



**University Transportation Research Center  
RFP Cover Sheet**

**Title:** CMAQ PERFORMANCE PLAN – PHASE I

Proposal Number: Z-14-06

Sponsor: NYMTC

Date Issued: March 18, 2015

Pre-Proposal Meeting Date: None

Final technical proposal and budget to be submitted through UTRC's electronic system (<http://www.utrc2.org/welcome-utrc-ii-submission-system>) by **5:00 PM, April 20, 2015**.

**RFP Closing Date: April 20, 2015**

**If you plan to apply:**

Please contact Penny Eickemeyer at [peickemeyer@utrc2.org](mailto:peickemeyer@utrc2.org) to let her know you are assembling a proposal. You will receive any additional information that becomes available about this RFP.

**Funding available:**

Up to \$50,000 is available from NYMTC. To the extent possible, we request that PIs identify sources of in-kind funding from their home institution (e.g., tuition waiver/reductions, overhead cost-sharing, faculty release time, etc.). Budget forms can be downloaded at <http://www.utrc2.org/sites/default/files/budget-Template.xls>.

**For questions about this proposal, please contact:**

Jan Khan, (212) 383-2528, [Jan.Khan@dot.ny.gov](mailto:Jan.Khan@dot.ny.gov)

cc : Ismet Apdiroglu, [Ismet.Apdiroglu@dot.ny.gov](mailto:Ismet.Apdiroglu@dot.ny.gov) and Shalendra Ramadhin, [shalendra.ramadhin@dot.ny.gov](mailto:shalendra.ramadhin@dot.ny.gov)

**For questions about budget preparation, please contact:**

Penny Eickemeyer at [peickemeyer@utrc2.org](mailto:peickemeyer@utrc2.org)

## CMAQ Performance Plan Phase I

### Scope of Work

Z-14-06

#### **Project Background**

MAP-21 requires that MPOs with a transportation management area of more than one million in population representing a nonattainment or maintenance area, develop and update biennially, a performance plan to achieve air quality and congestion reduction targets. NYMTC is undertaking this project to meet this requirement. The project will be done as described below over a period of three months and lead into the development of the CMAQ Performance Plan. The PFAC Operating Procedures Working Group will guide the development of the plan, and act as the steering committee for this project.

#### **Literature Review and Peer Workshop**

##### Task 1 – Literature Search/Review

The consultant will conduct a literature search/review of CMAQ projects evaluation and the analytical tools used by six (6) MPOs of comparable size to NYMTC. Focus of this search/review will be in the context of the requirements of the CMAQ Performance Plan i.e. impacts on air quality and traffic congestion. The consultant will also review relevant aspects of the work completed under the Performance Based Planning & Programming project. This information will be provided by NYMTC.

Deliverables: Draft & Final White Paper

##### Task 2 – Assessment of the Current CMAQ Analytical Tool

NYMTC currently use a tool called CMAQtraq to analyze the impacts of CMAQ projects. The consultant will review this tool to ascertain (a) whether it meets the requirements of the MAP-21 CMAQ Performance Plan, and (b) how it compares to CMAQ analytical tools used by other MPOs. Based on the research conducted in Task 1 and this task, the consultant will also determine whether totaling the benefits of individual projects may be an option in the development of the CMAQ Performance Plan.

Deliverables: Draft and Final White Paper

##### Task 3 – Peer Workshop

Based on the findings in Task 1 and Task 2, the consultant will work with the PFAC Operating Procedures Working Group and the NYMTC project manager to conduct an MPO peer workshop on topics relevant to the CMAQ Performance Plan. These topics and workshop materials will be approved by the steering committee. The consultant will be responsible for all logistical arrangements including but not limited to venue and workshop materials. The consultant will produce draft and final reports at the conclusion of this peer workshop.

Deliverables: (1) Workshop materials (2) Draft & Final workshop reports

***Research Period***

Six Months

PROPOSAL FORMAT AND CONTENTS

Respondents are requested to submit their proposal using the following format. There is no limitation on the number of pages permitted, **but concise proposals with only relevant information**, are requested, in 12-point font. Proposals should be as detailed as necessary to explain their approach to the project and the technical methods to be utilized.

For the purpose of evaluation, each proposal must be submitted in two (2) parts. Part I shall consist of the Technical and Management Submittal. Part II is the Cost Submittal. 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 evaluation of the Training and Management Submittal can be strictly on the basis of its merit. Cost information is not to be included in the Technical and Management Submittal. Each proposal should follow the format listed below:

A. Part I: Technical Submittal

1. Title Page, indicating: Name, address and phone number of the proposer, including a contact person and the name of the person(s) who prepared the proposal.
2. Table of Contents
3. Executive Summary (1-2 pages). Provide a brief description of your approach and highlight how your firm's capabilities and experiences will help the Council achieve its objectives.
4. Approach and Scope of Services. Describe your approach for performing the work and how it will accomplish project objectives. Provide a detailed scope of services that describes what will be done and addresses learning objectives for the trainees. The proposal should reflect understanding and comprehension of project scope and objectives. You may base your scope of services on the outline provided under Section II., or suggest alternatives/modifications that could improve the ability to NYMTC to meet its objectives.

NYMTC wants to allow maximum flexibility for the ideas, initiative, and creativity of the proposer. Alternative tasks and suggestions are encouraged and will be reviewed with interest within the framework of the stated objectives and scope of the project. Fully explain and justify your approach.

- 5. Experience.** Describe the experience of your organization and the proposed staff related to the conduct of the program and the extent of the relevant skills of proposed key personnel. Prior experience of the proposer is of great importance to NYMTC. Experience with the public and in transportation planning is highly desirable. Include information about the team's past experience in work of this type, size and scope. Identify key personnel assigned to this project who have worked on such projects. Include names, addresses and telephone numbers of contact persons with listed clients. NYMTC reserves the right to request information from any source so named.
- 6. Organization, Staffing and Schedule.**  
Identify the individual who will serve as principal investigator as well as the names and titles of all key personnel who will be assigned to work on this program (including any sub-consultants). Include resumes or excerpts for all such personnel. Provide the estimated amount of time required for each person (by task) and describe the level of involvement. Describe the level of interaction contemplated with NYMTC.

**If sub-consultants are to be used, explain the need, indicate the arrangement, and detail how coordination will be achieved between the parties. Please note that the section IV. PROPOSAL FORMAT AND CONTENTS sets out the criteria to be judged and section V. PROPOSAL EVALUATION CRITERIA, below sets out how the criteria will then be evaluated.**

#### Part II: Cost Submittal

Proposals should indicate direct and indirect costs, hourly rates and hours by task, travel costs, and material costs to assist NYMTC in understanding how the total cost for the work was estimated. The winning proposal will result in a fixed cost contract based on details provided.

Please provide a budget chart that 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) 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.

#### PROPOSAL EVALUATION CRITERIA

##### A. General

Proposals will be evaluated by the designated selection committee based on the technical, management, programmatic, and cost criteria described below. Technical considerations are of greater importance than pricing considerations. However, price is a significant factor in NYMTC's evaluation of proposals. Programmatic considerations

will impact NYMTC's final award selections. Technical proposals will be scored based on the information provided under Section IV, Part I: Technical Submittal in accordance with the pre-established criteria listed in Section B below. The cost portion of Section IV, Part II: Cost and Contract Submittal will be point scored in accordance with the pre-established criteria listed in Section C below.

Proposal evaluation shall be accomplished by a representative committee comprised, as appropriate, of technical, program, and management personnel.

Award shall be made to the offeror whose proposal in NYMTC's judgment represents the best overall value to the state considering all technical and cost/price evaluation factors.

At the conclusion of the evaluation period, all proposers will be advised in writing of their status under the solicitation. However, it is expressly understood that this Request for Proposals does not commit NYMTC/NYS DOT to award a contract, pay any costs incurred in the preparation of a proposal to this request, or to procure or contract services or supplies. Further, NYMTC/NYS DOT will have no obligation or liability whatsoever to the vendor selected as a result of this solicitation unless and until a contract satisfactory to NYMTC is.

## B. Technical and Management

The technical and management proposal will be scored and will represent 70% of total score of a proposal.

1. Experience and Credentials (50 % or 43% If Technical Interviews are held)
  - a. Quality of credentials and experience of key staff (40% or 34% If Technical Interviews are held). Quality, extent and relevance of experience, education and skills of key personnel (to include any subconsultants).
  - b. Quality, extent and relevance of current and prior experience of the team (including subconsultants) in conducting similar efforts (10% or 9% If Technical Interviews are held).
2. Approach (7% or 6% If Technical Interviews are held)
  - a. Approach Factor (4% or 3% If Technical Interviews are held)
  - b. Scope of Work factor (3%)
3. Organization and Staffing (7% or 6% If Technical Interviews are held)

- a. Reasonableness of Staff Allocation (4% or 3% If Technical Interviews are held)
  - b. Reasonableness of Hours Proposed (3%)
4. Schedule Factor – start work within 15 days of execution, and provide a schedule (Gantt chart) (6% or 5% If Technical Interviews are held)
- C. Cost and Contract (30%)

The cost portion of the cost payable by NYMTC and contract proposal will be point scored and will represent 30% of the total score for a proposal. The calculation of a cost score will be determined by comparing the cost proposed for each competitive proposal to the lowest priced, technically acceptable proposal.

D. Technical Interviews (Optional)

NYMTC/NYS DOT do not expect to hold Technical Interviews for this project/task assignment request; however, if it is later decided to hold Technical Interviews, the Part A Technical and Management submittal Tier II best value score will be redistributed so that 60% will be for the written submission(s) and 10% for the technical interview. Technical Interviews will be decided upon based upon the request of the Technical Evaluation Committee and in consultation with NYSDOT Contract Management. Technical Interview evaluation criteria for the task assignment request are listed below in descending order of importance:

1. Demonstration of why the proposed personnel's experience and teamwork provides an optimal solution. (Up to 6 points)
2. Ability of team to convince evaluators that the proposed approach, scope and schedule are reasonable and optimal. (Up to 3 points)
3. Consultants' team chemistry and coordination. (Up to 1 point)

Technical Proposal Re-Scoring (Optional)

Scoring of written technical proposals shall remain open until after conclusion of evaluating and scoring the Technical Interviews. Should the TEC opt to conduct Technical Interviews, the members of the TEC shall be given the opportunity to revise (re-score) their earlier technical scores/findings (after group discussion) based upon the additional clarification information garnered from the Technical Interviews. TEC members shall revisit their original hardcopy scoresheets and should any after-Technical Interview changes be in order, may revise their after-group discussion, written technical proposal scores as a result of further group discussions. Reasons for any and all score changes shall be recorded on the applicable TEC member's hardcopy scoresheet as well as in Contract Management's electronic composite scoresheet. Once the re-scoring of

written technical proposals has concluded, TEC members shall sign/date and surrender their scoresheets to NYMTC Contract Liaison/NYS DOT Contract Management

## FUNDING

\$ 50,000 has been budgeted for this project. NYMTC believes this is a reasonable estimate for the total cost of the work being requested.

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

## SPECIAL NOTES

Principal investigators should be familiar with and follow the requirements of New York State (the Compliance Procurement Lobbying Law of 2005) with regard to consultant contract procurement. Information can be found on the NYSDOT web site ([www.NYS DOT.gov](http://www.NYS DOT.gov)) under "Business Center," then "Consultants," then "Non-Architectural Engineering," then "Active Solicitations."

In particular, please note that communications between Contractors, Consultants/Principal Investigators, and Vendors with the Department are restricted during the period of time when services for more than \$15,000 have been requested (Request for Proposals issued), up until the time when the Consultant is selected. During this time communications, where a reasonable person would infer that the communication was intended to influence the procurement, should be limited to Department staff identified in the solicitation as "designated contacts." Any communication with an employee, who is not a designated contact which is intended to influence the solicitation, could result in the outside party being prohibited from competing for the solicitation. A second violation will ban the Consultant/Principal Investigator from competing for any Department solicitation for four years.

The designated contacts for this solicitation are:

Jan Khan, 212-383-7290, email to: [Jan.Khan@dot.ny.gov](mailto:Jan.Khan@dot.ny.gov)

Copy: Ismet Apdiroglu, [Ismet.Apdiroglu@dot.ny.gov](mailto:Ismet.Apdiroglu@dot.ny.gov) and [Shalendra.Ramadhin@dot.ny.gov](mailto:Shalendra.Ramadhin@dot.ny.gov)

Questions seeking clarification on this RFP will be accepted up to two weeks prior to the due date for proposals and should be e-mailed to the above contacts.

- Proposals should indicate direct and indirect costs, hourly rates and hours by task, travel costs, and material costs to assist NYMTC in understanding how the total cost for the work was estimated. The winning proposal will result in a fixed cost lump sum milestone contract based on details provided.

- Proposals must be received by April 20, 2015. NYMTC has a contract in place with the Region 2 University Transportation Research Center, and this Request for Proposals is being offered to the members of that consortium. Members should submit proposals through the administrators of that consortium.