouraged but will not count toward meeting the 11% contract goal. Meaningful participation is defined as providing commercially useful functions or services. These services should result in 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 NYSDOT conducts its Federally required DBE program, covering such subjects as contract-level goals, good-faith efforts by consultants, and DBE certifications.

https://www.dot.ny.gov/main/business-center/consultants/consultants-repository/2010_dbe_draft_plan.pdf

2.4.3 Term of the Agreement

The base term of the resultant agreement from this solicitation will be three years, with two options for 12-month extensions. **Attachment 1**, 'Draft Contract' contains the Terms and Conditions for this contract.

NYSDOT reserves the right to extend the contract beyond the five years, up to a maximum of 12 months, to enable transition of the 511NY system to the next selected consultant. This extension would provide any time necessary for the consultant to support the next selected consultant in the 2018 timeframe while they re-host and test a new 511NY system. Any such extension will be performed at the rates in effect at the end of the contract. Any extension will need to be approved and executed by NYSDOT and the Office of the State Comptroller before becoming effective.

2.4.4 Ownership of Software Applications, Software Licenses, Data Sources and Social Media Accounts

All applications, software licenses, and data identified for use during this engagement and provided to the consultant for 511NY services will remain the property of NYSDOT. Any intellectual property resulting from 511NY remains the sole property of NYSDOT. Further, any modifications or enhancements implemented during the lifetime of this engagement remain the sole property of NYSDOT. The consultant will be prohibited from re-distributing this intellectual property, for any purpose, to any organization without the prior written approval of NYSDOT. **Attachment 1**, 'Draft Contract,' contains the Terms and Conditions.

All enhancements and updates made to 511NY by the consultant will remain the intellectual property of NYSDOT and be subject to all of the terms and conditions contained in **Attachment 1**, 'Draft Contract.'

2.4.5 Consultant Arrangements

Only one responsive and responsible consultant (or team of consultants wherein the contract will be with the prime consultant) will be retained through this RFP solicitation. Sub-consulting and teaming arrangements are encouraged. Joint ventures are not allowed.

2.4.6 Other Contract Objectives

- Selection of a qualified, responsive, and responsible consultant
- Fair and equitable treatment of all firms expressing interest in and competing for contract award
- Selection of a consultant who meets/exceeds the contract's 11% DBE goal or provides the State with an acceptable good-faith effort

2.4.7 TRANSCOM Non-Disclosure Agreement

The Transportation Operations Committee (TRANSCOM) is a coalition of 16 transportation and public safety agencies in the New York - New Jersey - Connecticut metropolitan region and provides two of the data feeds for 511NY. The data feeds contain 'real-time' event information provided by member agencies of TRANSCOM. Consultants will need to sign up at <http://www.xcm.org/> to obtain the required information concerning the two data feeds. The

consultant may need to execute a Non-Disclosure Agreement (NDA) with TRANSCOM in order to access additional information regarding the two data feeds.

3. SCOPE OF SERVICES

3.1 Overview

NYSDOT currently outsources its 511NY system and owns all the hardware, software and accompanying connections, licenses and peripheral firmware necessary for its operation.

Under this procurement, NYSDOT's strategy is to recreate the entire existing functionality of 511NY via a hosted solution. NYSDOT does not want to own any hardware. The winning consultant will be expected to provision, maintain, and upgrade when necessary, all hardware required to operate the 511NY service.

When under contract, the successful consultant (henceforth referred to as the "selected consultant") will be responsible for providing 511NY services for NYSDOT 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 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 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 services 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.

If the actual start date of the contract is delayed past the expected date stated in Section 6.6, Tentative Schedule of Key Events, and specific individuals proposed as Key Personnel are no longer available, or if specific individuals proposed become unavailable during the life of the contract, the consultant will supply replacement staff at the same level of experience and expertise, subject to approval by the NYSDOT Project Manager. NYSDOT also reserves the right to approve any replacement subconsultant personnel.

3.2 Implementation Phases

NYSDOT expects the following two phases to occur during the life of the contract:

During **Phase 1**, the consultant shall perform the following activities:

- **Project Initiation and Planning** - The consultant will refine and confirm the project scope, schedule, budget, and risk assessment activities. Project Management Plans and the Project Schedule are refined until they form a baseline project plan. The consultant

will set up a secure project document collaboration website to be shared by project team members.

- **Project Execution and Control** - The consultant will provide quality management, risk management, communication management, schedule management, and other planned activities.
- **System Re-Hosting** - The consultant will replicate the existing 511NY capabilities. It should be noted that replication of 511NY is defined as installing, configuring, and testing 511NY functions running in a new environment. Additionally, data residing in the existing 511NY will be migrated to the new 511NY environment. The design and implementation of new environment can utilize a cost-effective technical solution that provides the existing 511NY functional capabilities, and provides a path for future growth and rightsizing based on traffic analysis. As part of this effort, the consultant will be required to test the replicated 511NY to ensure that it can provide the same functionality as the existing environment. Once the replicated 511NY has been accepted by NYSDOT and brought on line, the existing 511NY will be taken off line.
- **Go-Live Cutover**- Following completion of acceptance testing, the newly hosted 511NY will go-live in the new Production Environment. The existing system/hardware will be taken off-line and shutdown.

NYSDOT expects the Go-Live Cutover to occur within 8 months of issuing the Notice to Proceed to the Consultant. See the Service Level Addendum (Attachment 16), Section 9 for Overall Performance requirements.

During **Phase 2**, the consultant shall perform the following activities:

- **System Operation and Maintenance** – Immediately after the Go-Live Cutover, the consultant will operate and maintain 511NY for the life of the contract. Output from this activity includes regular reports, adjustments to system to maintain performance and related work product.
- **Project Execution and Control** - The consultant will provide quality management, risk management, communication management, schedule management, and other planned activities.
- **System Enhancement** - NYSDOT has identified a number of enhancements that the consultant will be expected to incorporate into 511NY, including:

GIS Interoperability enhancements

Including commercially available probe data

Development of Traffic/Transit/Rideshare widgets

Providing enhanced transportation system performance measurement reporting

Mobile Website and Mobile Applications

- **System Transition** - The consultant will provide support at the end of the contract's life, wherein the consultant will provide support for transitioning the system to (possibly)

another consultant. This support includes keeping the system running and providing documentation, software, and transition support. The consultant may need to provide transition support if, during the life of the contract, the data center and IVR services are transferred to New York State operations.

3.3 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, Additional, or Desired.** NYSDOT may eliminate from further consideration any proposal that does not meet all Mandatory requirements as being non-responsive to the RFP.

Definitions:

- **Mandatory** – The requirement must be met in order for the consultant's proposal to be deemed technically responsive to the RFP during the pre-screening evaluation phase. The consultant **must** meet every mandatory requirement. Mandatory requirements are evaluated as either pass or fail and are not included in the proposal score. If the Mandatory requirements are not met, NYSDOT may deem the 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 will numerically score the 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.
- **Additional** – The requirement describes goods or services that the offeror must propose, but that the agency is not obligated to purchase. NYSDOT will evaluate and document the degree of responsiveness and will numerically score responses to requirements denoted as 'Additional.'
- **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 will numerically score responses to requirements denoted as 'Desired.'

3.4 NYSDOT Responsibilities

NYSDOT will be responsible for the following:

- **Maintaining the Website Domain** - NYSDOT will remain as the owner and maintainer of the 511NY website domain names, including all costs associated with the 511NY domains.
- **Appointing a Project Manager** - NYSDOT will appoint a Project Manager who will serve as the single point of contact for the consultant. The NYSDOT Project Manager

will be solely responsible for decisions related to the acceptance and approval of all deliverables provided by the consultant.

- **Accepting Deliverables** - NYSDOT 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 provided by NYSDOT.
- **Approving Design** - NYSDOT is responsible for approving all 511NY design plans, approaches and related architectural decisions.
- **Providing User Acceptance** – NYSDOT is responsible for approving all submitted accepted test plans and performing acceptance testing.
- **Facilitating Internal NYSDOT Communication** – NYSDOT is responsible for facilitating communications among various NYSDOT regions and divisions. NYSDOT will provide contact information, staff descriptions, etc.

3.5 Consultant Responsibilities

The selected consultant shall provide the requested professional consultant services and produce all of the deliverables as specified in this 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 provided must be consistent with state and federal laws and regulations and shall be appropriate and acceptable to NYSDOT.

During the life of the project, NYSDOT 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.

NYSDOT will contract with a single prime consultant to provide the 511NY services as detailed in this RFP. The exact approach and methodologies proposed by the consultant to fulfill the deliverables and requirements of all phases as described below must be provided in the Technical Approach portion of the firm's Part I Technical and Management Proposal. The consultant must address all deliverables for the below phases in their project plan. The consultant can organize and plan for the accomplishment of the work based on their experience with projects of similar scale and scope.

The consultant is responsible for the following:

- **Providing Experienced Personnel** – The selected consultant is responsible for committing fully qualified professional resources to all project phases. NYSDOT reserves the right to approve or reject the replacement of Key Personnel (project leadership) who have responsibility with the 511NY project.
- **Providing an Operations Manager** - The Operation Manager will be the primary contact for NYSDOT for all day-to-day operational questions and/or issues and will be required to

clarify, explain, provide further details, handle necessary technical matters, implement technical changes, and develop administrative procedures.

- **Providing a Project Manager** - The selected consultant is responsible for committing 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. The consultant's Project Manager must hold PMP certification.
- **Providing Services and Deliverables** – The selected consultant shall provide the services and deliverables specified in this RFP and resulting contract. The consultant shall perform all of the activities and tasks in a manner that meets all of the project's and contract's objectives, subject to available state funds. All services provided must be consistent with state and federal laws and regulations and shall be appropriate and acceptable to NYSDOT.
- **Providing 511NY Security** – The selected consultant shall provide a secure environment for the 511NY. All 511NY published data is public. Data transmitted from providers to the hosted 511 platform is assumed secure and reliable. The secure 511NY should provide the following:

System Hardening / System Integrity

Access Control

Data Integrity

Auditability / Forensic

Physical Security

- **Providing 511NY Business Continuity / Disaster Recovery / Failover** – The selected consultant shall provide a Business Continuity, Disaster Recovery, and Failover services.

3.5.1 Project Initiation and Planning

Following the selection of a consultant and contract approval, the consultant will refine and confirm planned project activities during the Project Initiation and Planning phase. Initial Project and Project Management Plans are further refined until they form a more definitive plan for project completion. Consultant Performance Requirements for the Project Initiation and Planning Phase are described in

Table 2.

Table 2, Project Initiation and Planning Consultant Performance Requirements

ID	Requirement	Priority	Deliverable
C-1	<p>The consultant shall refine and deliver its proposed project plans consistent with agreements made during contract finalization. The plan shall address:</p> <ul style="list-style-type: none"> • Work Breakdown Structure (WBS) • Project Schedule (in MS Project 2007 or later format) • Configuration Management • Quality Management • Risk Management • Change Management • Acceptance Management • Issue Management and Escalation • Communication Management • Implementation/Transition (including migration plans and backout plans) <p>The consultant shall thereafter manage the project plan jointly with NYSDOT.</p>	Necessary	Project Plan
C-2	<p>The consultant shall refine and deliver a project staffing plan that identifies individual resources assigned to each of the project activities and ensures that efforts are taken to meet the contract's DBE goal.</p>	Necessary	Staffing Plan
C-3	<p>The consultant shall define and deliver a project training plan that identifies:</p> <ul style="list-style-type: none"> • Go-Live Cutover training activities • 511NY enhancement training activities • Self serve training activities • Knowledge transfer activities • Shared Document Repository training activities 	Necessary	Training Plan
C-4	<p>The consultant shall establish a secure project collaboration web site to share project-specific documents.</p>	Necessary	Collaboration Web Site
C-5	<p>The consultant shall develop and deliver a project Go-Live Cutover Plan that defines the activities necessary to perform system cutover from the existing 511NY environment to the new hosted production 511NY environment, including:</p> <ul style="list-style-type: none"> • Defining the activities to be performed to accomplish the Cutover, including defining the success criteria for each activity • Defining the activities to be performed to ensure that the Cutover has been successful • Providing a schedule of the cutover activities and who will perform each activity • Providing Cutover Contingency Plans to be followed if cutover problems are encountered 	Necessary	Go-Live Cutover Plan

ID	Requirement	Priority	Deliverable
C-6	<p>The consultant shall develop and deliver a project Hosting Plan that defines the activities and environment necessary to securely host the 511NY, including defining the:</p> <ul style="list-style-type: none"> • System Hardening/System Integrity, including the specific actions, procedures and protocols that will be undertake to harden the physical network and servers to prevent unauthorized tampering, the introduction of malware, denial of service attacks, and the like, and at what frequency. • Patch Management that addresses activities that will be taken to address known security vulnerabilities; virus updates; system updates/releases; known bugs and instabilities; and how often these activities will occur. • Access Control that identifies specific actions, procedures or protocols that will occur to ensure that only authorized individuals have direct access to operating system, other system software, and the application software. • Data Integrity that defines the specific actions, procedures or protocols that will occur to protect the data and database from unauthorized tampering or vandalism, and at what frequency. • Audit/Forensics that defines the specific methods that will occur, in the event of an incident, to provide the NYSDOT with an audit trail of all system-level and database transactions. The audit should be able to discern what happened, understand what portion of the system is affected, take steps to prevent a recurrence, and collect information for possible future legal actions. • Physical Security that defines the protection mechanisms to protect the physical system assets from natural or man-made destruction or tampering. • Business Continuity that defines the Backup and Recovery, Disaster Recovery, and Failover/Fall Back mechanisms. • Telecommunications Infrastructure that defines the voice and data connectivity. • Data Maintenance that defines how periodic data maintenance updates will be performed. 511NY receives periodic database structure change requests from the data sources, including: CARS Data changes; WTA Link updates; CCTV inventory updates; and others. 	Necessary	Hosting Plan

3.5.2 Project Execution and Control

During Project Execution and Control, the consultant will utilize the plans, schedules, procedures, and templates prepared and anticipated during Planning. Consultant Performance Requirements for Project Execution and Control are described in Table 3.

Table 3, Project Execution and Control Consultant Performance Requirements

ID	Requirement	Priority	Deliverable
C-11	The consultant shall maintain and provide NYSDOT an up-to-date organization chart and contact list for all consultant personnel assigned to the project, whenever consultant personnel assignments change.	Necessary	Updated Organization Charts and Lists
C-12	The consultant shall implement the project quality management plan defined in the project plan.	Necessary	Project Management
C-13	The consultant shall implement the risk management plan defined in the project plan.	Necessary	Risk Management
C-14	The consultant shall implement the project change control process defined in the project plan.	Necessary	Change Control
C-15	The consultant shall implement the project issue management and escalation process defined in the project plan.	Necessary	Issue Management
C-16	The consultant shall implement the project communication plan defined in the project plan.	Necessary	Communication Management
C-17	The consultant shall implement the project acceptance management process defined in the project plan.	Necessary	Acceptance Management
C-18	The consultant shall implement the project implementation and transition processes as defined in the project plan.	Necessary	Support and Transition Management
C-19	The consultant shall implement the project configuration management process defined in the project plan.	Necessary	
C-20	<p>The consultant shall attend all project meetings, to be held at Albany, NY, including but not limited to:</p> <ul style="list-style-type: none"> • Kickoff Meeting – Within two weeks of final contract approval, a kickoff meeting will be held at State offices with the full project team to discuss applicable start-up procedures; • Project Development Meetings – two or more project team members are to attend meetings related to project development and implementation as defined in the project communication plan and project schedule; • Status Meetings – the Project Manager and two or more project team members are to attend periodic project status meetings to review the progress and status of the tasks, problem areas, work to be accomplished, and other relevant items; • Executive Steering Committee Meetings – the Project Manager is to attend monthly Executive Steering Committee meetings held at State offices to provide State executive staff and stakeholders with project status and accomplishments to date. 	Necessary	Meeting Materials
C-21	The consultant shall prepare pre-meeting and post-meeting documentation for project meetings.	Necessary	Meeting Materials

ID	Requirement	Priority	Deliverable
C-22	The consultant shall provide a written monthly report of project status details, including: accomplishments, major issues, items behind schedule, and plans for the upcoming month. The monthly report shall be submitted to NYSDOT no later than 10 days after the end of the preceding month.	Necessary	Meeting Materials
C-23	The consultant shall include issue-tracking reports in its periodic status reports.	Necessary	Issue Tracking Reports
C-24	The consultant shall develop training materials in accordance with the approved 511NY Training Plan.	Necessary	Training Materials
C-25	The consultant shall ensure that all project deliverables are reviewed and approved by NYSDOT prior to acceptance.	Necessary	
C-26	The consultant shall identify key delivery milestones in the project work plan.	Necessary	
C-27	The consultant shall implement the project Hosting Plan.	Necessary	Hosted System
C-28	The consultant shall set up a pre-production 511NY environment that is stable and secure.	Necessary	Pre-Production 511NY Environment
C-29	The consultant shall set up a production environment that is stable and secure.	Necessary	Production 511NY Environment

3.5.3 System Re-Hosting

The purpose of System Re-Hosting is to re-host the existing 511NY in a new environment that satisfies the existing functionality. A description of the existing 511NY hardware, software and interfaces is documented in **Attachment 15** '511NY Portfolio'. Consultant Performance Requirements for the system re-hosting activities are described in Table 4.

Table 4, System Re-Hosting Consultant Performance Requirements

ID	Requirement	Priority	Deliverable
C-41	The consultant shall host the existing 511NY material contained in the ProjectSolve repository on a new project collaboration website.	Necessary	Collaboration Web Site
C-42	The consultant shall replicate the 511NY functionality by means of a hosted solution.	Necessary	Replicated Functionality
C-43	The consultant shall negotiate with both wireline and wireless telecommunications providers on behalf of NYSDOT to order, install, implement, manage, monitor, and maintain 511 service and ensure that the 511 dial code delivers callers to the designated toll-free number, and terminates calls at the 511 IVR system (a list of telecommunications providers is available from the New York State Public Service Commission at www3.dps.ny.gov/T/Telco.nsf/ActiveWeb?OpenView&Count=100).	Necessary	511 IVR System Telecom Provider Coordination
C-44	The consultant shall provide a system architecture document describing the system hardware, system software, supporting tools, network diagrams, and redundant infrastructure network diagrams and documentation for the replicated 511NY infrastructure.	Necessary	System Architecture Document

ID	Requirement	Priority	Deliverable
C-45	The consultant shall update and deliver system security design documentation that describes 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 replicated system and system data.	Necessary	System Security Design Document
C-46	The consultant shall schedule and hold a 511NY Re-Hosting System Design Review with NYSDOT to review the 511NY system architecture and the 511NY system security design. This review will be held prior to the start of system replication. System Replication shall not start until NYSDOT has approved the System Architecture Document and the System Security Design Document.	Necessary	Approved System Architecture Document Approved System Security Design Document
C-47	The consultant shall replicate the existing 511NY Data Interfaces.	Necessary	Operating 511NY
C-48	The consultant shall re-host the existing 511NY Data Fusion capability.	Necessary	Operating 511NY
C-49	The consultant shall re-host the existing 511NY IVR System capability.	Necessary	Operating 511NY
C-50	The consultant shall re-host the existing 511NY Website.	Necessary	Operating 511NY
C-51	The consultant shall re-host the existing 511NY My511NY capability.	Necessary	Operating 511NY
C-52	The consultant shall re-host the existing 511NY Rideshare capability.	Necessary	Operating 511NY
C-53	The consultant shall re-host the existing 511NY Mobile Applications.	Necessary	Operating 511NY
C-54	The consultant shall re-host the existing 511NY Mobile Website.	Necessary	Operating 511NY
C-55	The consultant shall re-host the existing 511NY Floodgate Messages capability.	Necessary	Operating 511NY
C-56	The consultant shall re-host the existing 511NY WDMS capability.	Necessary	Operating 511NY
C-57	The consultant shall re-host the existing 511NY Twitter data feed capability.	Necessary	Operating 511NY
C-58	The consultant shall re-host the existing 511NY website content management system. The 511NY website content management system is used to maintain FAQs, items on website home pages, alerts, developer page content, etc.	Necessary	Operating 511NY
C-59	The consultant shall provide documentation on the 511NY Twitter data feed capability, describing: <ul style="list-style-type: none"> • The path that 511NY data takes until it results in a tweet • Any Web Services used • Any Twitter APIs used • Any Twitter accounts used • All Twitter area feeds configuration and setup • All Twitter subway transit feeds configuration and setup • The process to follow to add Twitter area or transit feeds • Any custom code used to provide the area feeds or transit feeds. 	Necessary	System Design Documentation
C-60	The consultant shall update the existing system design documentation to reflect differences in the replicated environment.	Necessary	System Design Documentation

ID	Requirement	Priority	Deliverable
C-61	The consultant shall develop a data migration plan, subject to NYSDOT approval, that defines how the existing 511NY migrated data will be tested in the re-hosted Pre-Production Environment.	Necessary	Data Migration Plan
C-62	The consultant shall schedule and hold a 511NY Data Migration Readiness Review where the 511NY Data Migration Plan will be reviewed with NYSDOT. This review will be held prior to the start of data migration. Acceptance Testing shall not start until NYSDOT has approved the 511NY Data Migration Plan.	Necessary	Approved 511NY Data Migration Plan
C-63	The consultant shall migrate all existing 511NY data from the existing location to the Pre-Production Environment in the new data center.	Necessary	Migrated System Data
C-64	The consultant shall update the existing 511NY Operations and Maintenance Plan, subject to NYSDOT approval, to incorporate any necessary changes resulting from the system replication effort.	Necessary	511NY Operations and Maintenance Plan,
C-65	The consultant shall update the following existing system acceptance test plans, subject to NYSDOT approval, to incorporate any necessary changes resulting from the system replication effort: <ul style="list-style-type: none"> • 511NY Border Crossing SAT Plan • 511NY Mobile Application SAT Plan • 511NY Mobile Web SAT Plan • 511NY My511 SAT Plan • 511NY TRANSCOM DI SAT Plan • 511NY Website SAT Plan • 511NY WTA Enhancements SAT Plan • 511NY WTA Test Plan • Geoserver SAT • VMS Messages on Public Web and XML Feed SAT Plan • IVR Acceptance Test Plan • WDMS SAT Plan 	Necessary	System Acceptance Test Plan
C-66	The consultant shall develop system acceptance test plans for the following: <ul style="list-style-type: none"> • Rideshare • Floodgate Messages • WDMS • Web • Twitter 	Necessary	System Acceptance Test Plan
C-67	The consultant shall schedule and hold a 511NY Acceptance Test Readiness Review meeting to review the 511NY Acceptance Test Plans, data migration results, and test readiness with NYSDOT. This review will be held prior to the start of system acceptance testing. Acceptance Testing shall not start until NYSDOT has approved all of the updated 511NY Acceptance Test Plans.	Necessary	Approved 511NY Acceptance Test Plans
C-68	The consultant shall perform data migration testing of the replicated 511NY system installed in the Pre-Production Environment.	Necessary	Test Results

ID	Requirement	Priority	Deliverable
C-69	The consultant shall perform system acceptance testing of the replicated 511NY system following the NYSDOT approved versions of the system acceptance test plans running in the Pre-Production Environment.	Necessary	Operating 511NY
C-70	The consultant shall perform system security testing of the replicated 511NY system in the Pre-Production Environment. Test results shall be submitted to NYSDOT no later than 10 days after the test.	Necessary	Test Results
C-71	The consultant shall deliver data migration test results of the replicated 511NY system in the Pre-Production Environment. Test results shall be submitted to NYSDOT no later than 10 days after the test cycle has been completed.	Necessary	Test Results
C-72	The consultant shall deliver system acceptance test results of the replicated 511NY system in the Pre-Production Environment. Test results shall be submitted to NYSDOT no later than 10 days after the test cycle has been completed.	Necessary	Test Results
C-73	The consultant shall deliver system security test results of the replicated 511NY system in the Pre-Production Environment. Test results shall be submitted to NYSDOT no later than 10 days after the test cycle has been completed.	Necessary	Test Results
C-74	The consultant shall schedule and hold a 511NY Acceptance Test Results Review with NYSDOT to review the results of the 511NY Acceptance testing performed in the Pre-Production Environment. This review will be held prior to the promotion of the 511NY system to the 511NY Production Environment. Promotion of 511NY to the Production Environment shall not start until NYSDOT has approved the results of the Acceptance Testing performed in the Pre-Production Environment.	Necessary	Approved Results of Acceptance Testing
C-75	The consultant shall promote the approved replicated 511NY applications and data from the Pre-Production Environment to the Production Environment.	Necessary	Operating 511NY
C-76	The consultant shall support NYSDOT while performing system acceptance testing of the replicated 511NY system in the Production Environment.	Necessary	Test Results
C-77	The consultant shall support NYSDOT while performing system security testing of the replicated 511NY system in the Production Environment.	Necessary	Test Results
C-78	The consultant shall deliver system acceptance test results of the replicated 511NY system in the Production Environment. Test results shall be submitted to NYSDOT no later than 10 days after the test cycle has been completed.	Necessary	Test Results
C-79	The consultant shall deliver system security test results of the replicated 511NY system in the Production Environment. Test results shall be submitted to NYSDOT no later than 10 days after the test cycle has been completed.	Necessary	Test Results

NYSDOT reserves the right to execute the acceptance tests against 511NY while running in the Test and Production environments prior to accepting the consultant's results.

3.5.4 Go-Live Cutover

When the consultant has completed re-hosting 511NY in the new Production Environment, the consultant will perform production Go-Live Cutover activities. These activities represent the final transition activities to make 511NY operational in the new environment. NYSDOT expects the Go-Live Cutover to occur within 8 months of issuing the Notice to Proceed to the Consultant. See the Service Level Addendum (Attachment 16), Section 9 for Overall Performance requirements.

Consultant Performance Requirements for Go-Live Cutover are described in Table 5.

Table 5, Go-Live Cutover Consultant Performance Requirements

ID	Requirement	Priority	Deliverable
C-91	The consultant shall schedule and hold a 511NY Re-Hosting Cutover Readiness Review with NYSDOT. This review will be held prior to the cutover of the 511NY from the existing environment to the new hosted environment. Cutover of 511NY to the Production Environment shall not start until NYSDOT has: <ul style="list-style-type: none"> Approved the results of the Acceptance Testing performed in the Production Environment Approved the updated 511NY Operations and Maintenance Plan Received the Go-Live Cutover training identified in the approved 511NY Training Plan. 	Necessary	511NY Ready for Cutover
C-92	As part of the 511NY Go-Live Cutover, the consultant shall operate the new re-hosted 511NY in parallel with the existing 511NY for a period of time. NYSDOT will determine the amount of time that the two systems will operate in parallel before the actual cut over occurs.		
C-93	The consultant shall perform cutover from the existing 511NY system to the new hosted 511NY system following the activities and schedule defined in the Go-Live Cutover Plan.	Necessary	511NY
C-94	The consultant shall provide operations and maintenance support upon 511NY Go-Live Cutover according to the approved 511NY Operations and Maintenance Plan.	Necessary	511NY Operations and Maintenance Support

3.5.5 System Enhancement

In addition to recreating the hosting and operation of 511NY, NYSDOT would like a number of improvements, new functions and related upgrades to 511NY, collectively referred to as System Enhancements. The design, build, implementation and testing of System Enhancements will initiate immediately following System Replication acceptance.

The 511NY Enhancements are grouped into the following categories:

- GIS Interoperability Enhancement
- Probe Data Enhancements
- Traffic/Transit/Rideshare Widgets

- Transportation System Performance Measurement Reporting Enhancements
- Mobile Website and Mobile Applications Enhancements
- Transit Trip Planner

The consultant will need to implement the System Enhancements briefly described in the following sections. For each enhancement, activities should include Design, Construction, Test Planning, Integration Testing, System Acceptance, System Implementation, and Business Continuity Testing.

3.5.5.1 GIS Interoperability

NYSDOT and partner agencies need easier access to the 511NY data in a GIS format. NYSDOT utilizes an ArcGIS Server that has a Representational State Transfer (REST) API interface enabled. The ArcGIS Server REST API provides a simple, open Web interface to services hosted by ArcGIS Server. All resources and operations exposed by the REST API are accessible through a hierarchy of endpoints or Uniform Resource Locators (URLs) for each GIS service published with ArcGIS Server.

More information is available at the ArcGIS REST API reference manual:
<http://resources.arcgis.com/en/help/rest/apiref/>

The GIS Interoperability Enhancement Requirements are defined in Table 6.

Table 6, GIS Interoperability Enhancement Requirements

ID	Requirement	Priority
ENH-1	The system shall provide a 511NY GIS Data Feed for all current events depicted in the 511NY application through an Esri GIS REST service.	Necessary
ENH-2	The 511NY GIS Data Feed shall provide complete and real-time 511NY event data to authorized users.	Necessary
ENH-3	The 511NY GIS Data Feed shall be provided to users free of charge.	Necessary
ENH-4	The system shall enable NYSDOT users and other authorized users to access the 511NY GIS Data Feed directly (without authentication).	Necessary
ENH-5	The system shall enable external (non-NYSDOT) users to request access to 511NY GIS Data Feed.	Necessary
ENH-6	The 511NY GIS Data Feed shall have the ability to log usage statistics for reporting purposes.	Necessary
ENH-7	The 511NY GIS Data Feed Access Request page shall contain the NYSDOT Disclaimer.	Necessary
ENH-8	The system shall provide NYSDOT with the capability to include one or more additional permanent layers on the interactive map in the 511NY application and 511 NY Mobile application to display using the Esri GIS REST services provided from the NYSDOT Esri ArcGIS Server environment. An example additional layer may depict commercial vehicle restrictions,	Necessary

ID	Requirement	Priority
ENH-9	The system shall provide the same user interface capabilities for additional layers provided by the NYSDOT ArcGIS Server environment as those existing in the 511NY application, including: <ul style="list-style-type: none">• Toggle visibility• Mouse over information box• Click on information window	Necessary
ENH-10	The system shall provide NYSDOT the capability to temporarily add a layer provided by the NYSDOT ArcGIS Server environment to provide the traveling public with important information during an emergency or other special event. This will include NYSDOT's Road Status/Damage Assessment (RSDA) GIS service.	Necessary

3.5.5.2 Including Commercially Available Probe Data

NYSDOT intends to acquire commercially available probe data in order to provide travel times for urban highways. Federal regulation 23 CFR 511 **mandates** that NYS provide travel times on all urban state highways. Federal regulation 23 CFR 511 establishes the provisions and parameters for the Real-Time System Management Information Program. Commercially available probe data is becoming more popular and is improving in both quality and coverage. NYSDOT is looking to acquire probe data in order to provide travel time estimates on state highways and to meet the requirements of 23 CFR 511. Federal regulation 23 CFR 511 provides the minimum requirements for traffic and travel conditions made available by real-time information programs in the areas of: construction activities; roadway or lane blocking incidents; roadway weather observations; travel time information; information accuracy; and information availability.

NYSDOT will purchase commercially available traffic probe data as part of this contract. The probe data will be collected from a major New York State corridor to be selected at a later date. NYSDOT expects to purchase approximately 100 miles of traffic probe data in the first year of the contract, and up to 1400 additional miles in successive years through the resulting contract. The consultant shall purchase and integrate commercial probe data into 511NY.

Currently, 511NY receives speed/travel time data every 60 seconds from the following existing NYSDOT probe data resources:

- Transmit readers and other sources
- Loop Detectors
- Acoustic Detectors
- Bluetooth Detectors
- Video
- Sensys wireless vehicle detection sensors

For the first year of use, NYSDOT would like to limit the purchase of probe data to 100 miles to support the 511NY probe data enhancement requirements defined in

Table 7. NYSDOT will select the initial 100 miles of probe data from one or more major New York State transportation corridors to be determined at a later date.

For the remaining period of the contract, NYSDOT may purchase additional probe data for up to a maximum of 1400 miles of NYS highways. NYSDOT will select the locations of the additional probe data from major New York State transportation corridors to be determined at a later date.

The probe data may include commercial carrier data, blue tooth data, and/or cell phone data. The probe data must not contain any NYS generated data (NYS EZPass, loop detectors). NYSDOT will provide NYS generated probe data to the consultant for integration into 511NY.

The 511NY probe data enhancement requirements are defined in

Table 7.

Table 7, Probe Data Enhancement Requirements

ID	Requirement	Priority
ENH-41	The system shall accept probe data from up to five (5) probe data sources.	Necessary
ENH-42	The system shall accept probe data in XML format.	Necessary
ENH-43	The system shall accept probe data updates per configurable amount	Necessary
ENH-44	The system shall accept probe data traffic speed information 24 hours per day, 7 days per week, and 365 days a year.	Necessary
ENH-45	The system shall provide appropriate and compatible translation tables that enable translation of probe data traffic speed information between the probe data source's transportation network definition and 511NY's transportation network definition.	Necessary
ENH-46	Where probe data is available, the system shall collect and translate the probe data traffic speed information from the source's transportation network location to 511NY's transportation network location.	Necessary
ENH-47	The system shall detect and provide users with an indication when probe data traffic average speed data quality is suspect (data unavailable due to lack of traffic, etc.).	Necessary
ENH-48	The system shall provide users with any available active and historical probe data traffic average speed information for the selected roadway segments/corridors.	Necessary
ENH-49	The system shall provide users with probe data traffic speed information that has a maximum error of 10 MPH in each of the following speed ranges: 0-30 MPH, 30-45 MPH, 45-60 MPH and > 60 MPH.	Necessary
ENH-50	Where probe data is available, the system shall provide archived 15 minute aggregated roadway speed data for all selected roadway segments/corridors for up to 365 days.	Necessary
ENH-51	The system shall archive roadway speed data such that the data is available to NYSDOT users 24 hours a day, 365 days a year.	Necessary
ENH-52	After one year, archived roadway speed data shall be archived on consultant operated servers with NYSDOT access provided.	Necessary
ENH-53	The system shall provide web-based access for authorized users to access archived roadway speed data.	Necessary
ENH-54	Where probe data is available, the system shall provide web-based access for authorized users to access historical speeds, in 15-minute bins, for up to 365 days for all selected roadway segments/corridors.	Necessary
ENH-55	Once the selected roadway segments/corridors historical roadway speed archive containing 15-minute bins has 365 days' worth of data, the system shall maintain a minimum of 365 days' worth of archived speed data.	Necessary
ENH-56	Where probe data is available, the system shall provide users with travel time data for all trip links within the selected roadway segments/corridors.	Necessary
ENH-57	The system shall generate alerts to designated users when reliable probe data indicates traffic speeds are 10 MPH lower than the posted speed(s) for the selected roadway segments/corridors and no traffic events have been identified elsewhere within the system.	Necessary
ENH-58	The system shall enable authorized users with access to all of the active and/or archived traffic data.	Necessary

3.5.5.3 Traffic/Transit/Rideshare Widgets

NYSDOT requires 511NY widgets be developed that would provide basic traffic/transit and Rideshare information. The 511NY widgets would be provided on the 511NY website, under developer resources, for developers to include on their websites. NYSDOT will create, maintain, and promote developed widgets to other government agencies, companies, and transportation partners. Currently, 511NY has a Transit Trip Planner widget available for the public to include on their websites. See <http://ridemts.org/> for an example.

The 511NY Traffic/Transit/Rideshare Widgets requirements are defined in Table 8.

Table 8, Traffic/Transit/Rideshare Widgets Enhancement Requirements

ID	Requirement	Priority
ENH-71	The system shall provide a widget that will have traffic and transit information.	Necessary
ENH-72	The system shall integrate with the 511NYRideshare Widget.	Necessary
ENH-73	The system shall provide a widget that enables users to make selections from a Google map.	Necessary
ENH-74	The system shall provide a widget that enables users to register for 511NYRideshare.	Necessary
ENH-75	The system shall provide a widget that enables users to register for My511NY.	Necessary
ENH-76	The system shall provide a widget that enables users to input basic commuting information (origin, destination, times) and receive matches to other commuters making similar commutes on similar schedules.	Necessary
ENH-77	The system shall provide a widget that enables users to input basic transit information (start location, end location, carrier, date, trip options and special needs) and receive a list of connecting options (buses, airports, taxis, trains) based on that information.	Necessary
ENH-78	The system shall provide a widget that enables users to receive weather alerts and forecasts for each 511NY Calling Region and Statewide.	Necessary
ENH-79	The system shall provide a widget that enables users to select a Region or Corridor and receive information on incidents, construction or special events for that Region or Corridor.	Necessary

3.5.5.4 Transportation System Performance Measurement Reporting Enhancements

Among the goals of 511NY are to reduce overall traffic congestion, reduce emissions, and generally improve the driving experience throughout New York State. In order to track NYSDOT's progress toward that goal, enhanced performance measure reporting is needed, which will enable NYSDOT to track additional transportation system criteria.

The Transportation System Performance Measurement Enhancement Requirements are defined in

Table 9.

Table 9, Transportation System Performance Measurement Enhancement Requirements

ID	Requirement	Priority
ENH-91	The system shall provide a Travel Time by Time of Day measurement in the monthly performance report, computed by calculating the travel times on roadway segments and comparing them over similar seasonal dates and times to determine how much variation occurs.	Necessary
ENH-92	The system shall provide average Recurring Travel Delay measurements in the monthly performance report, computed by measuring delays in the average trip travel time over similar seasonal dates and times to determine how much variation occurs. Average trip travel time is directly impacted by recurring and non-recurring congestion delay for travelers on the highway network.	Necessary
ENH-93	The system shall provide Lane Performance measurements based on user defined variables including roadway segment lengths and time frames such as monthly, quarterly and yearly.	Necessary
ENH-94	The system shall provide Traffic Incident Management performance measures such as Incident Clearance time, Road Clearance time, reduction in secondary accidents and an estimate of the costs associated with all Traffic Incident Management performance measures.	Necessary
ENH-95	The system shall provide a Reliability Index measurement for the transportation network based on user defined variables including roadway segment lengths and time frames such as monthly, quarterly and yearly.	Necessary
ENH-96	The system shall provide a Measure of Emissions along user defined roadway segment lengths. The emissions calculation should include the emissions reduction of Carbon Monoxide (CO), Hydrocarbon (HC), and Nitrous Oxides (NOx) emitted as a result of congestion.	Necessary
ENH-97	The system shall provide an Estimated Reduction in Emissions along user defined roadway segment lengths that can be attributed to use of the 511NY system. The calculation of some of these measurements may require historical data and input from NYSDOT.	Necessary
ENH-98	The system shall provide a Measure of Fuel Consumption along user defined roadway segment lengths.	Necessary
ENH-99	The system shall provide an Estimated Reduction in Fuel Consumption that can be attributed to use of the 511NY system. The calculation of some of these measurements may require historical data and input from NYSDOT.	Necessary
ENH-100	The system shall provide an estimate of the costs and savings associated with all the performance measures identified herein, as appropriate, that can be attributed to use of the 511NY system.	Necessary

3.5.5.5 Mobile Website and Mobile Applications Enhancements

NYSDOT is looking for consistency across the 511NY user experience. The 511NY Mobile Website and Mobile Applications have been developed to have a similar look and feel. The enhancement requirements specified in this section address those areas where differences occur.

The Mobile Website and Mobile Applications Enhancement Requirements are defined in

Table 10.

Table 10, Mobile Website and Mobile Applications Enhancement Requirements

ID	Requirement	Priority
ENH-111	The system shall enable mobile users to sign in to My511NY.	Necessary
ENH-112	The system shall enable mobile users to sign in to Ridematch.	Necessary
ENH-113	The system shall enable mobile users to to set their default location.	Necessary
ENH-114	The system shall provide mobile users with links to 511NY on Facebook, Twitter,Pinterest, Flickr, and YouTube.	Necessary
ENH-115	The system shall enable mobile users to complete an online 511NY survey.	Necessary
ENH-116	The system shall enable mobile users to enter a text string and perform searches within the entire 511NY site.	Necessary
ENH-117	The system shall provide mobile users with a link that allows them to access dynamic emergency information (emergency information updates as situations change).	Necessary
ENH-118	The system shall display the NYWorks Logo on mobile device home screens.	Necessary
ENH-119	The system shall provide mobile users with a combined traffic and transit map.	Necessary
ENH-120	The system shall enable mobile users to select Incidents on a combined traffic and transit map.	Necessary
ENH-121	The system shall enable mobile users to display Active vs. Planned Construction on a combined traffic and transit map.	Necessary
ENH-122	The system shall enable mobile users to display Transit Incidents on a combined traffic and transit map.	Necessary
ENH-123	The system shall enable mobile users to display Active vs. Planned Transit Construction on a combined traffic and transit map.	Necessary
ENH-124	The system shall enable mobile users to display Active vs. Planned Special Events on a combined traffic and transit map.	Necessary
ENH-125	The system shall enable mobile users to display Rest Area Info on a combined traffic and transit map.	Necessary
ENH-126	The system shall enable mobile users to display General Information on a combined traffic and transit map.	Necessary
ENH-127	The system shall enable mobile users to display Closures due to incidents, special events and construction on combined traffic and transit map.	Necessary
ENH-128	The system shall enable mobile users to display truck restriction information on a combined traffic and transit map.	Necessary
ENH-129	The system shall enable mobile users to set a Map Refresh Rate for a combined traffic and transit map.	Necessary
ENH-130	The system shall enable mobile users to Save a Map for a combined traffic and transit map.	Necessary
ENH-131	The system shall enable mobile users to Clear a Map on a combined traffic and transit map.	Necessary
ENH-132	The system shall enable mobile users to display Cameras on a combined traffic and transit map.	Necessary
ENH-133	The system shall enable mobile users to display the Winter Road Conditions Layer on a combined traffic and transit map.	Necessary
ENH-134	The system shall enable mobile users to display speeds on a combined traffic and transit map.	Necessary

ID	Requirement	Priority
ENH-135	The system shall enable mobile users to display a Variable Message Signs layer on a combined traffic and transit map.	Necessary
ENH-136	The system shall enable mobile users to display Major Crossings on a combined traffic and transit map.	Necessary
ENH-137	The system shall enable mobile users to display one or more Regions on a combined traffic and transit map.	Necessary
ENH-138	The system shall provide mobile users with links to 511 systems of bordering states and provinces.	Necessary
ENH-139	The system shall provide mobile users with a combined traffic and transit event list.	Necessary
ENH-140	The system shall enable mobile users to filter the event list by event type.	Necessary
ENH-141	The system shall enable mobile users to filter the event list by Active or Planned Construction.	Necessary
ENH-142	The system shall enable mobile users to filter the event list by Active or Planned Special Events.	Necessary
ENH-143	The system shall enable mobile users to filter the event list by Roadway.	Necessary
ENH-144	The system shall enable mobile users to filter the event list by County.	Necessary
ENH-145	The system shall enable mobile users to filter the event list by Region.	Necessary
ENH-146	The system shall enable mobile users to search the event list fields.	Necessary
ENH-147	The mobile user trip planner shall utilize Google Auto complete for the Start and End fields.	Necessary
ENH-148	The system shall enable mobile users to view multiple webcrawls.	Necessary
ENH-149	The system shall enable mobile users to select Travel Links.	Necessary
ENH-150	The system shall display a hyperlink or hyperlinked logo that enables website or mobile application users to navigate to a 511NY highway sign sponsor's website.	Necessary

3.5.5.6 Transit Trip Planner

The current 511NY offers a Transit Trip Planner which provides point-to-point transit itineraries based on published carrier transit schedules. The carrier schedule data is collected and maintained using a vendor-built, NYSDOT-owned Web Data Management System (WDMS). Please see Attachment 19: Current WDMS Operations and Maintenance Tasks and Attachment 20: Transit Trip Planner Participants for more information. As part of this RFP, NYSDOT requires meeting two primary objectives for maintaining and enhancing the Trip Planner function:

ID	Requirement	Priority
	OBJECTIVE 1: Operate and maintain the existing Transit Trip Planning functionality	n/a
ENH-161	<p>The re-hosted 511NY system will provide a Transit Trip Planner utility, consistent with the existing function (presently provided by the TranStar itinerary engine). Consultants should preview the currently functioning 511NY Transit Trip Planner for more details. (Attachment 5, Existing System Functionality offers more function details on the 511NY Trip Planner, as well as the NYSDOT Contractor web site - https://www.dot.ny.gov/portal/page/portal/doing-business/opportunities/consult-ads#1305.) At a summary level the existing transit trip planner:</p> <ul style="list-style-type: none"> • Allows end-users to receive point-to-point transit itineraries based on published transit schedules. • Provides the end-user a means of identifying trip preferences: Origin and Destination Location (via form entry or map click), Departure Date, Departure Time, Carrier preference, Trip Options and Special Needs. • Calculates/produces, based on the end-user's input above: an itinerary of departure times, arrival times, locations, carrier (and linking to external carrier service information) and travel times (by trip segment). • Itinerary results are provided on a results page that include text and map representation of recommended trip elements as well as options for modifying preferences to generate a new/revised itinerary. 	Necessary
ENH-162	The Trip Planner shall continue to utilize the existing transit carriers' transit schedules, at a minimum (approximately 120 carriers)	Necessary
ENH-163	The geographic extent of the transit trip planner shall be maintained, at a minimum, to the existing area of Statewide New York and bordering states of New Jersey and Connecticut.	Necessary

ID	Requirement	Priority
ENH-164	<p>The Trip Planner maintenance shall continue to support transit schedules from carriers via the following two methods:</p> <ul style="list-style-type: none"> Web Data Management System (WDMS) – WDMS is a NYSDOT-owned browser based transit schedule data management utility used by regional (smaller) transit systems to edit and manage their carrier schedules. WDMS stores and exports data in industry standard formats - Schedule Data Profile/General Transit Feed Specification/ (GTFS/SDP). <ul style="list-style-type: none"> Maintenance tasks will include: <ul style="list-style-type: none"> Provide technical assistance to transit systems in using WDMS Monitor/liaison to transit agencies regarding planned schedule changes – manage schedule data update workflow Inputting data into WDMS on behalf of operators who do not supply SDP/GTFS or directly input to WDMS themselves. Batch electronic file loading – Larger transit systems, that do not use WDMS to manage their schedule data, supply SDP/GTFS files that for loading into the trip planner database. <ul style="list-style-type: none"> Maintenance tasks include providing technical assistance to transit systems in producing validated SDP/GTFS files for input into the trip planner 	Necessary
	OBJECTIVE 2: Improve the overall performance of the Trip Planner by implementing a new, open and flexible trip planner engine.	n/a
ENH-171	The new transit trip planning engine shall be incorporated into the new re-hosted 511NY system.	Necessary
ENH-172	The new transit trip planner shall continue to reference the current 120+ carriers and permit the addition of carriers as needed.	Necessary
ENH-173	The new transit trip planner shall expand the coverage of the system to permit multi-state travel beyond the current 3-State implementation to encompass a broader long distance travel shed of bordering states: New Hampshire, Vermont, Massachusetts, Pennsylvania and other NE Corridor States.	Necessary
ENH-174	The trip planner shall have a fare calculation module that can manage settings for free transfers and multi-leg/multi-agency trips.	Necessary
ENH-175	The trip planner shall support itinerary calculation across multiple schedule periods/versions (current and future), for multiple carriers and support calendar-based schedules to support weekend, holiday or special day alternate schedules.	Necessary
ENH-176	The trip planner Results Display will provide multiple alternatives (ie. More than one route, more than one carrier, etc.) Users will be able to modify their travel preferences with a minimum number of screen clicks.	Necessary
ENH-177	The trip planner results page should permit user to access a route level timetable for connecting service/routes (i.e. next bus before or after the recommended connection).	Necessary
ENH-178	The trip planner results page shall present notification of any service disruption (known/reported within the 511NY database) impacting recommended routes (including a map display option for highway incidents that may be impacting a recommended bus route).	Necessary

ID	Requirement	Priority
ENH-179	The Trip planner results page should provide walking directions text and map option with ability to present ADA and bicycle accessibility options where supporting data is available.	Necessary
ENH-180	The Trip Planner shall include an option to provide driving directions to park and ride and commuter rail facilities with parking capacity.	Necessary
ENH-181	The Trip Planner shall provide a simplified widget version and widget API code for the trip planner application to support integration in external sites and with other 511NY content.	Necessary
ENH-182	The Trip Planner shall allow integration with multiple map vendors and open source map providers.	Necessary
ENH-183	The trip planner database shall enable streamline manual and automated route uploading and data error QA\QC and data error resolution suggestions <ul style="list-style-type: none">Diagnostic tools shall be available to support investigation and resolution of anomalies in routing recommendations.	Necessary
ENH-184	Provide open and extensible architecture to permit two-way API data exchange capability to leverage other transit and active transportation demand management (ATDM) services and customer information tools.	Necessary

3.5.5.7 System Enhancement Consultant Performance Requirements

Consultant Performance Requirements for the system enhancement activities are described in Table 11

Table 11, System Enhancement Consultant Performance Requirements

ID	Requirement	Priority	Deliverable
	System Design	n/a	
C-101	The consultant shall update and deliver a system architecture design document that describes changes to the overall system architecture to incorporate the 511NY enhancements.	Necessary	System Architecture Document
C-102	The consultant shall update and deliver system security design documentation that describes changes to the logical security architecture design to incorporate the 511NY enhancements.	Necessary	System Security Design
C-103	The consultant shall update existing implementation plans to incorporate the 511NY enhancements.	Necessary	System Implementation Plan
C-104	The consultant shall update existing database schemas, file formats, data views, entity relationship diagram, and data dictionary for the system to incorporate the 511NY enhancements.	Necessary	Database Documentation
C-105	The consultant shall update and deliver comprehensive data model documentation that clearly describes the conceptual, logical, and physical data characteristics of the system to incorporate the 511NY enhancements. Database modeling information from ER/Studio is preferred.	Necessary	Data Model Documentation
C-106	The XML Data Feed API user documentation shall be updated for revised or new XML Data Feed capabilities.	Necessary	XML Data Feed API user documentation
C-107	The consultant shall provide a programmer's manual for any language-independent application programming interface (API).	Necessary	API Programmer's Manual
C-108	The consultant shall update existing design documents with: <ul style="list-style-type: none"> Anticipated data volume estimates Data needs for the system environment Updated data mapping Other NYSDOT interface descriptions 	Necessary	System Design Documentation
C-109	The consultant shall update existing design documents with: <ul style="list-style-type: none"> Detailed specifications software components System performance expectations Data conversion approach for cleansing and loading historical data and for populating new data 	Necessary	System Design Documentation
C-110	The consultant shall provide a System Enhancement Requirements Traceability Matrix.	Necessary	System Enhancement Requirements Traceability Matrix

ID	Requirement	Priority	Deliverable
C-111	The consultant shall schedule and hold a 511NY Enhancement System Design Review with NYSDOT to review the 511NY system architecture changes and the 511NY system security design changes associated with the enhancements. This review will be held prior to the start of test planning and system construction. Test Planning and System Construction shall not start until NYSDOT has approved changes to the System Architecture Document, the System Security Design Document, and other 511NY system design documentation.	Necessary	Approved updates to the System Architecture Document and the System Security Design Document
	Test Planning	n/a	
C-121	The consultant shall update the existing test plans to address the 511NY enhancements, defining: <ul style="list-style-type: none"> • 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 • The environments in which the tests will be conducted 	Necessary	Test Plans
C-122	The updated test plans shall include: <ul style="list-style-type: none"> • 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-123	The consultant shall update the existing test case descriptions to address the 511NY enhancements, including: <ul style="list-style-type: none"> • Requirements traceability • Test data needed to execute the tests • Preconditions required prior to the start of the test • Criteria for suspending and resuming testing • Expected test results 	Necessary	Test Case Descriptions
C-124	The consultant shall update the existing system acceptance test plans to address the 511NY enhancements that includes, at a minimum: <ul style="list-style-type: none"> • Data Interfaces • Data Fusion • IVR • Website • My511NY • Rideshare • Mobile Applications • Mobile Website • Floodgate Messages • WDMS • Twitter 	Necessary	System Acceptance Test Plan

ID	Requirement	Priority	Deliverable
C-126	The consultant shall update the existing system acceptance test plan (SAT) to address the 511NY enhancements that include, as a minimum: <ul style="list-style-type: none"> The functionality of all links The website as designed for response and capacity Mobile applications ADA Compliance 	Necessary	System Acceptance Test Plan
	System Construction	n/a	
C-131	The consultant shall implement the design for new or enhanced functionality, in accordance with the approved 511NY design document.	Necessary	
C-132	The consultant shall conduct testing for new or enhanced functionality, in accordance with the approved 511NY test plan.	Necessary	Test Results
C-133	System testing shall be conducted from an external connection, simulating a public user.	Necessary	Test Results
C-134	During System Construction, the consultant shall deliver test results for new or enhanced functionality, including detailed outcomes for the following: <ul style="list-style-type: none"> Data migration tests System tests (including performance tests) Security tests 	Necessary	Test Results
C-135	During System Construction, the consultant shall deliver test results for new or enhanced functionality that identify the version of each software component tested.	Necessary	Test Results
C-136	During System Construction, the consultant shall deliver test progress reports for new or enhanced functionality that include: <ul style="list-style-type: none"> Number of defects identified in testing Types of defects found Status of corrective actions 	Necessary	Test Results
C-137	During System Construction, the consultant shall deliver a validated system in the Pre-Production Environment, to include the installation of all necessary software.	Necessary	Validated Pre-Production System
C-138	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-139	During System Construction, the consultant shall update and deliver the following user documentation: <ul style="list-style-type: none"> User Manual Database Administrator Manual, including installation and upgrade guides System Administrator Manual FAQs and scripts for help desk and technical support staff User FAQs Documentation on how to incorporate customizations during system upgrades 	Necessary	User Documentation
C-140	The consultant shall update existing 511NY user documents to reflect new or enhanced functionality.	Necessary	User Documentation

ID	Requirement	Priority	Deliverable
	System Integration Testing	n/a	
C-151	The consultant shall perform system integration tests to verify that all 511NY components will be able to successfully interact according to the approved 511NY Integration Test Plan.	Necessary	Test Results
	System Acceptance	n/a	
C-161	The consultant shall schedule and hold a 511NY Acceptance Test Readiness Review meeting to review the changes to the 511NY Acceptance Test Plans with NYSDOT. This review will be held prior to the start of system acceptance testing for the enhancements. Acceptance Testing shall not start until NYSDOT has approved all of the updated 511NY Acceptance Test Plans.	Necessary	Approved 511NY Acceptance Test Plans
C-162	During System Acceptance, the consultant shall deliver an operational NYSDOT 511NY system in the Pre-Production Environment.	Necessary	Accepted System
C-163	During System Acceptance, the consultant shall migrate accepted data into the system in the Pre-Production Environment.	Necessary	Migrated Data
C-164	The consultant shall perform a full end-to-end test of the 511 system in the Pre-Production Environment in accordance with the SAT.	Necessary	Test Results
C-165	The consultant shall perform system security testing of the enhanced 511NY system in the Test Environment.	Necessary	Test Results
C-166	During System Acceptance, the consultant shall deliver final test results for the following: <ul style="list-style-type: none"> • Data validation results • Data migration • Security and vulnerability test results 	Necessary	Test Results
C-167	The consultant shall deliver system acceptance test results of the enhanced 511NY system in the Pre-Production Environment.	Necessary	Test Results
C-168	The consultant shall deliver system security test results of the enhanced 511NY system in the Pre-Production Environment.	Necessary	System Security Test Results
C-169	The consultant shall support NYSDOT while performing system acceptance testing of the enhanced 511NY in the Pre-Production Environment.	Necessary	Acceptance Test Support
C-170	The consultant shall schedule and hold a 511NY Enhancements Acceptance Test Results Review with NYSDOT the results of the 511NY Enhancement Acceptance testing performed in the Pre-Production Environment. This review will be held prior to the promotion of the 511NY enhanced system to the 511NY Production Environment.	Necessary	Approved Enhancement Acceptance Testing Results
	System Implementation	n/a	
C-171	Promotion of the enhanced 511NY to the Production Environment shall start after NYSDOT has: <ul style="list-style-type: none"> • Approved the results of the Enhancement Acceptance Testing performed in the Pre-Production Environment • Approved 511NY Enhancement updates to the 511NY Operations and Maintenance Plan • Received the 511NY Enhancement training identified in the approved 511NY Training Plan. 	Necessary	Updated 511NY Documentation

ID	Requirement	Priority	Deliverable
C-172	During Implementation, the consultant shall deliver an operational, accurate and formally accepted enhanced 511NY to the Production Environment.	Necessary	Operational System
C-173	During Implementation, the consultant shall install and deploy the enhanced 511NY in the Production Environment in accordance with the approved Project Implementation and Transition Plan.	Necessary	Operational System
	Business Continuity Testing	n/a	
C-181	The consultant shall test the 511NY Business Continuity Plan.	Necessary	Test Results

3.5.6 System Operation and Maintenance

The purpose of System Operation and Maintenance is to operate the existing 511NY, as well as the enhancements when they have been completed. System Operation and Maintenance activities will start immediately after the completion of the Go-Live Cutover. System Operation includes System Performance, System Updates, Help Desk, General, and Social Media. Consultant Performance Requirements for the System Operations phase are described in Table 12.

Table 12, System Operations and Maintenance Phase Consultant Performance Requirements

ID	Requirement	Priority	Deliverable
	System Performance	n/a	
C-191	The consultant shall monitor the telecommunications providers and inform NYSDOT of any that are not making the 511 IVR system dialing code available to their customers.	Necessary	511 IVR System Telecom Provider Monitoring
C-192	The consultant shall provide automated, proactive monitoring of the 511NY system 24 hours a day, 7 days a week, and will: <ul style="list-style-type: none"> Schedule daily operational checks to ensure that the system is performing properly (Daily operational monitoring will include monitoring for downtime, outages, system performance, link validity, system functionality, and data quality) Immediately notify NYSDOT of any loss of service and inform NYSDOT of the estimated amount of time the system will be out of service 	Necessary	511 System Maintenance
C-193	The consultant shall provide automated, proactive monitoring of the TransAlert System 24 hours a day, 7 days a week, and will: <ul style="list-style-type: none"> Schedule daily operational checks to ensure that the system is performing properly Immediately notify NYSDOT of any loss of service as defined by the 511NY Service Level Agreement 	Necessary	511 System Maintenance
C-194	The consultant shall provide monthly system performance monitoring reports in accordance with the 511NY Service Level Agreement.	Necessary	Monthly System Performance Monitoring Reports
C-195	The consultant shall comply with the Attachment 16 'Service Level Addendum.	Necessary	511 System Maintenance
C-196	The consultant shall attend ongoing support status meetings in Albany, NY with NYSDOT personnel monthly, or as needed.	Necessary	Technical Support

ID	Requirement	Priority	Deliverable
C-197	When the Transportation System Performance enhancements have been implemented, the consultant shall provide the enhanced performance measurements in the monthly performance report to NYSDOT.	Necessary	Monthly System Performance Monitoring Reports
	System Updates	n/a	
C-201	The consultant shall provide minor changes to the 511 system menu structure or composition within four hours of the request. Examples of “Minor” changes include: <ul style="list-style-type: none"> Disable a menu choice, or call transfer number Modify call transfer numbers for various menu transfers 	Necessary	511 System Maintenance
C-202	The consultant shall provide for the addition and removal of floodgate messages, such as Amber alerts, within 10 minutes of notification.	Necessary	511 System Maintenance
C-203	The consultant shall provide major changes in a timeframe determined by the project plan, as negotiated with NYSDOT, and occurring approximately every six (6) months during the life of the contract. Examples of “Major” changes include: <ul style="list-style-type: none"> Significant changes (i.e., changes requiring a high level of effort) to user interfaces, IVR menu structure, and/or mobile applications Significant additions (i.e., additions requiring a high level of effort) 	Necessary	511 System Maintenance
C-204	The consultant shall test all upgrades, patches, updates, and reconfigurations in the 511NY Pre-Production Environment.	Necessary	511 System Maintenance
C-205	The consultant shall provide ongoing maintenance of the 511 system; this will include system-wide hardware or software patches, enhancements, and/or upgrades researched and developed by the consultant. (Any enhancements and/or upgrades to the system that would require additional costs to NYSDOT, or could impact performance of the system, shall be pre-approved by NYSDOT.)	Necessary	511 System Maintenance
C-206	All system maintenance and upgrade scheduling shall be coordinated with NYSDOT.	Necessary	511 System Maintenance
C-207	The consultant shall ensure that no maintenance or upgrades require any downtime.	Necessary	511 System Maintenance
C-208	The consultant shall ensure that all maintenance and upgrades are scheduled at times when usage of the system is minimal.	Necessary	511 System Maintenance
C-209	The consultant shall annually provide NYSDOT with the software release schedule for any off-the-shelf software components contained within 511NY.	Necessary	511 System Maintenance
	Help Desk	n/a	
C-221	The consultant shall maintain a help desk for use by NYSDOT users 24 hours a day, 7 days a week.	Necessary	Help Desk
C-222	The consultant help desk shall accept minor change requests and trouble reports from NYSDOT-authorized personnel.	Necessary	Help Desk
C-223	The consultant shall provide technical and application support for end-users 24 x 7 x 365.	Necessary	Help Desk

ID	Requirement	Priority	Deliverable
C-224	The consultant shall provide NYSDOT personnel with access to an enhancement-tracking system.	Necessary	Help Desk
C-225	The consultant shall provide NYSDOT personnel with access to a 511NY bug-reporting and defect-resolution system.	Necessary	Help Desk
C-226	The consultant shall update the user and technical support FAQs on a monthly basis with reoccurring topics that occurred during the past month.	Necessary	Help Desk
	General	n/a	
C-231	The consultant shall integrate, convert, and translate the data updates for use in the IVR responses.	Necessary	511 System Maintenance
C-232	The consultant shall provide text-to-speech functions required to translate data updates to speech for the IVR.	Necessary	511 System Maintenance
C-233	The consultant shall provide any updated speech recordings for the IVR to NYSDOT for review on a weekly basis.	Necessary	511 System Maintenance
C-234	The consultant shall provide transcribed versions of recorded caller verbal comments or e-mail messages to the appropriate NYSDOT staff members via e-mail for evaluation.	Necessary	511 System Maintenance
C-235	The consultant shall follow the maintenance agreement portion of Attachment 1's Draft Contract (article 13) that will cover the 511NY from the final acceptance of the 511NY in the 511NY Production Environment. The maintenance agreement covers the following: <ul style="list-style-type: none"> Remote diagnostics Support from the consultant help desk On-site issue resolution if necessary Fixes to the software Updates to user and technical documentation to support software changes resulting from fixes 	Necessary	Maintenance Agreement
C-236	Following the escrow and modification of source code portion of Attachment 1's Draft Contract (article 12) placing any source code in escrow, the consultant shall provide a copy of the escrow agent's report to NYSDOT on a quarterly basis.	Necessary	Escrow Agent's Report (Quarterly)
C-237	The consultant shall provide intrusion detection and prevention for the 511NY hosted environments.	Necessary	Intrusion Detection and Preventio
C-238	The consultant shall maintain ownership of device security permissions, e.g. access control lists, and shall provide regular reporting in accordance with relevant security policy, and shall be responsive in providing insight into any root cause analysis.	Necessary	Security Policy Reporting
C-239	The consultant shall report unauthorized users for management review and action per NYSDOT.	Necessary	Unauthorized Users Report
C-240	The consultant shall perform vulnerability scanning of the 511NY on a frequent basis to detect and address vulnerabilities.	Necessary	Vulnerability Scans
C-241	The consultant shall perform and report on 511NY infrastructure vulnerability scans.	Necessary	Infrastructure Vulnerability Scan Report
C-242	The consultant shall detect, prevent and report denial of service (DoS) attacks and security intrusions against 511NY.	Necessary	Denial of Service Report

ID	Requirement	Priority	Deliverable
C-243	The consultant shall allow the option of a State-authorized third-party vendor to conduct a 511NY vulnerability assessment to validate compliance with agreed upon requirements.	Necessary	Third party 511NY Vulnerability Scans
C-244	The consultant shall develop and implement a consolidated cyber security plan for the 511NY that is, audited and updated on a regular basis.	Necessary	511NY Cyber Security Plan
C-245	The consultant shall provide a security report indicating attacks, and permissions granted/denied access.	Necessary	Security Report
C-246	The consultant shall provide dashboards and other real time reporting capabilities that are made accessible to the NYSDOT that support trending, trend analysis, and rightsizing.	Necessary	Dashboards and real time reporting
C-247	The consultant shall monitor data storage services for key operational administration, management and maintenance parameters.	Necessary	Data Storage Key Operational Parameters.
C-248	The consultant shall monitor database services for key operational administration, management and maintenance parameters.	Necessary	Database Key Operational Parameters.
C-249	The consultant shall provide service availability and performance reports on a monthly basis.	Necessary	Service Availability And Performance Reports
C-250	The consultant shall perform 511NY Failover/Fallback testing monthly or at the discretion of NYSDOT.	Necessary	511 System Maintenance
C-251	The consultant shall provide a 511NY Failover/Fallback Test Report that identifies the Failover/Fallback Test steps taken, the results, and how the results were verified.	Necessary	511NY Failover/Fallback Test Report
C-252	The consultant shall perform 511NY Back up/Recovery to an alternate location functionality testing quarterly or at the discretion of NYSDOT.	Necessary	511 System Maintenance
C-253	The consultant shall provide a 511NY Back up/Recover report that identifies the Back up/Recover Test steps taken, the results, and how the results were verified.	Necessary	511NY Back up/Recover Report
	Social Media	Necessary	n/a
C-261	All 511NY Social Media accounts shall be the property of NYSDOT.	Necessary	Social Media Support
C-262	The consultant shall research social media trends and provide NYSDOT with a quarterly report containing analysis on the social media trends and tools.	Necessary	Social Media Support
C-263	The consultant shall monitor 511NY social media sites and report any service impacts.	Necessary	Social Media Support
C-264	The consultant shall provide posting and response analysis support for 511NY related blogs and social media sites, including but not limited to Facebook, Twitter, YouTube, Flickr, Pinterest, and Instagram.	Necessary	Social Media Support
C-265	The consultant shall maintain the existing 511NY Twitter Area feeds (511ny, 511nyAlbany, 511nyAdirondack, 511nySyracuse, 511nyRochester, 511nyCatskills, 511nyLongIsland, 511nyc, 511nyBuffalo, 511nyBinghamton, 511nyNJ, 511nyprospectmt).	Necessary	Social Media Support

ID	Requirement	Priority	Deliverable
C-266	The consultant shall maintain the existing 511NY Twitter Transit feeds (511ny123, 511nyACE, 511nyJMZ, 511ny456, 511nyBDFV, 511nyLS, 511ny7, 511nyG, 511nyNQRW).	Necessary	Social Media Support
C-267	The consultant shall monitor and provide guidance on 511 Social Media Identity Protection, including monitoring unauthorized 511 Social Media posts.	Necessary	Social Media Support

3.5.7 System Transition

The purpose of System Transition is to transition all of, or components of, the 511NY to another consultant or to NYS at the end of the resulting contract. Consultant Performance Requirements for the system transition phase are described in Table 13.

Table 13, System Transition Consultant Performance Requirements

ID	Requirement	Priority	Deliverable
C-271	The consultant shall provide a smooth and orderly transition to a new consultant in accordance with the NYSDOT approved Project Implementation and Transition Plan.	Necessary	System Transition Support
C-272	The 511NY Project Implementation and Transition Plan shall include a description of the following: <ul style="list-style-type: none"> How all data and databases will be transferred to NYSDOT Detailed description of all 511NY data feeds in use at the end of the contract and the communications between the source and 511NY List of all web links contained within the 511NY websites, mobile applications, and IVR. Detailed description of all network connections, including Virtual Private Networks (VPNs), in use at the end of the contract Detailed description of all archived data 	Necessary	System Transition Support
C-273	The consultant shall train successor consultants in accordance with the NYSDOT approved Project Implementation and Transition Plan.	Necessary	System Transition Support
C-274	The consultant shall provide full operational support services for 511NY to NYSDOT during the transition in accordance with the NYSDOT approved Project Implementation and Transition Plan.	Necessary	System Transition Support
C-275	The consultant shall verify and update all project documentation for 511NY during the transition.	Necessary	System Transition Support
C-276	The consultant shall provide 511NY knowledge transfer support services during the transition in accordance with the NYSDOT approved Project Implementation and Transition Plan.	Necessary	System Transition Support

3.5.8 Training

511NY is a mission critical system that will be used daily by many NYSDOT staff and the general public. NYSDOT considers the training of users who will maintain the system to be critical for acceptance and use of the system. Training may be provided at the NYSDOT Main Office or by online training sessions. Consultant Performance Requirements for training are described in Table 14.

Table 14, Training Consultant Performance Requirements

ID	Requirement	Priority	Deliverable
C-281	The consultant shall provide training to NYSDOT personnel as defined in the 511NY Training Plan	Necessary	Training
C-282	The consultant shall provide training to NYSDOT personnel on accessing and interpreting performance reports	Necessary	Training Materials
C-283	The consultant shall provide training to authorized NYSDOT personnel for 511NY direct entry features, including: <ul style="list-style-type: none"> Recording, adding, and removing floodgate messages Entering and removing webcrawl messages Entering and removing winter travel advisories Making changes to text/images on limited sections of web pages using the Content Management Software 	Necessary	Training Materials
C-284	The consultant shall provide training to NYSDOT personnel on usage of the shared document repository.	Necessary	Training Materials
C-285	The consultant shall provide training to authorized NYSDOT personnel appropriate for Go-Live Cutover.	Necessary	Training Materials
C-286	The consultant shall provide training to authorized NYSDOT personnel appropriate for the 511NY Enhancements.	Necessary	Training Materials

3.6 Consultant Experience

The consultant must provide NYSDOT with information on the team's qualifications and experience. The provided team experience must be relevant and must be for services comparable, in scale and in 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 prime consultant or its subconsultants. NYSDOT reserves the right to approve all subconsultants as part of this contract. Consultant Performance Requirements for Experience and Qualifications are described in Table 15.

Table 15, Consultant Experience Requirements

ID	Requirement	Priority
C-291	The consultant team shall have a minimum of three years of verifiable experience providing and hosting data center services.	Mandatory
C-292	The consultant team shall have a minimum of three years of verifiable experience providing and hosting IVR services.	Mandatory

ID	Requirement	Priority
C-293	The consultant team shall have a minimum of three years of verifiable experience developing, implementing, providing, hosting, and supporting software application services.	Mandatory
C-294	The consultant team shall have a minimum of three years of verifiable experience providing website services.	Necessary
C-295	The consultant team shall have a minimum of three years of verifiable experience developing mobile applications for multiple platforms.	Necessary

3.7 Consultant Key Personnel

NYSDOT requires that the proposer provide a project staffing plan that includes, at a minimum, the following key staff roles and any other roles that it considers instrumental to the project. The staffing plan will also identify the timeframe the role will be involved and the level at which they will participate over that timeframe.

Operations Manager - The primary contact for NYSDOT for all day-to-day operational questions and/or issues and will be required to clarify, explain, provide further details, handle necessary technical matters, implement technical changes, and develop administrative procedures

Project Manager – Responsible for the execution and coordination of all aspects of the consultant’s project plan, performs project management activities (schedule management, change management, risk management, and resource management), serves as the primary point of contact for NYSDOT, and has authority to act on behalf of the consultant.

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

Data Center Architect - Responsible for Design Build Management, including changes and virtualization, within the data center.

IVR Architect - Responsible for IVR services, including capacity planning, design, deployment, and optimization, within the data center.

Software Engineer – Responsible for coordinating the application/systems replication and enhancement activities, including analysis, replication, design, development, test, and implementation. The Software Engineer must have the ability to:

- Develop and/or update functional/technical specifications and requirements
- Develop implementation plans and schedules
- Lead and/or perform updates to all application software; software configurations and software implementations
- Develop and implement quality assurance testing procedures

Social Media Consultant - NYSDOT will continue to provide social media updates using in-house personnel, with the exception of automated Twitter feeds. The consultant will provide under “Key Personnel” a Social Media Consultant who will provide guidance, advice and a method of best practice(s) regarding social media for 511NY, and will be responsible for supporting social media services and providing new social media tool analysis. NYSDOT/511NY

uses Twitter, YouTube, Facebook, Pinterest, and Flickr for Social Media forums. All have static content (videos and Public Service Announcements (PSAs) on YouTube, photos on Flickr, links of interest on Pinterest (construction pages, etc.) and socially engaging messages on Facebook).

Website Developer - NYSDOT currently supports desktop website and mobile website versions of the 511NY. The consultant will provide design, development and support services for desktop websites and mobile websites.

Mobile Application Developer - NYSDOT currently supports iOS (iPhone), Android, and Blackberry mobile versions of the 511NY application. The consultant will provide design, development and support services for mobile devices, including support for iOS (iPhone), Android, and Blackberry mobile devices.

Esri GIS Consultant - NYSDOT currently uses linear referencing methods (LRM) to depict mission critical business information locations on the highway system. 511NY utilizes LRMs to provide travel and transit information to the public. The consultant will provide under “Key Personnel” an Esri GIS Consultant who will provide guidance, advice and a support for Esri based LRMs.

Where appropriate, the consultant may identify a single individual that is capable of satisfying multiple roles.

In addition to these key personnel roles, the consultant should identify any other key staff considered instrumental in the project’s successful completion. NYSDOT requires that 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 key personnel, the consultant must provide replacement staff with equal or superior skills and qualifications.

Consultant Performance Requirements for consultant key personnel are described in Table 16.

Table 16, Consultant Key Personnel Requirements

ID	Requirement	Priority
C-301	The consultant shall appoint key personnel to be responsible for coordinating with NYSDOT and managing project activities. Key roles include: <ul style="list-style-type: none">• Operations Manager• Project Manager• Technical Architect• Data Center Architect• IVR Architect• Software Engineer• Social Media Consultant• Website Developer• Mobile Application Developer• Esri GIS Consultant	Necessary
C-301	The Operation Manager shall have a minimum of 5 years of experience managing data center operations.	Necessary

ID	Requirement	Priority
C-303	The Operation Manager shall have a solid understanding of all facets of websites, IVR systems, mobile applications, and social media.	Necessary
C-304	The Project Manager shall have a minimum of three years of verifiable experience overseeing data center projects.	Necessary
C-305	The consultant Project Manager shall serve as focal point-of-contact for NYSDOT regarding project status, meetings and reporting requirements.	Necessary
C-306	The consultant Project Manager is responsible for managing scope changes and financial, administrative, and technical issues or concerns raised by NYSDOT.	Necessary
C-307	The Technical Architect shall have a minimum of three years of verifiable experience designing and implementing web-based application solutions.	Necessary
C-308	The Technical Architect shall have a minimum of three years of verifiable experience integrating temporal and geospatial data.	
C-309	The Lead System/Software Engineer shall have a minimum of three years of verifiable experience leading system/software activities for the implementation of web-based systems.	Necessary
C-310	The Data Center Architect shall have a minimum of three years of verifiable Design Build Management (DBM) experience, including virtualization, within an enterprise data center.	Necessary
C-311	The IVR Architect shall have a minimum of three years of verifiable call center experience, including capacity planning, design, deployment, and optimization within an enterprise data center.	Necessary
C-312	The Software Engineer shall have a minimum of one year of verifiable experience developing applications utilizing Twitter APIs.	Necessary
C-313	The Social Media Consultant shall have a minimum of one year of verifiable experience providing social media services, including Facebook, Twitter, and new social media tool analysis.	Necessary
C-314	The consultant shall, prior to appointing or replacing key personnel, request and obtain approval from NYSDOT.	Necessary
C-315	Should it become necessary to replace key personnel, the consultant shall provide replacement staff members 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.	Necessary
C-316	Consultant staff shall comply with the New York State Office of Cyber Security Information Security Policy P03-002 V3.4. The policy is available at http://www.dhses.ny.gov/ocs/resources/ .	Necessary
C-317	Consultant staff shall comply with the NYSDOT Information Security Policy. The NYSDOT Information Security Policy will be provided to the consultant.	Necessary
C-318	The Project Manager shall have a Project Management Professional (PMP) certification.	Necessary
C-319	The Website Developer shall have a minimum of two years of verifiable experience designing, developing and supporting desktop websites and mobile device websites.	Necessary
C-320	The Mobile Application Developer shall have a minimum of two years of verifiable experience designing, developing and supporting applications for mobile devices, including support for iOS (iPhone), Android, and Blackberry mobile devices.	Necessary
C-321	The Esri GIS Consultant shall have a minimum of three years of verifiable experience providing Esri GIS services, including designing, developing, and supporting linear referencing systems, mapping of point based data into a linear referencing system, Esri interfaces and layers.	Necessary

4. PROPOSAL FORMAT AND CONTENTS

4.1 General Procedures

Offerors 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 offeror's proposal shall be construed by NYSDOT as the offeror's acceptance of the procedures, evaluation criteria, and other administrative instructions in this RFP.

Offerors must deliver proposals to the NYSDOT Contract Management office no later than 2:00 PM ET on the specified proposal due date. Offerors mailing proposals should allow sufficient mail delivery time to ensure timely receipt of their proposal.

For the purposes of evaluation, each proposal must be submitted in two separate parts. A responsive proposal shall consist of the following:

- Part I - Technical and Management Proposal

Defined in Section 4.2, 'Part I: Technical and Management Proposal'

Part I shall consist exclusively of the Technical and Management Proposal

- Part II - Cost and Contract Proposal

Defined in Section 4.3, 'Part II: Cost and Contract Proposal'

Part II shall consist exclusively of the Cost and Contract 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 in order that 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.

Note: 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 offeror and its proposal from further consideration for failure to provide the information required or for failure to submit a proposal in the required format.

NYSDOT will not accept faxed or e-mailed proposals.

Offerors must submit Part I and Part II in separate sealed and 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 in any other way (e.g., stapled, spiral- or cloth-bound). Clearly identify any attachment with the offeror's and the RFP's name on a cover sheet that is firmly attached to the document. Clearly identify any unattached documents with the offeror's and the RFP's name on each page of the document.

The offeror's proposal must meet the response requirements listed in this Section.

Offerors must submit a complete proposal in response to the RFP, using the format defined herein. The offeror's proposal for NYSDOT's 511NY services will be composed and presented in the format and order that follows.

4.2 Part I: Technical and Management Proposal

The Technical and Management Proposal (Part I) pre-screening response requirements are listed in Table 17. Please be sure that these instructions are followed to ensure that your proposal is considered responsive to be eligible for contract award.

Table 17, Technical and Management Proposal Submittal Checklist

ID	Requirement	Priority
R-1	The Offeror shall submit ten (10) printed and bound hard copies of the Technical and Management Proposal (Part I), plus one (1) copy of Part I on CD/DVD in MS Office 2007.	Pre-Screening
R-2	The Technical and Management Proposal shall be securely sealed and clearly labeled with the offeror's name, address, and telephone number and the words "511NY Services RFP Part I — Technical and Management Proposal (C031118)."	Pre-Screening
R-3	The Technical and Management Proposal shall contain the name(s) of the person(s) who prepared the proposal.	Pre-Screening
R-4	The Technical and Management Proposal shall contain the name, address, and telephone number of the contact person(s).	Pre-Screening
R-5	The Technical and Management Proposal shall include a Signed Cover Letter on official business letterhead.	Pre-Screening
R-6	The Technical and Management Proposal shall contain a Table of Contents identifying each major section and its initial-page number.	Pre-Screening
R-7	The Technical and Management Proposal shall contain an Executive Summary of the proposed approach.	Pre-Screening
R-8	The Technical and Management Proposal shall contain the technical approach.	Pre-Screening
R-9	The Technical and Management Proposal shall contain the management approach.	Pre-Screening
R-10	The Technical and Management Proposal shall include a completed Attachment 3 'Company Experience and References' containing the names and contact information for at least three entities for which the offeror has provided, or is currently providing, similar projects in scale and scope and which are willing to provide a reference on behalf of the offeror to NYSDOT. At least one reference shall be for a project of similar scale and scope described in the offeror's experience and conducted by the primary consultant. If sub-consultants are part of the offeror's proposal, the offeror shall submit at least one reference for each of the sub-consultants.	Pre-Screening
R-11	The Technical and Management Proposal shall include a completed Attachment 4 , 'Staffing Plan and Resumes. The offeror's proposal shall include two references for each of the key personnel, further specified in Section 3.7, that are proposed for the project.	Pre-Screening
R-12	The Technical and Management Proposal shall include a completed Attachment 7 , 'Requirements Traceability Matrix', with an indication of proposer's ability to meet system, contractual, and response requirements.	Pre-Screening

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 finalization with the selected Offeror.

4.2.1 Cover Letter

The offeror must submit a cover letter with their Technical and Management Proposal (Part I).

Any claims of confidential and proprietary information should be identified and addressed in the cover letter. 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 such proprietary information. If a proposer believes information included in their Technical and Management Proposal (Part I) 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 is to be shielded from public scrutiny. All proposers shall explain the material and substantive reason(s) why the 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 confidential and proprietary those items which it agrees are confidential and proprietary based on the proof provided by the offeror and responses to the State’s questions regarding any such claims.

The Cover Letter Response Requirements are defined in Table 18.

Table 18, Cover Letter Response Requirements

ID	Requirement	Priority
R-21	The offeror must submit a signed Cover Letter on official business letterhead.	Necessary
R-22	The Offeror’s Cover Letter shall contain the signature of an official authorized to bind the offeror to all provisions of the proposal.	Necessary
R-23	The Offeror’s Cover Letter shall contain the following information regarding the offeror’s official representative for its proposal: <ul style="list-style-type: none"> • Name of offeror’s official representative • Title • Name of company • Address • Telephone number • FAX number • E-mail address of offeror’s representative 	Necessary
R-24	If the prime consultant has multiple offices that will be involved in providing the 511NY services, the Offeror’s Cover Letter shall indicate which will be primarily responsible for the contract. The Offeror’s Cover Letter shall also indicate which other offices are also involved.	Necessary
R-25	The Offeror’s Cover Letter shall contain the names of all subconsultants involved in the offeror’s response (if applicable).	Necessary

ID	Requirement	Priority
R-26	The Offeror's Cover Letter shall contain a statement certifying that the proposal shall remain valid for at least 365 days.	Necessary
R-27	The Offeror's Cover Letter shall include a statement that, if awarded the contract, the Contractor will comply with all the requirements set forth in this RFP.	Necessary
R-28	The Offeror's Cover Letter shall include a statement that the offered named key personnel will be provided once NYSDOT issues a notice to proceed. NYSDOT does not allow unapproved substitutes.	Necessary
R-29	The Offeror's Cover Letter shall specifically identify by page number, line, or other appropriate designation, that information it alleges to be a trade secret, and shall explain in detail why such information is allegedly a trade secret.	Necessary

4.2.2 Table of Contents

The Table of Contents should identify each major section of the offeror's Technical and Management Proposal (Part I), along with its initial-page number. Any offered attachments or addenda shall be cited here.

4.2.3 Executive Summary

The Technical and Management Proposal (Part I) should include 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 Technical Approach

The offeror shall describe its approach for performing the work and accomplishing the scope and objectives as identified in Sections 2 and 3 of this RFP. Offerors must complete **Attachment 7**, 'Requirement Traceability Matrix', and to provide the page number(s) in their proposal where the approach to meeting each requirement is provided.

The offeror's technical approach shall include the following:

- **System Re-Hosting Approach** - The offeror shall describe its approach for replicating the existing 511NY capabilities. It should be noted that replication of 511NY is defined as installing, configuring, and testing the existing 511NY in the new environment to ensure that it can perform the same tasks as in the existing environment. The existing infrastructure is described in **Attachment 15**, '511NY Portfolio.'
- **System Enhancement Approach** - The offeror shall describe its approach for enhancing the existing system with the specified enhancements identified in RFP Section 3.5.
- **Operation and Maintenance Approach** - The offeror shall describe its approach for operating and maintaining 511NY.
- **Transition Approach** - The offeror shall describe its approach for aiding in the transition of 511NY at the end of the contract.
- **Additional Contingency Services Approach** - NYSDOT envisions that 511NY will continue to grow and evolve. **Attachment 14**, 'Additional Contingency Services,' identifies potential future work that is being advertised as part of this contract. The offeror shall describe its approach for how it could support the future additional contingency services. Any and all potential future work will be added to the resulting

contract via work orders. The scope, schedule, and budget for each additional service item will be negotiated between NYSDOT and the offeror.

The Technical Approach Response Requirements are further defined in Table 19.

Table 19, Technical Approach Response Requirements

ID	Priority	Requirement
		System Re-Hosting Approach
	Mandatory	The offeror shall describe its System Re-Hosting approach in Part I of their proposal.
R-41	Necessary	The offeror shall describe its technical approach for addressing the System Re-Hosting responsibilities identified in RFP Section 3.5.3.
R-42	Necessary	The offeror shall describe its technical approach for re-hosting the existing 511NY infrastructure capabilities, including providing a description of the proposed data center and data platform. This description should describe any other customer applications that may be hosted on the same platform and how the applications and data will be isolated.
R-43	Necessary	The offeror shall describe its technical approach for re-hosting the existing 511NY infrastructure capabilities, including providing a description of the proposed data connection and telecommunications capabilities. This description should describe any other customer applications that may be running on the same network and how traffic will be isolated.
R-44	Necessary	The offeror shall describe its technical approach for re-hosting the existing 511NY infrastructure capabilities, including providing a description of the proposed system architecture (including system architecture diagram, system hardware, system software, supporting tools, network diagrams, and redundant infrastructure needed to support the proposed solution). This description should describe how the system will lend itself to be easily expanded and dynamically grow during peak times.
R-45	Necessary	The offeror shall describe its technical approach for re-hosting the existing 511NY infrastructure capabilities, including providing a description of the proposed information architecture (conceptual data model).
R-46	Necessary	The offeror shall describe its technical approach for re-hosting the existing 511NY infrastructure capabilities, including providing a description of the proposed data archive capabilities.
R-47	Necessary	The offeror shall describe its technical approach for system hardening/system integrity of the 511NY, including what specific actions, procedures and protocols will the offeror undertake to harden the physical network and servers to prevent unauthorized tampering, the introduction of malware, denial of service attacks, and the like, and at what frequency.
R-48	Necessary	The offeror shall describe its technical approach for patch management of the 511NY to address: known security vulnerabilities; virus updates; system updates/releases; known bugs and instabilities; and how often this process will occur.
R-49	Necessary	The offeror shall describe its technical approach for business continuity / disaster recovery / failover of the 511NY, including what is the proposed specific solution for bringing the application back on line and in what time frame should the network, application, data or database suffer irreparable damage or become unavailable for any reason beyond the agreed upon permissible outage period.
R-50	Necessary	The offeror shall describe its technical approach for access control of the 511NY, including the specific actions, procedures or protocols that the offeror will undertake to ensure that only authorized individuals have direct access to operating system, other system software, and the application software.

ID	Priority	Requirement
R-51	Necessary	The offeror shall describe its technical approach for data integrity of the 511NY, including the specific actions, procedures or protocols that the offeror will undertake to protect the data and database from unauthorized tampering or vandalism, and at what frequency.
R-52	Necessary	The offeror shall describe its technical approach for auditability / forensics of the 511NY, including identifying the specific methods that the offeror will utilize, in the event of an incident, to provide the NYSDOT with an audit trail of all system-level and database transactions. The audit should be able to discern what happened, understand what portion of the system is affected, take steps to prevent a recurrence, and collect information for possible future legal actions.
R-53	Necessary	The offeror shall describe its technical approach for physical security of the 511NY, including how the offeror will protect the physical system assets from natural or man-made destruction or tampering.
R-54	Necessary	The offeror shall describe its technical approach for business continuity of the 511NY, including identifying the offeror's plans for Backup and Recovery, Disaster Recovery, and Failover/Fall Back.
R-55	Necessary	The offeror shall describe its technical approach for telecommunications of the 511NY, including identifying the data and voice interconnectivity necessary to support 511NY.
R-56	Necessary	The offeror shall describe its technical approach for growing/scaling up the technical architecture that it proposed for use as 511NY.
		Go-Live Cutover Approach
	Mandatory	The offeror shall describe its Go-Live Cutover approach in Part I of their proposal.
R-61	Necessary	The offeror shall describe its technical approach for addressing the Go-Live Cutover responsibilities identified in RFP Section 3.5.4.
		System Enhancement Approach
	Mandatory	The offeror shall describe its System Enhancement approach in Part I of their proposal.
R-71	Necessary	The offeror shall describe its technical approach for addressing the System Enhancement responsibilities identified in RFP Section 3.5.5 including: <ul style="list-style-type: none"> • GIS Interoperability Enhancements • Probe Data Enhancements • Traffic/Transit/Rideshare Widget Enhancements • Transportation System Performance Measurement Reporting Enhancements
R-72	Necessary	The offeror shall describe its technical approach for providing commercial probe data, as defined in RFP Section 3.5.5.2, including: <ul style="list-style-type: none"> • Describing the probe data that they recommend purchasing • Describing how the purchased probe data will be integrated with existing available NYS data • Describing how the probe data will be used to support Transportation System Performance Measurement Reporting • Describing how the probe data will be displayed to the public • Providing an explanation of the reliability factor and/or confidence level of the selected probe data during different times of day, under different traffic conditions, and different traffic volumes. Validation studies or measurement methodologies should profile how the probe data reliability factor and/or confidence level of the data is determined.
R-73	Necessary	The offeror shall describe its technical approach for any additional database or any required software licenses for planned system enhancements.

ID	Priority	Requirement
R-74	Necessary	The offeror shall describe its technical approach for testing the system enhancements.
R-75	Necessary	The offeror shall describe its technical approach for promoting system enhancements from the Pre-Production Environment to the Production Environment using their proposed infrastructure.
		Operation and Maintenance Approach
	Mandatory	The offeror shall describe its Operation and Maintenance approach in Part I of their proposal.
R-81	Necessary	The offeror shall describe its technical approach for addressing the System Operation and Maintenance responsibilities identified in RFP Section 3.5.6.
R-82	Necessary	The offeror shall describe its technical approach for addressing the Training responsibilities identified in RFP Section 3.5.8.
		Transition Approach
	Mandatory	The offeror shall describe its Transition approach in Part I of their proposal.
R-91	Necessary	The offeror shall describe its technical approach for addressing the System Transition Consultant Responsibilities identified in RFP Section 3.5.7.
R-92	Necessary	The offeror shall describe in its technical approach any infrastructure documentation to be provided as part of transition.
R-93	Necessary	The offeror shall describe in its technical approach any IVR documentation to be provided as part of transition.
R-94	Necessary	The offeror shall describe in its technical approach any application documentation to be provided as part of transition.
R-95	Necessary	The offeror shall describe its approach for migrating the 511NY data and applications from the consultant's data center to a NYS Statewide Data Center. NYS is in the process of developing a Statewide NYS Data Center. 511NY may become a candidate to move to the Statewide NYS Data Center.
		Additional Services Approach
	Mandatory	The offeror shall describe its Additional Services approach in Part I of their proposal.
R-101	Necessary	The offeror shall describe its approach for implementing the major features identified in Attachment 14 , 'Additional Contingency Services', including the change proposal process and the implementation process.
R-102	Necessary	The offeror shall describe its approach for implementing minor enhancements to the 511NY system as identified by NYSDOT, including the work order process and the implementation process.
R-103	Necessary	The offeror shall describe its approach for recommending enhancements/improvements to 511NY.

4.2.5 Management Approach

The offeror shall describe its management approach for performing the work and accomplishing the scope and objectives as identified in Sections 2 and 3 of this RFP. Offerors must complete **Attachment 7**, 'Requirement Traceability Matrix', and provide the page number(s) in their proposal where the approach to meeting each requirement is provided.

The offeror's management approach shall describe its approach for managing the work and accomplishing the scope and objectives as defined in Table 20.

Table 20, Management Approach Response Requirements

ID	Priority	Requirement
R-111	Mandatory	The offeror shall describe its Management approach in Part I of their proposal.
R-112	Necessary	The offeror shall describe its approach for addressing Project Initiation and Planning responsibilities identified in RFP Section 3.5.1.
R-113	Necessary	The offeror shall describe its approach for addressing Project Execution and Control responsibilities identified in RFP Section 3.5.2.
R-114	Necessary	The offeror's project management approach shall address the Consultant Experience Requirements identified in RFP Section 3.6.
R-115	Necessary	The offeror's project management approach shall address the Consultant Key Personnel requirements identified in RFP Section 3.7.
R-116	Necessary	The offeror's project management approach shall include a proposed project schedule (in MS Project 2007 or later format) specific to this project.
R-117	Necessary	The offeror's staffing plan (Attachment 4) shall include a description of how the offeror proposes to utilize the proposed key staff members and additional staffing to meet the obligations of the engagement as described in this RFP. The staffing plan should include a staffing schedule for each phase of the project using Attachment 4_1, Staffing Plan Workbook.
R-118	Necessary	The offeror's staffing plan (Attachment 4) shall describe the strategy that will be used to acquire and maintain human resources with the appropriate skills to staff the project for the project's entire duration, including possible contract extension.
R-119	Necessary	The offeror's staffing plan (Attachment 4) shall include explanations for any subconsultants, identifying the specific need for the expertise and describing the arrangements.
R-120	Necessary	The offeror's project management approach shall describe its experience delivering projects in the past three years that are similar in scope to the project described in Section 3.4, Consultant Responsibilities.
R-121	Necessary	<p>The offeror's project management approach shall describe each project included in the experience section of the program management approach, including:</p> <ul style="list-style-type: none"> • Name of project • Name of client • Nature of client's business • Size of client (# employees, revenues, locations) • Dates of project/engagement • Description of project/engagement including: <ul style="list-style-type: none"> ○ Services and deliverables provided ○ Results and benefits delivered to client ○ List of all subcontractors and the duties they performed ○ Discussion of key challenges faced when implementing the project, including challenges and any compromises that were made ○ Discussion of any system replication, including between or into a new data center, including how the project was planned, how it was carried out, any problems that were encountered, how the problems were overcome ○ Discussion of data migration between or into a new data center

4.2.6 Offeror Experience

The qualifications and prior experience of the offeror are of great importance to NYSDOT. Direct relevant experience in systems of similar scale and scope is highly desirable.

NYSDOT requires substantial relevant experience and expertise, and offerors must demonstrate that experience through past and current project attestations and must provide reachable, verifiable references. Experience information should be provided per **Attachments 3 and 4** for all proposed firm(s) and for all Key Personnel assigned to this project. 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). The offeror is expected to provide reachable references to verify all offered experience. NYSDOT reserves the right to request information from any source so named; to request additional references; and to contact additional references (including appropriate references not specifically named by offerors) to completely verify all offered experience.

Note that the experience requirements stated in Section 3.6, Table 15 above will be verified using the information provided in Attachment 3.

Note: If the proposal is being presented by an offeror and one or more sub-offerors (subcontractors), at least two of the references must be for work completed by the offeror. Proposals should clearly identify which references pertain to the offeror versus any sub-offeror. Sub-offerors are not permitted to provide the offeror as a reference.

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 the Cost and Contract Proposal (Part II) satisfies the requirements specified in Table 21. Satisfaction of these requirements is mandatory in order to be considered responsive and eligible for contract award.

Table 21, Cost and Contract Proposal Submittal Checklist

ID	Priority	Requirement
R-131	Pre-Screening	The offeror shall submit five (5) Printed and bound hard copies of the Cost and Contract Proposal (Part II), plus one copy on CD/DVD, in MS Excel 2007 compatible format.
R-132	Pre-Screening	The Cost and Contract Proposal (Part II) shall be securely sealed and clearly labeled with the words "NYSDOT, 511NY Services RFP, Part II — Cost and Contract Proposal (C031118)."
R-133	Pre-Screening	The Cost and Contract Proposal (Part II) shall include the required cost information in a completed Attachment 8 , 'Cost Proposal Workbook'.
R-134	Pre-Screening	The Cost and Contract Proposal (Part II) shall contain the name, title, address, email, and telephone number of the person(s) with authority to negotiate, and who may be contacted during proposal evaluation.
R-135	Pre-Screening	The Cost and Contract Proposal (Part II) shall include a completed Attachment 2 . Offerors are reminded that they must sign Sections II and III.

ID	Priority	Requirement
R-136	Pre-Screening	<p>The Cost and Contract Proposal (Part II) shall include a completed Attachment 9, 'Procurement Lobbying Law Compliance Forms' (Offeror's Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j (3) and §139-j (6) (b) and Offeror Disclosure of Prior Non-Responsibility Determinations).</p> <ul style="list-style-type: none"> These two forms are required with a firm's RFP Response. These forms are also available at: https://www.dot.ny.gov/main/business-center/consultants/forms-publications-and-instructions. <p><u>Note: Failure to submit the completed Procurement Lobbying Law Compliance Forms with your proposal will result in elimination from consideration for contract award.</u></p>
R-137	Pre-Screening	The Cost and Contract Proposal (Part II) shall include a completed Attachment 12 , 'DBE Participation Information Form'.
R-138	Pre-Screening	The Cost and Contract Proposal (Part II) shall include a completed (if applicable) Attachment 13 , 'DBE Subconsultant Participation Solicitation Log' AND Letter of Explanation of Non or Partial DBE Goal Attainment.
R-139	Pre-Screening	The Cost and Contract Proposal (Part II) shall include a completed Form AOR (Attachment 17) acknowledging and all Modifications.
R-140	Pre-screening	The Cost and Contract Proposal (Part II) shall include a completed Non-Collusion Certificate (Attachment 18).

The Cost and Contract Proposal (Part II) 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) a Contract Section, which provides the required State certification and RFP administrative forms. All signatures on each copy must be 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.

4.3.1 Cost Section

NYSDOT requires that all cost information be presented using the RFP-provided Microsoft Excel spreadsheets (see **Attachment 8**, 'Cost Proposal Workbook') in both a hardcopy Part II response and an electronic copy on CD/DVD, with the latter securely presented in the Part II response. The accuracy of calculations and formulas in the spreadsheet are the sole responsibility of the offeror.

For cost scoring purposes, NYSDOT has broken out the following:

- **Infrastructure Services** - include, but are not limited to: the hosting costs required to operate 511NY in a new environment, e.g., databases, data storage, data networks, data transmission fees, firewalls, load balancers, operating systems, and program language execution environment for 511NY applications,
- **IVR Services** – include, but are not limited to: voice networks, telephony costs, voice recognition software, and support and operations for the 511 telephone number.
- **Application Services** - include, but are not limited to: data import, data fusion, IVR support/integration, website build and maintenance, social media support, and mobile

device support. Offerors must supply information for all supporting software, software licenses and related costs. Supporting software is any software or license required for the 511NY Services solution to operate as described in the offeror's response.

- **Additional Requirements** - As part of this contract, NYSDOT expects the consultant to purchase approximately 100 miles of commercially available traffic probe data in the first year of the contract. The probe data will be collected from one or more major New York State corridors to be selected at a later date. During the following years of the contract, NYSDOT will purchase the same data at the same rates. NYSDOT may request that the consultant purchase up to an additional 1400 miles of probe data. The potential purchase of the additional 1400 miles of probe data is referred to as Additional Requirements. The cost for the additional probe data should be provided as a fixed price per year per mile for a period of the 5 years of the contract and for potential follow-on years.
- **Additional Contingency Services** – include, but are not limited to the services identified in **Attachment 14**, 'Additional Contingency Services'. The cost for additional contingency services will be priced by NYSDOT using the labor rates provided in the Labor Rates worksheet in **Attachment 8**, 'Cost Proposal Workbook'.

When completing the Excel cost worksheets included in **Attachment 8**, offerors shall follow these instructions:

1. The one-time and recurring costs the proposer provides within the Cost Proposal must include ANY AND ALL one-time and recurring fees, charges, or costs for the duration of the contract, including but not limited to:
 - i. All direct and indirect costs, all overhead fees, profit,
 - ii. labor, parts, shipping, material and equipment cost;
 - iii. software licensing;
 - iv. emergency work;
 - v. maintenance services as specified herein;
 - vi. repairs and replacement of major or minor parts as necessary;
 - vii. administrative, reporting or other requirements;
 - viii. travel costs, parking fees, and any other ancillary fees including permits; licenses, insurance, etc., and
 - ix. services not explicitly stated in these specifications, but necessarily attendant thereto as applicable to the associated item for which the rate/fee is being quoted.
2. If a proposer indicates compliance with a requirement in **Attachment 7**, 'Requirement Traceability Matrix', the costs related to that requirement must be included in the Cost Proposal.
3. Terminology used in the cost spreadsheets for products and services must be consistent with the terminology used in the technical portion of the response.
4. All worksheets included in Attachment 8 must be completed in order for the response to be considered complete.
5. Proposer should not make entries in colored cells in Attachment 8's Excel spreadsheets.
6. Changes should not be made to the spreadsheet format or formulas. Proposers shall not attach any additional or qualifying information.

The offeror shall include the cost for any third party services and/or data needed to support its proposed design. These recommendations must comply with all requirements and specifications described in this RFP. **The State reserves the right to purchase third party services and/or data specified by the offeror 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 third party services and/or data costs to a firm's cost offer which are required to support its proposed design and implement its solution but not included in a offeror's proposal Part II cost submission.**

The Cost Proposal shall be presented as fixed price with cost breakdowns by Phase 1 (Project Kick Off to Deployment and Phase 2 (Deployment through Year 1, Year 2 and Year 3. Phase 2 also includes the optional years of Year 4 and Year 5.) Also, the Cost Proposal must itemize Infrastructure Services, IVR Services and Applications Services. Labor Rates are required as a basis for determining costs for Additional Contingency Services. **NYSDOT may request a "Best and Final Offer" from all offerors susceptible for contract award during the final stages of the proposal evaluation process.** NYSDOT may elect to negotiate further a firm's Cost Proposal during contract negotiations.

The New York State Office of General Services (OGS) maintains contracts for toll-free service and advanced features with a number of carriers. The winning Contractor will act as the agent for NYSDOT to purchase services from these contracts, unless the Contractor can provide comparable services at lower cost. A link to the Comprehensive Telecommunications Services contract follows: <http://www.ogs.state.ny.us/purchase/snt/awardnotes/7701720268can.HTM>

4.3.2 Contract Section

The Offeror 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** terms and conditions contained in the Draft Contract. Altering this form without the prior express written approval of NYSDOT 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 toward NYSDOT's DBE goal, a firm offering DBE participation must be currently certified per the NYSUCP DBE Directory (<http://www.nysucp.net/>). If the proposal does not meet the 11% 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** stating why the firm was unable to meet the DBE goal (in full or in part), which serves to substantiate the firm's good-faith effort. The letter should include sufficient justification as to why the goal was not met, or was met only partially, 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.

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 consultant result in proposed DBE subconsultants, the prime consultant will 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 NYSDOT 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 Proposal 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.
- Proposal 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 shall not reference web-links.
- Proposals should strive to consistently use 12 point font size. Smaller font sizes are allowed in footnotes or tables but not the text itself.
- Illustrations and photographs that support the text must be simple and direct and be either sized to fit on 8½ by 11-inch paper or printed on 11 inch by 17 inch paper, as long as the pages are folded to the 8½ by 11-inch size and fold out from the non-bound edge.
- Illustrations or photographs must be reproducible in black and white without obscuring their distinctive information.
- Proposals that make extensive use of color photographs or illustrations, or that include overly elaborate embellishments, are discouraged. NYSDOT may need to reproduce proposals for evaluation purposes, and the benefit of color would be lost.
- Brochures shall not be included in the Proposals.

- 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.

Offerors must submit Part I (including the cover letter) and Part II in separate binders and in separate, sealed packages. Offerors must deliver hardcopy proposals to NYSDOT’s Contract Management office no later than 2:00 PM ET on the specified RFP proposal due date. Offerors mailing proposals should allow sufficient mail delivery time to ensure timely receipt of their proposals. NYSDOT will not accept faxed or e-mailed 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 the rates proposed in **Attachment 8**, with reasonable reimbursement for agreed-upon out-of-pocket expenses (subject to state reimbursement limitations).

Requests for payment shall be made by the offeror 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 requests for payment are encouraged. All offerors/vendors are directed to register with the New York State Office of the State Comptroller to receive electronic payments per the Governor’s Directive.

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

<https://www.dot.ny.gov/portal/page/portal/main/business-center/consultants/forms-publications-and-instructions>

Each offeror must reference its SFS Vendor Identification Number in its Part II proposal. If an offeror 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. Proposals received late shall not be opened and shall be returned to sender.

Once logged-in, proposals shall be pre-screened to determine whether they meet the minimum RFP responsiveness requirements (including mandatory requirements). Proposals that meet the minimum RFP responsiveness requirements shall be considered further; proposals that do not meet the 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 next 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.

Once the independent evaluation of proposals is complete, the Committee shall meet as a group to collectively discuss their findings and possible score changes. 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 insight into their proposal through written clarifications and/or technical interviews. If written clarifications are required to complete the technical evaluation of a proposal, evaluators will be allowed to revise their technical scores based on this additional information. After initial technical proposal evaluation, 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).

Technical interviews are required in order to complete the technical evaluation of proposals and will be held at NYSDOT's offices at a date and time to be determined. There are up to 65 points available for the initial evaluation of written technical proposals, and up to 10 points available for

the in-person technical interview and presentation. Cost Proposal evaluation results (up to 25 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 short-list of firms (determined to be mathematically susceptible for contract award). NYSDOT will short-list the field of proposals, identifying those subject to contract award (any proposal within 10 points of the top initial best value ranked proposal). NYSDOT will publish the short list of firms on its website under this solicitation. Technical interviews are required in order 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 as to request best and final offers from firms determined to be susceptible for contract award. NYSDOT also reserves the right to re-score the remaining Technical and Cost Proposals, should a firm 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 that 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 website (<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 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 procure or contract services or supplies. Further, NYSDOT shall have no obligation or liability whatsoever to the offeror selected as a result of this solicitation, unless and until a contract satisfactory to NYSDOT is approved and executed by the offeror 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.

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 NYSDOT's offices located in Albany, New York, at a date and

time to be determined. Additionally, NYSDOT reserves the right to request Best and Final Offers from firms determined to be mathematically susceptible to contract award.

NYSDOT will first pre-screen each proposal to determine whether it was received on time, is complete, and adheres to the required response format. Early submission of proposals is encouraged. Next, NYSDOT will conduct a mandatory technical requirements review of those proposals that 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 75% of the final score (65 perfected technical points allocated to the highest scoring RFP written response, plus 10 perfected technical points allocated to the highest scoring technical presentation). As part of the technical evaluation process, consultants with a mathematical chance of being awarded a contract shall be invited to provide a technical presentation at the NYSDOT Albany-area office. These consultants will be required to bring their key personnel to the technical presentation. 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 toward NYSDOT'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 11% (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 evidence of Good-Faith Effort, if it is determined by NYSDOT that the firm did not provide an acceptable Good-Faith Effort, then the proposal may be deemed non-responsive and 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 and Part II proposals 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 75% of the total score. The initial evaluation of the written Technical and Management proposal will account for up to 65 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.

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. Clarification questions may be posed 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 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% 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 consultant assumes the responsibility of being prepared for and conducting this activity.

Technical presentations will be held at NYSDOT's main office located in Albany, New York, at a date and time to be determined. Each presenter will be given a Technical Presentation Package which defines the schedule and expected contents 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 gauge the consultant's 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 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 receiving a perfect 10 points, with all others receiving proportionately lower technical presentation scores. The proposal with the highest Part I technical score shall receive a perfect 65 points, with all others receiving proportionally 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 cost elements, reasonable hourly rates, overhead rates, and fees. Clarification questions may be asked. Cost Proposals shall be scored and will account for up to 25 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 Proposal 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 (25 points or 25% of the final cost score)

The proposer with the lowest total proposed cost will receive a perfected cost score of 25 points. Proposals with a 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 designation will be publically 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 that 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). 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 under the 'Consulting Services' listing on NYSDOT's website 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.

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 22, Proposal Scoring Method and Weights

Step	Title	Scoring Method	Points out of 100
1	Pre-Screening	Pass/Fail	N/A
2	Mandatory Requirements Review	Pass/Fail	N/A
	<u>Mandatory Technical Requirements</u>	Pass/Fail	
	<u>DBE Review</u>	Pass/Fail	
3	Technical Proposal	Scored	65
	<u>Executive Summary</u>	Scored	
	<u>Technical Approach</u>		
	• <u>System Re-Hosting Approach</u>	Scored	
	• <u>System Enhancement Approach</u>	Scored	
	• <u>Operation and Maintenance Approach</u>	Scored	
	• <u>Transition Approach</u>	Scored	
	• <u>Additional Contingency Services Approach</u>	Scored	
	<u>Program Management Approach</u>	Scored	

Step	Title	Scoring Method	Points out of 100
	<u>Offeror Experience</u>	Scored	
4	Cost Proposal	Scored	25
	Labor Cost	Scored	
	Non-Labor Infrastructure Services Cost	Scored	
	Non-Labor IVR Services Cost	Scored	
	Non-Labor Application Services Cost	Scored	
	Additional Contingency Services Cost	Scored	
	Additional Requirements Cost	Scored	
5	Technical Presentation	Scored	10
Total			100

6. ADMINISTRATIVE SPECIFICATIONS

6.1 Proposal Due Date

All proposals must be received in NYSDOT's Contract Management office by 2:00 PM ET on January 18th, 2013.

6.2 Proposal Submission

The proposal must be submitted and shipped to:

Peter Russell, Contract Management
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York 12232
Attention: 511NY Services RFP (Contract #C031118)
E-mail: Peter.Russell@dot.ny.gov

6.3 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.

NYSDOT reserves the right to:

- To accept or reject any or all proposals.
- To withdraw the RFP at any time, at NYSDOT's sole discretion.
- Make an award under the RFP in whole or in part.
- Disqualify any bidder under the RFP whose conduct and/or proposal fails to conform to the requirements of the RFP.
- Seek clarifications and revisions of proposals:
- To correct any arithmetic errors in any or all proposals.
- To change the proposal's due date upon appropriate notification to interested firms
- To eliminate any mandatory non-material RFP specifications unmet by all offerors in the evaluation of received proposals
- Use proposal information obtained through site visits, management interviews and the state's investigation of a bidders' qualification, experience, ability, or financial standing, and any material or information submitted by the bidder in response to NYSDOT's request for clarifying information in the course of evaluation and/or selection under the RFP.
- To adopt any or all of a successful consultant's proposal
- To waive any requirements not material.
- Utilize any and all ideas submitted in the proposals received.

- 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
- 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
- To revise/amend any provision of this RFP by written notification to offerors, prior to proposal submission
- To eliminate any requirement that is found to be unmet by all offerors
- To make inquiries, by means it may choose, into the consultant's background or statements made in the proposal to determine the truth and accuracy of all statements made therein
- To select and award the contract to the offeror whose proposal represents the best value to NYSDOT
- To begin contract negotiations with the next-best-value offeror(s) responsive to this RFP, without again requesting proposals, should NYSDOT determine that negotiations with the selected offeror will not result in a contract

Any contract entered into pursuant to an award of this solicitation shall contain a provision which grants the option to extend the terms and conditions of such contract to any other New York state agency. However, any response to this solicitation shall be based solely on the purpose of this solicitation and shall not factor in the possibility that this contract may, in the future, be applicable to other state agencies. Please be advised that any award made pursuant to this solicitation shall be based on the specific requirements of this solicitation only.

6.4 Affirmative Action Goals

NYSDOT 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').

6.5 Inquiries and Information

All questions concerning this solicitation must be directed only to Mr. Peter Russell. 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:

Peter Russell, Contract Management
New York State Department of Transportation
50 Wolf Road, 6th Floor
Albany, New York 12232
Attention: 511NY Services RFP (Contract #C031118)
E-mail: Peter.Russell@dot.ny.gov

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.

6.6 Tentative Schedule of Key Events

NYSDOT will attempt to adhere to the following schedule with regard to this solicitation. The schedule is subject to change at the discretion of NYSDOT.

<u>Event</u>	<u>Timeline</u>
RFP Release Date	December 14, 2012
Question Submittal Deadline	January 21, @ 2:00 PM ET
Question Response Deadline	January 28, 2013
Proposals Due	February 8, 2013, @ 2:00 PM ET
Proposal Evaluation Begins	February 11, 2013
Technical Presentations	March 11, 2013
Consultant Selection	March 18, 2013
Contract Approval	June 1, 2013

6.7 Protest Procedure

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

6.8 Information Items for Selected Consultant

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

Vendor Responsibility

The selected consultant will need to go to the NYSDOT website (<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 ten (10) days of being notified of their 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 consultants selected for contracts in excess of \$100,000 for the sale of goods or services must complete and submit two NYS Tax Department forms: Form ST-220-TD (Contractor Certification) and Form ST-220-CA (Contractor Certification to Covered Agency) during negotiation of a contract with state agencies. You should make yourself familiar with these forms by visiting the following websites:

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

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. The consultant selected for contract award will be required to complete and submit insurance certificate C218 before starting work. The C218 form can be found at [https://www.dot.ny.gov/main/business-center/consultants/consultants-repository/Revc218%20\(fillable%20form\)new_0.pdf](https://www.dot.ny.gov/main/business-center/consultants/consultants-repository/Revc218%20(fillable%20form)new_0.pdf)

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 NYSDOT on or before May 15 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 that they propose staff eligible to work on the subject project. Under the attached procedures, before the consultant proposes a former NYSDOT employee, the individual must obtain an opinion from the New York State Ethics Commission that approves their participation in the subject project. For an outline of the procedure that applies to this situation, see **Attachment 11**.

Registration with NYSDOT

All consultant firms entering into contracts with 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:

https://www.dot.ny.gov/main/business-center/consultants/consultants-repository/instructions_cssweb_firm.rtf

or via:

https://www.dot.ny.gov/main/business-center/consultants/consultants-repository/instructions_cssweb_firm.pdf

Consultant Firm Registration begins at:

<https://www.dot.ny.gov/main/business-center/consultants/css-web>

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.

Registration with the Statewide Financial System (SFS)

If a firm has already registered in SFS in connection with a procurement effort, it will likely not need to re-register for this opportunity. However, a SFS vendor number is firm name specific. Since many firms have different variations of their business identities, firms will be required to register in the name of the business entity that NYSDOT is doing business with.

<http://www.sfs.ny.gov/>

6.9 Acronym List

Acronym	Definition
ACORD	Association for Cooperative Operations Research and Developmen
ADA	Americans with Disabilities Act
AES	Advanced Encryption Standard
ANI	Automatic Number Identification
API	Application Programming Interface
BHCC	Busy Hour Call Completion
CAP	Common Alert Protocol
CARS	Condition Acquisition and Reporting System
CCTV	Closed-Circuit Television
CD	Compact Disc
CFDA	Catalog of Federal Domestic Assistance
CIN	Consultant Identification Number
CO	Carbon Monoxide
COTS	Commercial Off The Shelf
CPLR	State Civil Practice Law & Rules
CSSWeb	Consultant Selection System Web Application
CUNY	City University of New York
DBE	Disadvantaged Business Enterprise
DBM	Design Build Management
DEC	Department of Environmental Conservation
DED	Department of Economic Development
DES	Data Encryption Standard
DI	Data Interface
DMZ	Demilitarized Zone
DVD	Digital Versatile Disc
DUNS	Data Universal Numbering System
EEO	Equal Employment Opportunity
EIM	External Interface Module
ELRS	Enterprise Linear Referencing System
ERM	Event Report Management
ETIP	Events with Transportation Impact

Acronym	Definition
FAQs	Frequently Asked Questions
FEIN	Federal Identification Number
FHWA	Federal Highway Administration
FOIL	Freedom of Information Law
FTA	Federal Transit Administration
GAO	U.S. Government Accountability Office
GB	Gigabyte
GHz	Gigahertz
GIS	Geographic Information Systems
GOMWBD	Governor's Office of Minority & Women's Business Development
GPS	Global Positioning System
GTFS	General Transit Feed Spec
HC	Hydrocarbon
HD	Hard Drive
HOOCs	Highway Oversize Overweight Credentialing System
HOV	High Occupancy Vehicle
HP	Hewlett-Packard
HTML	HyperText Markup Language
HTTP	Hypertext Transfer Protocol
HVAC	Heating, Ventilation, and Air Conditioning
ISO	Information Security Officer
ITD	New York State Department of Transportation Information Technology Division
ITS	Intelligent Transportation System
IVR	Interactive Voice Response
JARC	Jobs Access and Reverse Commute
LAMP	Linux, Apache, MySQL, PHP open-source web development platform
LAN	Local Area Network
LRM	Linear Referencing Method
MBE	Minority Business Enterprises
MPH	Miles Per Hour
MS/ETMCC	Message Sets for External Traffic Management Center Communications
MTA	Metropolitan Transportation Authority

Acronym	Definition
NDA	Non-Disclosure Agreement
NITTEC	Niagara International Transportation Technology Coalition (www.nittec.org)
NJTPA	North Jersey Transportation Planning Agency
NOAA	National Oceanic and Atmospheric Administration
NOx	Nitrous Oxides
NTCIP	National Transportation Communications for Intelligent Transportation System (ITS) Protocol (NTICP)
NYC	New York City
NYCDOT	New York City Department of Transportation`
NYCRR	New York Codes, Rules and Regulations
NYSDOT	New York State Department of Transportation
NYSTA	New York State Thruway Authority
NYSUCP	New York State Unified Certification Program (http://biznet.nysucp.net/)
OCS	New York State Office of Cyber Security
OGS	New York State Office of General Services
OMG	Office of Management and Budget
OSC	New York State Office of the State Comptroller
OS/OW	Oversize/Overweight
PANYNJ	Port Authority of New York/New Jersey
PATH	Port Authority Trans-Hudson Corporation
PDU	Power Distribution Unit
PHP	Personnal Home Page Hypertext Preprocessor scripting language
PIN	Personal Identification Number
PIO	NYSDOT Public Information Officer
POI	Points of Interest
PSA	Public Service Announcement
RAM	Random-Access Memory
REST	Representational State Transfer
RFP	Request for Proposal
RSDA	Road Status/Damage Assessment
RTM	Requirements Traceability Matrix
SAT	System Acceptance Test Plan
SDP	Schedule Data Profile

Acronym	Definition
SFL	State Finance Law
SFS	Statewide Financial Management System
SLA	Service Level Agreement
SOEM	NYS Office of Emergency Management
SQL	Structured Query Language
SUNY	State University of New York
TBD	To Be Determined
TEC	Technical Evaluation Committee
TMC	Traffic Management Center
TMDD	Traffic Management Data Directory
TRANSCOM	Transportation Operations Coordinating Committee
TSIP	Transit Service Information Portal
URL	Uniform Resource Locator
VLAN	Virtual Local Area Network
VMS	Variable Message Sign
WBE	Women's Business Enterprises
WBS	Work Breakdown Structure
WDMS	Web Data Management System
WMA	Windows Media Audio
WTA	Winter Travel Advisory
XML	eXtensible Markup Language

6.10 Glossary

Term	Definition
511NY	511NY is the NYS one-stop phone and web source for up-to-the-minute transportation information.
Additional Requirements	These requirements/services describe goods or services that the offeror must propose, but that NYSDOT is not obligated to purchase. NYSDOT will evaluate and document the degree of responsiveness and will numerically score responses to requirements denoted as 'Additional Requirements.'
Additional Contingency Services	These are services that NYSDOT may, at its discretion, request that the consultant provide that are not provided for within the basic terms and fees of the RFP. The implementation of the Additional Contingency Services may be by means of a work order structure.
Bridge	By federal and state definition, bridges are structures that have a span of more than 20 feet.

Term	Definition
Bridge Data Information System (BDIS)	A NYSDOT application that is used for the management of bridges, large culverts, and all information regarding those structures.
CARS	Condition Acquisition and Reporting System is a NYSDOT road reporting system that creates a multi-state database of highway events. Authorized staff use CARS as a centralized database of incidents and other traffic-related situations at the statewide level to facilitate the sharing of travel information with the public and with external agencies. CARS provides a single point of data entry that supports information dissemination via multiple media.
CARS 511	A NYSDOT application that is used to detect changes to the CARS database and provide them for the Smartnet Application to download.
Desired	Requirements that describe goods or services that NYSDOT prefers but that the consultant is not obligated to propose.
Esri	Esri develops geographic information systems (GIS) that function as an integral component in nearly every type of organization.
EZPass	An electronic toll-collection system used on most tolled roads, bridges, and tunnels in the northeastern US.
HOOCS	Highway Oversize Overweight Credentialing System - A NYSDOT application used to manage oversize/overweight permits and enforce permits. HOOCS will provide temporary restriction information.
Mandatory	Requirements that must be met in order for the consultant's proposal to be deemed technically responsive to the RFP during the pre-screening evaluation phase.
My511NY	A capability within the NYS 511 application that enables users to quickly access traffic and transit conditions for their commute and other frequent trips.
Necessary	Requirements that are essential in fulfilling the contract
Nuance	The Nuance Voice Recognition Software is utilized in the 511NY IVR.
Rideshare	511NY Rideshare matches travelers for potential carpools, vanpools, bike buddies, and transit options.
SAVVIS	SAVVIS is the company that provides the Production 511 Data Center at its New Jersey Data Center.
SDP	Schedule Data Profile, a XML based data exchange format that describes a transit agency's service information.
Shall	Indicates that the requirement is contractually binding.
SmartNET	SmartNET is a Televent product that provides data import and data fusion capabilities.
Televent	Televent is the current consultant providing the 511NY Services.
TMDD	The TMDD Standards were developed to support center-to-center communications as part of the regional deployment of ITS in order for centers to cooperate in the management of a corridor, arterial, incident mitigation, event management, etc. http://www.ite.org/standards/tmdd/ .

Term	Definition
TRANSCOM	The Transportation Operations Coordinating Committee is a coalition of 16 transportation and public safety agencies in the New York-NewJersey-Connecticut metropolitan region. (www.xcm.org)
Verizon	Verizon currently provides the 511NY Telecommunications Services.

Attachments

All Attachments are available for download from the following NYSDOT web site:
<https://www.dot.ny.gov/portal/page/portal/doing-business/opportunities/consult-ads#1305>

Attachment 1 – Draft Contract

Attachment 2 – Information and Certifications

Attachment 3 – Company Experience and References

Attachment 4 – Staffing Plan and Résumés

Attachment 5 – Existing System Functionality

Attachment 6 – Strategic Vision

Attachment 7 – Requirement Traceability Matrix

Attachment 8 – Cost Proposal Workbook

Attachment 9 – Procurement Lobbying Compliance Form

Attachment 10 – Consultant Disclosure Forms A and B

Attachment 11 – Use of Former NYSDOT Employees

Attachment 12 – DBE Participation Information Form

Attachment 13 – DBE Sub-consultant Participation Solicitation Log

Attachment 14 – Additional Contingency Services

Attachment 15 – 511NY Portfolio

Attachment 16 – Service Level Agreement

Attachment 17 – Form AOR

Attachment 18 – Non-collusion Certificate