



TRANSPORTATION INFRASTRUCTURE RESEARCH CONSORTIUM

SPONSORED BY NYSDOT

Cornell University
School of Civil & Environmental Engineering
Hollister Hall, Ithaca, NY 14853-3501
Phone: (607) 255-7519 or 4926, Fax: (607) 255-9004
E-mail: ahm2@cornell.edu (Meyburg) or jrm15@cornell.edu (Mbwana)

TIRC-NYSDOT PROPOSAL FORMAT AND EVALUATION CRITERIA

Proposal Delivery Location and Additional Information:

Director, Transportation Infrastructure Research Consortium
Cornell University
School of Civil & Environmental Engineering
220 Hollister Hall
Ithaca, NY 14853-3501

Prepared by: TIRC Administration
Cornell University
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1. INTRODUCTION

In order to bring uniformity among proposals and facilitate the evaluation process of the TIRC-NYSDOT projects, we recommend that your institution(s) follow this guideline for proposal format.

2. PROPOSAL FORMAT AND CONTENTS

2.1 PART I: TECHNICAL AND MANAGEMENT SUBMITTAL

For the purposes of evaluation, each proposal must be submitted in two (2) parts. Part I consists of the Technical and Management Submittal. Part II is the Cost and Contract Submittal. Each part of the proposal shall be complete in itself in order that the evaluation of both parts can be accomplished concurrently, and the evaluation of the Technical and Management Submittal can be made strictly on the basis of its merit. Cost information is not to be included in the Technical Management Submittal. A separate proposal (which is fully responsive to the informational requirements set forth below) should be prepared for each project. In preparing your proposal, please follow the format listed below:

2.1.1 General Information

List the name(s), address(es) and telephone number(s) of the proposer(s). Include a contact person, and name of the person(s) who prepared the proposal. Please identify the project title. The Technical and Management Submittal should not exceed 15 pages, excluding resumes.

2.1.2 Table of Contents

The proposal should include a table of contents.

2.1.3 General Discussion

Provide a concise discussion of the relevant technical, economic, environmental and/or legal issues surrounding the specific project for which you are submitting a proposal. The proposal should contain enough substantive discussion to clearly demonstrate that you (a) understand what is wanted and, particularly, its relevance to the New York State environment; (b) are familiar with existing data and know generally what has already been accomplished and how the proposed effort will improve upon or contribute to what has already been accomplished; and (c) have access to various sources of pertinent information.

2.1.4 Approach, Scope of Services and Schedule

- a. General

Describe your approach and methodology for performing the work and how it will specifically accomplish the NYSDOT's stated goals and objectives for the proposed research effort.

b. Scope of Work

Provide a detailed scope of work that describes by task (and sub-task, as appropriate) all work anticipated for the conduct of project. The scope of work must be presented at a level of detail that allows NYSDOT stakeholders to clearly understand all of the activities associated with the performance of the project. You may base your scope of work on the general project descriptions contained in request for proposal (RFP) sent to you earlier, or suggest alternatives that could improve the ability of NYSDOT stakeholders to meet their objectives.

In order to expedite the contracting process, especially the reduction in processing time from proposal selection to contract documentation, proposers should tighten the proposal language such that it is easy to create a scope of work out of it. As an example, instead of proposing that *...the study team will conduct three or four surveys...*, that statement should read *...the study team shall (will) conduct four surveys...* The more specific the proposal is the easier it will be to convert it into a contract document, and the faster the contracting process.

TIRC and NYSDOT want to allow maximum flexibility for the ideas, initiative and creativity of the proposers. Alternative tasks and suggestions are encouraged and will be reviewed within the framework and stated objectives and scope of the effort. However, give full explanation and justify your approach if significant departures from the general scope are recommended.

c. Scheduling of Tasks and Milestones

Provide a detailed schedule in bar (Gant) chart form which depicts the starting and completion times for each task (and sub-task, as appropriate) and its relative sequence in time, in terms of weeks or months from contract award. Identify milestones, including any proposed meetings, reports/deliverables, approvals, etc., which may be appropriate for the effort.

d. Technology Transfer and Implementation

Provide a preliminary plan for transferring research results with initial proposals. Upon completion of the research project, the Principal Investigator will develop a technology transfer plan tailored to the nature of the study and the need of NYSDOT. The development of the plan will be part of the research contract and will not require a separate contract or the incurrence of additional costs.

The technology transfer plan shall identify a target audience within NYSDOT, outline the scope and schedule of technology transfer efforts needed to facilitate the transfer of results, and include marketing techniques, packaging and delivery mechanisms (i.e. seminars, training, etc.) that will be utilized for execution of the technology transfer plan.

As part of its deliverables, each proposal should indicate the estimated cost of

implementing the proposed products of the study.

2.1.5 Organization and Staffing

- a. Provide an organizational chart for the project showing the names of the project manager and key personnel (including any sub-consultants). Include resumes for all key personnel. Discuss key personnel responsibilities, roles and functions.

If sub-consultants are to be used, explain the specific need for their expertise, including a sub-consultant qualification statement and describe the arrangements.

- b. Provide a staffing table that identifies the monthly level of effort or number of hours allocated for each of the key personnel to each task and the total estimated months or hours for each task.

2.1.6 Experience

Submit a list of related, relevant projects that have been undertaken and successfully completed by the proposer (and/or sub-consultants). Identify key personnel who are working (or have worked) on such projects. For each project provide a brief project summary, and the name and telephone number of a client contact. TIRC and NYSDOT reserve the right to contact any source so named.

2.1.7 Cost-Sharing and Special Resources

- a. Based on the total cost of the project, indicate the source and percentage of any cost-sharing being offered. If in-kind, describe the nature of the contribution (e.g., labor, equipment, etc.). No dollar amounts are to be used; pricing information must only be shown in the Part II - Cost and Contract Proposal.

Example:

NYSDOT		%
Proposer		
--actual dollars	%	
--in-kind		%
Other Sources (named)		
--actual dollars	%	
--in-kind		%
<hr/>		100 %

- b. Describe any relevant, special resources, facilities, equipment, etc., that can be made available to the project.

2.2 PART II: COST

Part II of the proposal consists of a cost proposal that sets forth the specific monthly or hourly rates (inclusive of applicable profit/fee and overhead) and non-salary costs expected to be incurred in performance of the project. Since the cost proposal will be evaluated to determine reasonableness and the probable total cost to NYSDOT, as well as possibly being the basis for any necessary negotiation, it should be complete, accurate and well documented. Contractual cost information should not be included in the technical proposal. Cost proposals must contain the following elements.

2.2.1 Salaries

A specific table of hourly or monthly (summer and academic year) rates which lists the names and descriptive job titles of the staff to be assigned to the project and a composite billing rate, which includes a breakdown of the monthly or hourly salary rate, overhead, and profit/fee where applicable. Escalation factors (if any) shall be clearly identified. If additional titles are to be used but are not assigned, they should be listed. The table shall be completed for each task of the project.

2.2.2 Non-Salary Costs

A list of direct costs expected to be incurred in the performance of the project. Travel, meals, and lodging reimbursements shall be limited to the prevailing maximum rates established by the State Comptroller, included as Attachment C to the RFP. Sub-consultant costs, if any, must be shown in the schedule.

2.2.3 Summary

A final schedule will summarize the direct labor, overhead, direct non-salary and fee/profit for each task and for the entire project.

Adequate pricing details must be included in the cost proposal for each proposed project. The basis for estimates of the required effort to complete the project with respect to such items as labor category mix and hours, use of sub-consultants, number of travel days and destinations, equipment rentals, etc., must be clearly described.

3. CRITERIA FOR EVALUATING PROPOSALS

3.1 GENERAL

Proposals will be evaluated by the NYSDOT Technical Working Groups (TWG) that were identified in our earlier communication. This evaluation will be based on the technical and price criteria described below. Technical proposals will be scored based on the information provided under Section 2.1: Part I: Technical and Management Submittal in accordance with the pre-established criteria listed in Section 3.2 below.

3.2 TECHNICAL AND MANAGEMENT

The technical and management proposals will be scored. The criteria are listed in descending order of importance; sub-criteria within each group are also in descending order of importance.

3.2.1 Approach and Scope of Services

- .. Quality of general discussion; extent to which it clearly demonstrates (i) an understanding of the project and its relevance to the New York State environment; (ii) familiarity with existing data and how the effort will improve upon or contribute to what has already been accomplished; and (iii) access to various sources of pertinent information.
- .. Quality and completeness of approach, methodology and scope of services, including creativity; extent to which NYSDOT's goals and project objectives will be achieved.

3.2.2 Experience

- .. Quality, extent and relevance of key personnel (including any sub-consultants).
- .. Quality, extent and relevance of experience in conducting similar efforts.

3.2.3 Organization, Staffing and Schedule

- .. Quality and reasonableness of staff/task allocations, including effort contributed by key personnel to each task and total program.
- .. Quality of project organization, including key personnel assignments and use of sub-consultants (if any).
- .. Quality and reasonableness of schedule.

3.2.4 Cost Sharing and Special Resources

- .. Extent and reasonableness of cost-sharing offered by the proposer.
- .. Extent and relevance of any special resources, etc., that can be made available to the project.

3.3 Cost

The cost proposal will not be scored. It will, however, be evaluated to determine:

- a. The realism of the proposed cost relative to the requirements of the Scope of Services;
- b. The relationship of the proposer's total cost to the cost of other competitive proposals and their projected results; and
- c. Which proposal(s) is/are to the best advantage of NYSDOT.

3.4 PROGRAMMATIC

The following programmatic consideration, while not indicative of a proposal's individual merit (e.g., technical excellence, ability, etc.) will be relevant to the process of selecting a proposal that will best achieve the overall goals of NYSDOT.

Disadvantaged/Minority/Women-Owned Businesses (D/M/WBES):

NYSDOT encourages the participation of D/M/WBES in its contracting program.

4. ADMINISTRATIVE SPECIFICATIONS

4.1 PROPOSAL SUBMISSION

- a. The proposal shall:
- “ be signed by an official authorized to bind the proposer, and shall contain a statement to the effect that the proposal is a firm offer for a 180 day (or more) period.
 - “ provide the name, address and telephone number of individual(s) with authority to negotiate and contractually bind the proposer and also who may be contacted during a period of proposal evaluation.
- b. Proposers shall submit six (6) copies of Part I and three (3) copies of Part II.

Proposals must reach the consortium office by 4p.m. of the stated deadline. All proposals should be addressed to:

Director, Transportation Infrastructure Research Consortium
Cornell University
School of Civil & Environmental Engineering
220 Hollister Hall
Ithaca, NY 14853-3501

4.2 TIRC AND NYSDOT RIGHTS TO PROPOSALS

All proposals, upon submission to the TIRC/NYSDOT, shall become its property for use as deemed appropriate. By submitting a proposal, the proposer covenants not to make any claim for or have any right to damages because of any misinterpretation or misunderstanding of the specification, or because of any misinformation or lack of information. TIRC/NYSDOT has the following prerogatives with regard to proposals submitted:

- to accept or reject any or all proposals;
- to correct any arithmetic errors in any or all proposals;
- to change the proposal's due date upon appropriate notification;
- to adopt any or all of a proposer's proposal;
- to negotiate modifications to the scope and fee with the selected proposer prior to contract award.

4.3 METHOD OF PAYMENT

Payment for services provided under the project shall be a specific reimbursement of salary costs and compensation for non-salary costs, overhead, benefits or profits authorized and incurred in the performance of an approved research effort. Consultant(s) shall make requests for payments upon completion of approved milestones (deliverables or products).

4.4 CONTRACT AWARD

TIRC/NYS DOT may award a contract, based on initial offers received without discussion or after limited discussions or negotiations of such offers. Accordingly, each offer should be submitted on the most favorable terms possible from a cost and technical standpoint. However, the TIRC/NYS DOT reserves the right to request additional data, or oral discussions or presentation, in support of written proposals. Award will be made to that/those responsible proposer(s) whose offer(s) conforming to this solicitation is/are considered most advantageous to NYSDOT, considering the evaluation criteria contained in Section 3 of this document.