



**REGION 2
UNIVERSITY TRANSPORTATION RESEARCH CENTER
RFP COVER SHEET**

Title: ENGINEERING SUPPORTIVE SERVICES PROGRAM (ESSP)

RFP Number: TA-09-62

Sponsor: NYSDOT

Date Issued: August 3, 2009

Final Proposal Due at UTRC: **September 4, 2009 at Noon** (submit through the UTRC Online Submission System at www.utrc2.org)

Please note the following **deadlines**:

- A pre-proposal conference is scheduled for **August 14, 2009**.
- Statements of interest are due **August 21, 2009**.
- The deadline for questions about the RFP is **August 28, 2009**.
- The deadline for the submission of proposals is Noon, Eastern Time on **September 4, 2009**.

If you plan to apply:

Please contact Penny Eickemeyer at peickemeyer@utrc2.org (cc: ckamga@utrc2.org) to let us know you are assembling a proposal. We will make sure you receive any additional information that becomes available about this RFP.

Proposal submission guidelines:

Please submit your proposal electronically to UTRC. We will deliver the proposals to the sponsoring agency by the closing date.

Funding available:

Up to \$231,163 is available from NYSDOT. Facilities and Administrative Costs (or Indirect Costs) charged by academic institutions and RFCUNY fees (7.75%) are included in the above amount. Sample Proposed Budget forms can be downloaded at <http://www.utrc2.org/research/rfps/RFP09-62/budget.xls>

For questions about this RFP, please contact:

Paul Hoole, Director (phoole@dot.state.ny.us)
Research and Policy Studies Section, 6th Floor
New York State Department of Transportation
50 Wolf Road
Albany, NY 12232

For questions about submitting a proposal, please contact: Ms. Penny Eickemeyer (peickemeyer@utrc2.org) or Dr. Camille Kamga (ckamga@utrc2.org)

NEW YORK STATE DEPARTMENT OF TRANSPORTATION

REQUEST FOR PROPOSALS

**ENGINEERING SUPPORTIVE SERVICES PROGRAM (ESSP) FOR NYSDOT
Task Assignment 09-62 to Contract # C030506**



Proposal Due Date: September 4, 2009.

Proposal Delivery Location and
Additional Information:

Paul Hoole, Director
Research & Policy Studies Section, 6th Floor
New York State Department of Transportation
50 Wolf Road
Albany, NY 12232
Attention: Paul Hoole (phoole@dot.state.ny.us)

REQUEST FOR PROPOSALS

NEW YORK STATE DEPARTMENT OF TRANSPORTATION ENGINEERING SUPPORTIVE SERVICES PROGRAM (ESSP) FOR NYSDOT Task Assignment 09-62 to Contract # C030506

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REQUEST FOR PROPOSALS
NEW YORK STATE DEPARTMENT OF TRANSPORTATION (NYSDOT)
ENGINEERING SUPPORTIVE SERVICES PROGRAM (ESSP) FOR NYSDOT
Task Assignment 09-62 to Contract #C030506

I. INTRODUCTION

A. Purpose

The New York State Department of Transportation (NYSDOT) has released this Request for Proposals (RFP) seeking proposals for professional services to award a contract to a responsive and responsible consultant for the management and implementation of an Engineering Supportive Services Program within the 5 Boroughs of New York City (Region 11) (see the following NYSDOT web page for information regarding the specified regions: <https://www.nysdot.gov/regional-offices>).

The Engineering Supportive Services Program (ESSP) is a program of structured On-the-Job Training (OJT) experience and classroom instruction targeted at minorities, females and economically disadvantaged persons in order to enable the target population to enter engineering technician career fields such as, highway design, estimating and detailing construction inspection, bridge inspection and other areas found in NYSDOT consultant engineering agreements. The Consultant will also be expected to provide mentoring, and academic services for program participants.

A further purpose is that the trainees retain the information for use towards employment and the passing of National Institute for Certification in Engineering Technologies (NICET) exams. Employment may include engineering technician career fields such as highway design, construction inspection, bridge inspection and other technical expertise utilized on NYSDOT consultant engineering agreements. ESSP will also prepare trainees who are working on NYSDOT consultant engineering agreements to pass the NICET exams. Examples of NICET Civil Engineering Technology programs for which students may want to become certified, might include construction inspection or material testing, highway design, surveying or traffic operations, or bridge inspection. In order to develop a cadre of certified technicians, ESSP will train students to pass NICET Level I and II Exams and facilitate their placement and retention with engineering firms. Refer to: <http://www.nicet.org>

Please note the following **deadlines**:

- A pre-proposal conference is scheduled for **August 14, 2009**.
- Statements of interest are due **August 21, 2009**.
- The deadline for questions about the RFP is **August 28, 2009**.
- The deadline for the submission of proposals is Noon, Eastern Time on **September 4, 2009**.

To assist firms in preparing proposals in response to this solicitation, a **pre-proposal conference** will be held on **August 14, 2009** in Conference Room A at NYSDOT's Main Office at 50 Wolf Road, Albany at 2:00 PM (see page 19 for details). A general review of the solicitation will occur, and specific questions regarding the solicitation may be asked and answered.

Expressions of interest are requested by COB August 21, 2009. These expressions should be emailed to Paul Hoole at phoole@dot.state.ny.us. Please include your contact information (e-mail addresses on company letterhead)

Proposals are due by COB, September 4, 2009. This Request for Proposals is being offered to the University Transportation Research Center (UTRC) members only. Members should submit proposals through the Administrator of this consortium. The receipt of an electronic PDF copy of the proposal by NYSDOT on or before the above due date is satisfactory, providing hard copies follow within a week.

The designated contact for this solicitation is Paul Hoole. Questions seeking clarification on the RFP will be accepted up to one (1) weeks prior to the due date for proposals and should be e-mailed to: phoole@dot.state.ny.us. Investigators should be familiar with and follow the requirements of New York State with regard to the *Compliance Procurement Lobbying Law* and consultant contract procurement. Information can be found on the NYSDOT website under Business Center / Doing Business with NYSDOT / Consultants / Non-Architectural Engineering Information / Active Solicitations:
<https://www.nysdot.gov/main/business-center/consultants>

B. Background

It is the policy of the New York State Department of Transportation to afford equal opportunity in employment and training to traditionally socially and economically disadvantaged persons in its consultant engineering program.

According to the New York State Department of Labor statistics (2002), women are under-represented in the science and technology workforce, comprising 33.9% of engineering and science technicians, 26.1% of mathematical and computer scientists, and 11.2% of engineers. In addition, U.S. Census data (2000) show that Black, Hispanic and Asian males comprise 19.6%, 11.2% and 5% respectively of construction inspectors in Westchester, Rockland, Nassau, Suffolk, Kings, Queens, Richmond, Bronx, and Manhattan counties. The same 2000 Census data show women comprise 9.1% of construction inspectors, remaining underrepresented in this category. NYSDOT will continue efforts to recruit and train minority males, and other socio-economically disadvantaged individuals to become construction inspectors, bridge inspectors and highway design technicians.

Compared to the total number of construction inspectors and the number of minority males in particular, the number and percentage of female construction inspectors is particularly very low. To address this, the ESSP Provider will stress canvassing engineering firms, training and placement of women in construction inspection occupations.

C. Viewing of the Current Curriculum

To assist firms in the preparation of their proposals, information about the ESSP program is being made available for review and inspection. This information can be downloaded from the following NYSDOT web link:

<https://www.nysdot.gov/main/business-center/civil-rights/civil-rights-repository/ESSP%20Brochure.pdf>
<https://www.nysdot.gov/main/business-center/civil-rights/civil-rights-repository/ESSP%20Curriculum.pdf>
<https://www.nysdot.gov/main/business-center/civil-rights/civil-rights-repository/ESSP%20TABLES.rtf>
<https://www.nysdot.gov/main/business-center/civil-rights/civil-rights-repository/ESSP%20Individual%20Interview%20Questions.rtf>

The material includes but is not limited to information on existing curriculum, interview questionnaires and NICET exam preparation.

The following website covers the implementing regulations for supportive services related to the ESSP: <http://www.fhwa.dot.gov/legsregs/legislat.html>. The purpose of the regulations is to prescribe the policies, procedures, and guidance relative to the implementation of an equal employment opportunity program on Federal and Federal-aid highway construction contracts.

D. Minimum Technical Requirements

Using **Attachment #11: Classroom Space Requirements**, the Consultant certifies to the following minimum technical requirements:

- Has sufficient space, including independent laboratory and study rooms, located within the 5 boroughs of New York City for a minimum of 15 students per cycle, with 3 cycles per year?

Any proposal that does not provide classroom space for this range of total students will be determined to be non-responsive, and will be eliminated from the selection process before technical evaluations.

E. Minimum Proposal Requirements

Any firm that does not provide all of the following required forms by the RFP deadline will be determined to be non-responsive and will be eliminated from the selection process before they are technically evaluated:

URL Links for Attachments are shown on Page 29.

- The Project Schedule of Events.
- The Project Budget (**Attachment #2 Sample Proposed Budget**)
- Procurement Lobbying Law forms (**Attachments #3 and #4**).
- The HBCU participation information.
- Classroom Space Requirements (**Attachment #11**)

F. Historically Black and Minority Colleges and Universities

NYSDOT encourages the participation of member institutions that have historically educated black, minority and traditionally under represented students.

G. Optional Proposal Form

Beyond the required forms, the NYSDOT 255NAE submission form (**Attachment #1**) is offered for the convenience of proposers. Proposers are welcome but not required to submit an attachment #1

H. Project Funding

Up to \$231,163 has been budgeted for this project, including UTRC/CUNY Research Foundation administrative fees. New York State believes this is a reasonable estimate for the total cost of the work being requested. This project has an annual budget of \$231,163 for one year, 3 cycles per year for a cost plus incentive proposal. NYSDOT requires a minimum of 3 cycles per year, with a minimum of 15 participants per class, with incentive funding for additional cycles beyond the minimum of three cycles and participants beyond the minimum of 15 participants. NYSDOT expects proposers to submit a proposal for the minimum requirements for cycles and students; NYSDOT will reward proposals which exceed these minimums with additional bonus points. To further accommodate this incentive, a 10 percent budget contingency has been set aside.

The net cost to New York State is one of the selection criteria. When compared to competing proposals, a proposal that requires fewer New York State dollars will receive a higher score on the cost component of the selection criteria. The value of New York State funds required could be reduced through efficiencies (fewer hours per task and / or lower cost per hour) or through cost-sharing where other funds substitute for New York State funds.

Proposals with a New York State cost over the budgeted amount will also be considered, provided the New York State cost, exclusive of administrative fees, does not exceed the budget estimate by more than 10%. (Note: Cost-sharing funds may increase the total project cost further.)

If a sufficient number of potential Consultants indicate in writing that they believe the training cannot be reasonably conducted within these funding constraints and there are only a limited number of proposals submitted within the funding constraints, New York State reserves the option of not proceeding with the work or revising the budget estimate and issuing a new Request for Proposals.

Potential Consultant who believes the budget estimate is unreasonable should write to:

Paul Hoole, Director
Research & Policy Studies Section, 6th Floor
New York State Department of Transportation
50 Wolf Road
Albany, NY 12232
phoole@dot.state.ny.us

II. PROJECT SCOPE, OBJECTIVES and PERFORMANCE

A. Project Scope

The Department is seeking to have a Consultant provide classroom training, highway design, construction inspection, bridge inspection, and other areas found in NYSDOT consultant engineering agreements. For examples refer to:

<http://www.nysdot.gov/portal/page/portal/divisions/engineering/design/consultant-management/base-scope> and http://www.nysdot.gov/main/business-center/consultants/consultants-repository/backdrop_ci_base_scope_0905.pdf.

The Consultant will also be expected to provide counseling and supportive services for program participants.

PROPOSED TASKS

The selected Consultant shall perform the six required tasks noted below. It is preferred that all consultants interested in proposing accept these tasks as the tasks are written.

- Task 1: Recruitment from engineering firms and teaching of qualified participants for program.
- Task 2 Pre-training and employment assessments.
- Task 3: Develop course materials which prepare students to take and pass NICET exams, which in turn will facilitate and maintain employment in civil engineering industry.
- Task 4: Support and Referral Services Manual.
- Task 5 Job Site Mentoring.
- Task 6 Reporting Requirements

PRODUCTS

- Conduct a minimum of three class cycles annually.
- Recruit a sufficient number of participants in order to have a minimum of 15 participants per class cycle.
- Ensure that 75% of participants pass NICET Level I exam on the first attempt.
- Ensure that 100% of participants pass NICET Level I exam on the second attempt.
- Ensure that 75% of participants pass NICET Level II exam on the first attempt.
- Ensure that 100% of participants pass NICET Level II exam on the second attempt.
- Final Report summarizing program and accomplishments.

B. Definitions

Assessment – Pre-training/employment assessment for minority, women and disadvantaged individuals in order to evaluate present skills, identify individual academic and training needs.

Class Session- A period of time during which participants are able to finish the ESSP course.

Consultant - Company, academic facility or individual with whom the contract is assigned, and who manages the work to be performed.

Curriculum – A set of courses that provides mastery of specific concepts or skills.

Cycle – The duration of a class to meet the requirements of passing NICET exams.

Instructor - An educational or technical specialist who teaches engineering related topics. Instructors may be consultants or in-kind service providers.

Orientation Program – A workshop that provides an overview of ESSP to new participants.

Professional Development – Training provided to the instructors to improve their knowledge and skills in the areas of counseling, academic tutoring, etc.

Students – Individuals who are enrolled in this training and mentoring program, and who already work on a NYSDOT consultant engineering agreement for that type of work.

Tracking Mechanism – A software application and related procedure to record the immediate placement of ESSP graduates and subsequently maintain/update information for approximately three years concerning their retention/progress. At a minimum the application will capture contact information for both the ESSP graduate and employer or sponsor.

Tutoring services - Services that provide supplementary support to the ESSP training.

Workshop – A teaching event of one to several hours duration about a specific topic relative to engineering.

C. Contract Period

URGENCY

The Department seeks to have this program underway to start in the fall of 2009.

The duration of the agreement shall be one year from October 1, 2009 to September 30, 2010. The contract may be extended for one additional year, depending on performance.

If the contract is extended for the optional year, the Producer Price Index (PPI) as published by the U.S. Department of Labor, Bureau of Labor Statistics, or 3%, **whichever is lower**, will be used as a basis for increasing any proposed hourly rates. The rate adjustment will be effective on October 1 and calculated using the previous April Index, using Series ID PCU5413--5413--(Architectural, engineering, and related services). If at any time the above Index Series ID is discontinued or becomes unavailable, the State reserves the right to implement a comparable Index.

An example of the rate adjustment calculation is as follows (all numbers used are for illustrative purposes only):

Administrative Assistant 7/1/09 - 6/30/10 Average Billing Rate	
\$9.00/Hour	
April 2010 PPI Index (PCU5413--5413--)	136.1
April 2009 PPI Index (PCU5413--5413--)	130.0
Index Point Change	6.1
Divided by previous Index	130.0
Percent change, rounded to nearest tenth	4.7%
Administrative Assistant 7/1/10 – 6/30/11 Average Billing Rate (\$9 x 1.047)	
\$9.42/Hour	

III. SCOPE OF WORK

A. Staffing Requirements

The following describes the Key Staff for this project.

1. Project Manager

Program Oversight Duties:

- Responsible for the overall project operations including planning, scheduling, administration, budget management, hiring, and supervision of all personnel.

- Responsible for general management, oversight, QA/QC of, and general administration of the contract. The PM will coordinate and be responsible for all activities and product deliverables from other sub-consultant(s) working as part of the Consultant's team or as a joint venture for this contract.
- Provide adequate staff and resources for all tasks and activities throughout the duration of the contract.
- Approve and monitor all purchases and payments for goods, facilities and services.

Curriculum Administration and Improvement:

- If necessary, revise the program curriculum with input from the engineering firms, the New York State Education Department, and NYSDOT. NYSDOT will establish due dates to review and finalize the revised curriculum. The Consultant may also offer his/her own suggestions.
- Continue close contact with community agencies, and consultant engineering firms, to ensure that help is available to students.

Documents/Records:

- Maintain records and documentation as directed by NYSDOT to support the overall operations of the program and comply with all state and federal regulations.
- Document mechanisms and strategies developed to improve outreach to enlist the maximum number of students per class and ensure the placement of trainees in positions or programs upon completion which are related to the construction engineering industry.

Miscellaneous:

- Media or publicity interaction will be conducted with the written consent of, and coordination with, NYSDOT's OCR and Office of Communications.
- New sites or site changes should also be considered and proposed, with sufficient justification for the proposal based on: demographics; access to mass transit; access to consultant engineering firms; adequacy of facilities; access to community agencies and social services; availability of tutoring services, etc.

Qualifications:

- Extensive experience in project management of large training projects involving the instruction of civil engineering and other related classes is required.

- Administrative knowledge of the consultant civil engineering industry as it relates to highway and bridge design and construction or bridge inspection.

2. Administrative Assistant:

Duties:

- Prepare reports, forms, letters and any other official project related correspondences.
- Assist the Project Manager with maintenance of files, correspondence, budgets, reports, time sheets, ordering supplies and inventory control.
- Procure general supplies and/or required services for ESSP use and operations. The supplies and/or required services to be procured include, but are not limited to: computer paper, copy and fax machine paper, computer printer supplies, video tapes, internet service provider, computer virus protection and upgrades, copy and fax machine rental/maintenance, minor computer and equipment repairs, etc. The purchase orders shall be issued and processed by the Consultant.
- Update and maintain a tracking mechanism using NYSDOT-approved software (i.e., MS Access, MS Excel, etc.) to conduct follow-up with all graduating students. All students are to be tracked by NYSDOT for up to three years. Maintain a central registry of students in the program in a format provided by NYSDOT. Update the registry monthly to reflect any changes in student enrollment. Document all changes including reasons therefore in monthly reports.
- Prepare and submit monthly progress reports and vouchers.

Qualifications:

- Four or more years as an administrative staff person who assists a Project Manager in producing reports and processing vouchers.

3. Instructors:

Duties:

- Responsible for teaching the different NICET curriculum elements.
- Required to be responsive in a timely fashion to student inquiries and attempting to address their training or NICET testing needs.

Qualifications:

- Sound knowledge of the civil engineering industry and how it relates to highway design and construction.
- Two or more years in teaching technical subjects such as those required for NICET Certification in Civil Technologies.

B. Tasks

The selected Consultant shall perform the six required tasks described below. It is preferred that all consultants interested in proposing accept these tasks as described below.

Task 1: Recruitment and teaching of qualified participants for program.

1.1 Description

Train minority, woman and economically disadvantaged persons, who are employed as trainees on NYSDOT consultant engineering agreements, to successfully complete the NICET Level I and II exams, resulting in NICET certification.

Subtasks:

- Conduct a student orientation at least 1 week before the start of each new class session.

1.2 Performance Goals

- Conduct a minimum of three class cycles annually.
- Maintain sufficient outreach to offer the opportunity of participation to ensure participant diversity in gender, ethnicity and economic status, for those who work for NYSDOT consultant engineering agreements.
- Ensure sufficient recruitment to provide 15 participants per class cycle.
- Ensure that 75% of participants pass NICET Level I exam on the first attempt.
- Ensure that 100% of participants pass NICET Level I exam on the second attempt.
- Ensure that 75% of participants pass NICET Level II exam on the first attempt.
- Ensure that 100% of participants pass NICET Level II exam on the second attempt.

1.3 Deliverables

- Monthly reports, covering the previous month, will be submitted by the Consultant to the NYSDOT Office of Civil Rights no later than the tenth day of the following month, or next business day.
- Monthly reports shall list the names of companies, organizations or associations who were contacted as part of outreach during the month, the names of the contact individuals, the form of contact, the result of the contact, and future action to be taken that will result in recruitment of participants.
- Monthly reports shall include a narrative of activities, recruitment efforts, and referrals conducted.

- Monthly reports shall include a listing of students being taught or advised, and explain any changes to the number of students from the previous month including the reasons for leaving the program.
- Monthly reports shall list the number of students who applied to the program during that month, how many of them were accepted, and the reasons for those who were not accepted.

Task 2: Pre-training and employment assessments

2.1 Description

Conduct pre-training/employment assessment for minorities, women and disadvantaged individuals in order to evaluate present skills, identify individual academic and training needs, etc., thus maximizing the learning experience for each participant.

Subtasks:

- Develop pre-training/employment instrument
- Conduct pre-training/employment assessment on all program applicants to determine eligibility.

2.2 Performance Goals

- Complete pre-training/employment assessment on 100% of program participants one week before the beginning of each class cycle.

2.3 Deliverables

- Develop pre-training/employment assessment instrument within 15 days after execution of final contract.
- Develop individualized learning plans for all program participants by first day of each session.

Task 3: Develop course materials which prepare students to take and pass NICET exams, which in turn will facilitate and maintain employment in construction civil engineering industry.

3.1 Description

Provide employment readiness, work behavior, sexual harassment and diversity training to increase placement and retention in the construction engineering industry for ESSP participants.

3.1 Performance Goals

- 100% of participants will receive mid-point assessments identifying strengths and weaknesses, and 100% of participants in need of referrals for additional services will receive those services.
- 100% of participants will be evaluated to determine continued participation in the program.

- 100% of participants will receive training in courses necessary to pass NICET Level I and II exams, as well as various technical workshops.

3.2 Deliverables

- Develop and send a Progress Report at the mid-point of each class session, evaluating the progress of each student and their likelihood of continuing in the program.
- Prepare a bi-weekly report documenting the progress meeting with each student. Document contact in participant folder by date, topics discussed, needed follow-up, status/progress/resolution of identified issues.
- Monthly programmatic reports will be submitted by the Consultant to the NYSDOT Office of Civil Rights no later than the tenth day of the month, or next business day. The reports will include information on each participant's class attendance record; exam scores; reports on student counseling session, with dates, resolution of issues or actions taken to address issues, visits to labs for independent study or one-on-one academic assistance.

Task 4: Support and Referral Services

4.1 Description

Provide support and referral services (e.g. child care, academic tutoring, etc.) to participants in order to support their continued employment in the construction engineering industry. The Consultant will also provide workshops/seminars to the participants on the following topics:

- resume preparation
- Employment application completion
- Job search techniques
- Interview skills
- Preparation of cover and thank you letters
- Time sheet completion
- study skills
- Job interviewing skills
- Time management
- Respect for self and others
- Sexual harassment prevention
- Conflict resolution
- Workplace ethics and values
- Cultural diversity and multiculturalism

NYSDOT notes that proposers have two options for performing these tasks:

- Use of resources internal to the proposing institutions for the UTRC.
- Providing services through a sub-contractor with expertise in these areas. NYSDOT welcomes proposals which offer either approach providing the services specified in this module.

4.2 Performance Goals

- Persons have 80% attendance record for all courses/workshops. Missed courses/workshops due to excused absences or illness allowed.
- 100% of persons have a complete resume and complete sample employment application by mid-point of class cycle.
- 100% of persons are proficient in basic job search techniques, writing letters, and participation in interviews by two weeks after mid-point of class cycle.
- 100% of persons are proficient in timesheet keeping and other employment record keeping by mid-point of class cycle.
- Refer 100% of participants identified as needing services.
- 100% of participants show improvement by end of class cycle, as evidenced by performance evaluation improvements and higher test scores.

4.3 Deliverables

- Complete and accurate monthly reports, covering the previous month, will be submitted by the Consultant to the NYSDOT Office of Civil Rights no later than the tenth day of the month, or next business day, regarding counseling sessions, tutoring services, workshops conducted.

Task 5: Job Site Mentoring

5.1 Description

Provide job site mentoring program to participants working on Federal-aid highway construction to assess skills mastery, the need for supplemental services, and application of classroom training to the job site.

Subtasks:

- Conduct job site visits bi-weekly where program participants are working to observe them in a job site setting. More often where participants need additional training.
- Interview participants and supervisors to assess job behaviors as well as skills mastery.

5.2 Performance Goals

- 100% of participants will be visited by Consultant on job site, and their performance in a job setting will be evaluated.

5.3 Deliverables

- Monthly programmatic reports, covering the previous month, will be submitted by the Consultant to the NYSDOT Office of Civil Rights no later than the tenth day of the month, or next business day, of visits to job sites where participants are working. There will also be a summary of

activities for each site; updates to the initial list of sources of training opportunities.

Task 6: Reporting Requirements

6.1 Description

A series of reports will be submitted by the Consultant to the NYSDOT.

6.2 Deliverables

- Complete and accurate monthly reports, covering the previous month, will be submitted by the Consultant to the NYSDOT Office of Civil Rights no later than the tenth day of the month, or next business day providing support documentation and statistics as appropriate; a complete roster of participants enrolled for each reported month and expense summary reports along with documentation of expenses incurred from previous month along with copies of receipts. Vouchers for reimbursement will be submitted jointly with monthly reports.
- Complete and accurate monthly fiscal reports, covering the previous month, will be submitted by the Consultant to the NYSDOT Office of Civil Rights no later than the tenth day of the month, or next business day. The reports will include: amount spent by budget item by site; amount spent by budget item for Program Director, Administrative Assistant and Instructors; combined amount spent by budget item; percentage of allocated funds left.
- Complete and accurate semi-annual programmatic progress reports will be submitted to the NYSDOT's OCR by April 30, 2010 and October 31, 2010. These reports will summarize the monthly reports for the reporting period and discuss observed trends and concerns, with proposed solution and recommendations.
- A complete and accurate final programmatic report shall be provided to the NYSDOT program manager no later than December 31, 2010. This report shall include an evaluation of accomplishments, and will note any deficiencies and subsequent corrective action implemented

C. Trainee Travel

Trainees will be reimbursed for travel expenses when traveling to and from classes utilizing either public transportation or personal vehicles. Rental cars, car services, and cab fares will not be reimbursed.

IV. PROPOSAL FORMAT AND CONTENTS

For the purposes of evaluation, each proposal must be submitted in two parts and each part submitted via a separate e-mail.

Part I shall consist of

- Technical and Management submittal.
- Proposed Schedule of Events,
- FOIL information (see information below) if necessary.
- Any Employment Confirmation letters, if necessary.

Part II is the Cost and Contract submittal, and is composed of

- The Project Budget Submission
- Procurement Lobbying Law
- Classroom Space Requirements
- Modification Acknowledgements

Each part of the proposal must be complete in itself in order that the evaluation of both parts can be accomplished independently and concurrently, and the Technical and Management submittal can be evaluated strictly on the basis of its merits. Cost information is not to be included in the Part I submittal.

SPECIAL NOTES

- Seven (7) hard copies of the proposal should be provided.
- Proposals should indicate direct and indirect costs, hourly rates and hours by task, travel costs, and material costs to assist NYSDOT in understanding how the total cost for the work was estimated. The winning proposal will result in a fixed cost plus incentive contract based on details provided.
- Please provide a Budget Chart which shows for each task the deliverable and cost. Task headings in the Budget Chart are to match the scope task headings.
- Please include a Gantt Chart, showing the duration (start to finish) and dependencies for each task in terms of months (i.e. Month 1, Month 2, etc) since the actual start date is an estimate.
- If the proposal involves a joint venture or sub-consultants, it must be clear as to how tasks will be distributed or shared in the scope of work, and who is responsible for product deliverables.
- The final report on the research will be expected to contain, at a minimum, the information described in Attachment A, *Requirements for the Final Report*.

1. Technical and Management Submittal

Item 1: The selection and retention of a Consultant is contingent on the

availability of the Key Personnel. Resumes shall only be provided for the following Key Staff:

- Program Director,
- Administrative Assistant, and
- Instructors.

The individual's experience and qualifications should relate to the duties and qualifications of the key staff titles as described in Section III.A of the RFP. Specifically, address the following regarding the individuals experience and qualifications:

- a. Ensuring timely completion of data collection and record keeping on program participant performance and attendance; establishing and overseeing a payroll system for the one site located within the 5 boroughs, conveniently located for easy access to mass transit.
- b. Managing and coordinating one site with a core curriculum that includes diverse tasks and services; providing training, guidance and support to staff to offer relevant programs so students become proficient in the construction engineering trades.
- c. Recruiting program participants, measuring their progress, and tracking graduates from programs; establishing and maintaining relationships with local engineering firms and professional associations.

NOTE: Proposers should be aware that as staffing vacancies occur, the State will require the hiring of replacements, all subject to NYSDOT approval. In the event of instructor absences, substitutes of similar experience and quality must be provided.

Item 2: Describe your approach for implementing the Scope of Services as outlined in Section III of this RFP. NYSDOT strongly desires interested parties to accept the specified Scope of Services as is. The discussion provided should clearly demonstrate your understanding of the ESSP's goals and results-oriented objectives, including opportunities to achieve increased operational (or other) efficiencies and encouraging overall development consistent with the program.

Please indicate in your discussion whether you accept the Scope of Services from this solicitation, as is, or whether you are modifying it. If you choose to modify it, please show where it is modified. Deviations which do not clearly meet the programs goals and objectives shall be downgraded.

Describe, in detail, your plan for accomplishing the following:

1. Orienting and recruiting program participants; organizing and training site staff; increasing placement opportunities for program participants by collaborating with engineering firms, local communities and other agencies; developing clear realistic and measurable objectives to determine how students will successfully work in the construction engineering trades.
2. Coordinating the overall effort to provide the required services outlined in Tasks 1-6 in an effective manner.

The discussion provided under Approach and Scope of Services of your proposal should clearly demonstrate your understanding of the goals and results-oriented objectives, including opportunities to achieve increased operational (or other) efficiencies and encouraging overall development consistent with the program.

Item 3: Provide a list of your prior or current projects completed in the last five years which are relevant to this effort. Indicate Key Personnel who have worked on these projects or similar projects and will be assigned to this effort and identify their areas(s) of expertise. Include names, addresses, telephone numbers, and e-mail addresses of contracts with listed clients. NYSDOT reserves the right to request information from any source so named.

The abilities and prior experience of the proposer are very important to NYSDOT. Demonstrated experience in managing and coordinating a, inter-disciplinary site, located within the 5 boroughs of NYC, conveniently located for easy access to mass transit is essential. Proposers must demonstrate through previous experience the following:

- a. The ability to manage and coordinate a major site with a core curriculum that includes diverse tasks and services; providing training, guidance and support to site staff to offer relevant programs so students become proficient in the construction engineering trades.
- b. The ability to recruit program participants, measure their progress, and track graduates from programs; establish and maintain relationships with engineering firms and professional associations.
- c. The ability to ensure timely completion of data collection and record keeping on program participant performance and attendance; establish and oversee a payroll system for one site.

Schedule of Events

Develop a project implementation timetable for the 12 months, indicating personnel, dates, and events from October 1, 2009 to September 30, 2010 for completion of the project showing the duration of each task. This should include all classes and locations, deliverables, and NICET testing dates.

2. Project Budget Submission

All proposers shall complete the Project Budget submission (**Attachment #3**) This sets forth the loaded hourly rates (labor, overhead and profit fee) of all staff proposed to perform the work in the scope of services during the proposed contract period (one year) and how many hours the staff members will charge to the project. The Department has pre-determined that the Consultant's Project Manager is a full time position requiring 2,000 hours per year, and the Administrative Assistant position requires 75% of full-time hours, thus 1,500 hours per year.

A direct non-salary cost (DNSC) schedule is part of the cost submission. Proposers are to fill in those parts of the DNSC section that are not "shadowed". NYSDOT has predetermined the cost of a number of DNSC items, and they have been provided in the spreadsheet. Actual travel, meals and lodging reimbursements shall be limited to the prevailing maximum rates established by the State Comptroller. The latest state and nationwide rates are available at the following Web site: <http://www.gsa.gov/>

As stated in Section I.E, any proposal with a Total Annual Program Cost greater than \$231,163 will be deemed non-responsive and eliminated from the selection process.

3. Procurement Lobbying Law

All proposers should visit the "Consultants" Web page on NYSDOT's Web site to read the NYSDOT Policy Summation for the Procurement Lobbying Law of 2005 <https://www.nysdot.gov/portal/page/portal/main/business-center/consultants/forms-publications-and-instructions>

The UTRC should file the *two required forms* ([Consultant's Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j \(3\) and §139-j \(6\) \(b\)](#) **and [Consultant Disclosure of Prior Non-Responsibility Determinations](#)) **is mandatory for all proposing members of the UTRC in order to be considered for contract award.** Use Contract Number C030506 09-62 wherever requested in the forms.**

Per the Procurement Lobbying Law of 2005, any person who wishes to contact NYSDOT regarding this project during the restricted period (i.e. from advertisement through designation), may only contact the person noted in the cover letter to this solicitation. Please e-mail the completed forms as a PDF file along with the other information above as the Cost and Contract Submission to the Department Analyst designated in Section VI.F.

4. Classroom Space Requirements

All respondents to this solicitation must use **Attachment #11** with their Part II submission.

5. Modification Acknowledgements

All respondents to this solicitation must include any future Modification Acknowledgements with their Part II submission.

V. CRITERIA FOR EVALUATION OF PROPOSALS

A. General

Proposals shall be pre-screened to determine if they meet the minimum RFP responsiveness (Section V.B). Those proposals that do not meet will be deemed non-responsive by NYSDOT and will not be further evaluated.

Proposals will be then evaluated by the Department 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, price is a significant factor in the Department's evaluation of proposals. Technical proposals will be scored based on the information provided under Section IV. A. Part I: Technical and Management Submittal in accordance with the pre-established criteria listed in Section C. below. The cost portion of Part II: Cost and Contract Submittal will be point scored in accordance with the pre-established criteria listed in Section D. below.

Proposal evaluation will be accomplished by a representative committee comprised, as appropriate, of technical and management personnel. Committee members will score each proposal individually and then meet as a group to discuss and short list the proposals. Evaluators will be allowed to revise scores on the basis of the committee discussions. **Note:** Only proposals determined to be susceptible for contract award (technical short-listed) will be considered further and have their cost proposal included in the selection process. See Section C below.

Proposers responding to this RFP may be requested to clarify issues or to provide additional insights 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 this additional information. Furthermore, the

Department reserves the right to ask clarifying questions regarding each cost proposal (Part II) and DBE participation as well.

Technical Interviews are required to complete the technical evaluation of proposals, using the criteria listed below under subsection V.E. Interviews will be held either at the Department's Main Office located in Albany, New York, or at the Department's Regional Office located in Schenectady, NY, at a date and time to be determined by NYSDOT.

The Department reserves the right to request best and final offers from firms that are determined to be susceptible for contract award.

Award shall be made to the consultant whose proposal receives the highest total score after considering all technical (including Technical Interviews) and cost/price evaluation factors (best value). **Note:** In the event two or more proposals are found to be "substantially equivalent", the Department reserves the right to award the contract under the terms of State Finance Law §163 (10)(a).

B. Pre-Screening

1. Minimum RFP Requirements Evaluation

NYSDOT will conduct a pre-screening of each proposal to ensure all content has been submitted in accordance with the RFP. Included in this criterion is NYSDOT's sole discretionary determination as to whether the proposal is complete in both Parts I and II based upon meeting all the elements stated in the Minimum Proposal Requirements section (Section I.E) and also meets the Minimum Technical Requirements (Section I.D). Those proposals that do not meet the above will be deemed non-responsive by NYSDOT and will not be further evaluated.

C. Technical and Management (80 Points)

The technical and management proposal will be scored and will represent **80 points** of the total score for the proposal. The major evaluation criteria are listed in descending order of importance. Sub-criteria within major evaluation factors are also in descending order of importance.

- **Expertise / Understanding /Approach (Weight: 70%)**
The technical and management proposal will be scored and will represent 70 points of the total score for the proposal. The major evaluation criteria are listed in descending order of importance.
 1. Approach, Scope of Services and Schedule
 - a. Meets the minimum requirements (3 cycles; 15 students)
 - b. Exceeds the minimum requirement

- c. Quality of approach and scope of services for:
 - Orienting and recruiting program participants employed on NYSDOT engineering agreements; organizing and training site staff; developing clear realistic and measurable objectives to determine how students will successfully work in the construction engineering trades.
 - Coordinating the overall effort to provide the required services outlined in Tasks 1-6 in an effective manner.
 - d. Completeness and reasonableness of schedule.
2. Quality, extent and relevance of experience of the staff and firm, including past, relevant experience and references (the NYSDOT reserves the right to contact references provided - Provide up to three references).
- a. Recruiting program participants employed on NYSDOT engineering agreements, measuring their progress, and tracking graduates from programs; establishing and maintaining relationships with engineering firms and professional associations.
 - b. Ensuring timely completion of data collection and record keeping on program participant performance and attendance; establishing and overseeing a payroll system for one site.
 - c. Managing and coordinating one site with a core curriculum that includes diverse tasks and services; providing training, guidance and support to site staff to offer relevant programs so students become proficient in the construction engineering trades.
3. Organization and Management
- a. Reasonableness of structure of organization to carry out tasks required by contract, including the proposed staffing plan for the use and coordination of sub consultants, if any, and the submitted Organizational Chart.
 - b. Extent and quality of task allocation with key participants

D. Technical Interview (10 Points)

Technical Interviews (orals presentations) will be held for short listed proposals after technical and pricing discussions by the evaluation committee. The Technical Interviews will be point scored, represent 10 points of the overall final score, and the above criteria shall be utilized.

The three proposals with the highest total scores (total score = technical score + cost score) plus any proposals within 10 points of the proposal with the highest total score will be invited to provide Technical Interviews.

Proposers shall not be allowed to change their proposals during or after these presentations. Each Proposer will be given a separate meeting time to conduct its presentation. Proposers shall have no more than five people present, and shall include at a minimum the Prime's Principal-in-Charge and the Project Manager. Proposers should bring six copies of any handouts. No PowerPoint or overhead presentations will be allowed.

The Proposer will be scored on the following interview criteria:

1. Ability to address the Evaluation Committee's questions and concerns, and chemistry of team.
2. Clarification of any proposal aspects.
3. Additional insights into proposals.

E. Cost to New York State (20 Points)

Only proposals determined to be susceptible for contract award (technical short-listed) will be considered further and have their cost proposal included in the selection process.

The cost portion of the cost and contract submission will be point scored and will represent **20 points** of the total score for a proposal. The score for each proposal will be based upon the Total Annual Program Cost as submitted in **Attachment #3 Project Budget**. The proposal with the lowest Total Annual Program Cost will receive the full 30 points for pricing evaluation purposes. Other consultants will receive proportionately lower pricing scores. Clarifying questions regarding a firm's cost proposal may be asked.

V. ADMINISTRATION SPECIFICATIONS

A. Proposal Submission

Your proposal must be received by UTRC by COB Eastern Time on September 4, 2009. The proposal may be e-mailed.

To assist firms in preparing proposals in response to this solicitation, a pre-proposal conference will be held at a NYSDOT Main Office, 50 Wolf Road, Albany NY, on August 14, 2009 at 2:00 PM. A general review of the solicitation will occur and specific questions regarding the solicitation may be answered. Interested firms are encouraged to attend.

If you plan to attend, please provide the names of attendees to Paul Hoole, NYSDOT, Research & Policy Studies Section, at (518) 457-4788 by COB on August 13, 2009. An opportunity will be afforded for questions and answers during the conference. However, to assist us in preparing for the meeting, we wish to receive any questions you may have, in writing, by the close of business on August 13, 2009.

B. States Rights to Proposals

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

3. to accept or reject any or all proposals;
4. to correct any arithmetic errors in any or all proposals;
5. to change the proposal's due date upon appropriate notification;
6. to adopt any or all of a successful consultant's proposal;
7. To negotiate modifications to the scope, fee and contract terms with the selected consultant prior to contract award.

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 State agency in New York. 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.

At the Department's discretion, the designated firm will supply independently-audited financial statements for its most recent fiscal year-end, before negotiating a contract.

C. Consultant Responsibility

In accordance with the NYS Finance Law, NYSDOT will only make contract award to consultants that are determined to be responsive and responsible. All selected consultants of contracts valued at \$100,000 or more will be required to provide consultant responsibility information through the DOT Web site before negotiation of a contract. Consultants must certify the accuracy of the information they provide in the questionnaire. You should make yourself familiar with this form by

visiting the following Web site:

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

D. Inquiries and Information

All questions regarding this proposal must be in writing via e-mail, and directed only to the Office of Contract Management. All written inquiries must be received by the date specified in subsection H below, and should be addressed to Paul Hoole at: phoole@dot.state.ny.us

Responses to all questions of a substantive nature, as well as copies of the questions, will be given to all proposers being solicited.

E. Method of Payment

Payment for services provided under the project shall be a specific hourly rate reimbursement and compensation for actual direct non-salary costs incurred in the performance of the scope of services. The last and final payment will become due and payable within thirty (30) days after delivery of the final deliverable(s) and a standard NYS voucher. Requests for progress and final payments shall be made by the designated consultant on standard NYS voucher.

Requirements for the Final Report

Copies of Final Report – Fifteen (15) hard copies of a bound, final report shall be provided at the conclusion of the project. An electronic PDF copy of the final report is required as well

Required Organization for the Final Report

Title Page - that contains:

- The research study number 09-62 to (C#030506) assigned by the Research & Policy Studies Section of the Policy & Planning Division;
- The name of the project as stated in the Task Assignment (contract);
- The words “Final Report;”
- The date (month & year) the final report is completed;
- The name(s) of the Consultant(s), along with the name(s) of the organization(s) they represent and their address(es); and,

Form DOT F 1700.7 – A copy of USDOT form DOT F 1700.7

Executive Summary

Introduction – a discussion of the problem, its background, and a concise history of training previously completed on the topic, and a discussion of what NYSDOT policies, procedures, and practices are currently in place related to the training topic.

Research Method – a description of the methods used in conducting the training

Findings and Conclusions – a discussion on the analysis of the data (findings) and the conclusions reached based on the findings. Suggestions for additional training, if appropriate, would appear in this section.

Statement on Implementation – a statement on the potential for implementation, along with what resources and actions will be required to have the benefits of the training fully achieved.

Appendices – as appropriate

LINKS FOR ATTACHMENTS:

[Attachment #1: NYSDOT 255NAE - SUBMITTAL FORM](#)

<http://www.utrc2.org/research/rfps/RFP09-62/255NAE.rtf>

[Attachment #2: Sample Proposed Budget](#)

<http://www.utrc2.org/research/rfps/RFP09-62/budget.xls>

[Attachment #3: Offerer's Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j \(3\) and §139-j \(6\) \(b\)](#)

https://www.nysdot.gov/main/business-center/consultants/consultants-repository/offers_affirmation_and_agreement_form.pdf

[Attachment #4: Offerer Disclosure of Prior Non-Responsibility Determinations](#)

https://www.nysdot.gov/main/business-center/consultants/consultants-repository/offer_disclos_prior_non.pdf

[Attachment# 11: Classroom Space Requirements](#)

<http://www.utrc2.org/research/rfps/RFP09-62/classroom.doc>

[Guidelines for Determining Training Requirements](#)

<http://www.utrc2.org/research/rfps/RFP09-62/TrainingRqrt.PDF>