



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

Title: Peer Exchange

RFP Number: C-06-35

Sponsor: NYSDOT

Date Issued: July 13, 2007

Pre-Proposal Meeting Date: None

Email Expressing Interest Due at UTRC/NYS DOT: Aug. 1, 2007 (send to nadia@utrc2.org, cc: ckamga@utrc2.org)

Final Proposal Due at UTRC: August 30, 2007 (send to nadia@utrc2.org, cc: ckamga@utrc2.org)

RFP Closing Date: Aug. 31, 2007

If you plan to apply:

Please contact Nadia Aslam at nadia@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 let us know by email first your intention to submit a proposal by August 1, 2007. Submit your proposal electronically to UTRC. We will confirm that the proposals make comparable budget assumptions and will deliver the proposals to the sponsoring agency by the closing date.

Funding available:

Up to \$15,000 fixed fees are available from NYDOT plus reimbursable costs as identified in the RFP.

For questions about this proposal, please contact:

Paul Hoole, Director

Research and Policy Studies Section, 6th Floor

New York State Department of Transportation

50 Wolf Road

Albany, NY 12232

For questions about budget preparation, please contact:

Camille Kamga, ckamga@utrc2.org

New York State Department of Transportation
Request for Proposals

C-06-35: Peer Exchange

RESEARCH PROBLEM STATEMENT

Federal regulations require state departments of transportation to conduct periodic peer exchanges of their Research, Development & Technology Transfer Programs. Guidance from the Federal Highway Administration can be found at <http://www.tfhrc.gov/sprguide/pe.htm>. A peer exchange is intended to benefit both the host State and the participants from other organizations through an open exchange of ideas, knowledge and brainstorming.

OBJECTIVES

Arrange, facilitate and document a 2 to 3 day peer exchange in Albany, New York during the fall of 2007 with a focus on the following topics for discussion:

- Best practices for creating a strategically driven transportation research program; and
- Best practices for conducting a comprehensive evaluation to measure the efficiency and effectiveness of a state department of transportation research program.

PROPOSED RESEARCH TASKS

Task descriptions are intended to provide a framework for conducting the research. NYSDOT is seeking the insights of proposers on how best to achieve the research objectives. Proposers are expected to describe research plans that can realistically be accomplished within the constraints of available funds and research period. Proposals must present the proposer's current thinking in sufficient detail to demonstrate their understanding of the issues and the soundness of their approach to meeting the research objectives.

Possible Tasks:

- Review existing literature on the subject of peer exchanges.
- Recommend, for the approval of the NYSDOT Project Manager, a meeting location and a place where non-local meeting participants will stay – accompanied by the reasons for the recommendation and the cost of the recommended facility and at least two other alternatives.
- Make logistical arrangements with the locations selected.
- Recommend, for the approval of the NYSDOT Project Manager, a list of potential participants – accompanied by the reasons for the recommendations and a cost estimate for their travel & lodging expenses.
- Secure the participation of non-NYSDOT participants, at least two of whom must be among those on the Research Advisory Committee.
- Develop an agenda and other read ahead material for the exchange.
(NYSDOT will provide copies of the federally required document, *SPR Management Process: Policies & Procedures for Research, Development*

& Technology Transfer.)

- Facilitate the exchange and take notes.
- Prepare draft report at the conclusion of the peer exchange. (The report will use “bullet” phrases and other outline techniques to avoid the need to “wordsmith” and minimize the time needed to review the document.)
- Prepare the final report.

RESEARCH PRODUCTS

A report will be produced that:

- Provides a brief introduction that introduces the participants and describes the intent of the activity
- The body of the report will reiterate the aspects of the research program that were discussed
- The conclusion of the report will reflect the highlights of the open discussion and summarize the consensus of the participants.

FUNDING

\$15,000 has been budgeted for this project to cover arranging, facilitating and documenting the peer exchange. It is anticipated that a fixed fee will be paid for these services, based on the budget provided with proposals received. This budget is exclusive of administrative fees.

In addition to the amount above, the contract will be written to reimburse the selected principal investigator for the actual costs for renting a meeting location, coffee breaks, and the actual travel and lodging costs for non-local meeting participants. The principal investigator will make these payments on behalf of NYSDOT and be reimbursed through the contract.

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.)

RESEARCH PERIOD

It is expected that the peer exchange would be completed by the middle of November, 2007 and a final report issued by November 30, 2007.

SPECIAL NOTES

- **Expressions of interest are requested by August 1, 2007.** These expressions should be emailed to Paul Hoole at phoole@dot.state.ny.us.
- **Proposals are due by close of business, August 31, 2007** NYSDOT has a

contract in place with three research consortia. This Request for Proposals is being offered to the members of these consortia only. Members should submit proposals through the administrators of these consortia. The receipt of a pdf copy of the proposal by NYSDOT on or before the above due date is satisfactory, providing seven (7) hard copies follow within a week.

- **The designated contacts for this solicitation are Paul Hoole and Deborah Mooney.** Questions seeking clarification on the RFP should be e-mailed by close of business August 17, 2007 to: phoole@dot.state.ny.us **and** dmooney@dot.state.ny.us [See special note on Lobbying Law.]
- Lobbying Law: 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) 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 contact.”

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.

- At the option of the consortium selected, a few students (in addition to those facilitating the peer exchange) may attend the exchange as observers. NYSDOT staff attending will total about 8 people. NYSDOT may invite a few non-NYSDOT people to observe.
- 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.
- Proposals, where the New York State costs total more than 10% over the budgeted cost, will not be considered for selection. If a potential principal investigator believes the research cannot be reasonably conducted without an increase in the budget, they should write to:

Paul Hoole, Director
Research and Policy Studies Section, 6th Floor
New York State Department of Transportation
50 Wolf Road
Albany, NY 12232

If a sufficient number of potential principal investigators indicated in writing that they believe the research cannot be reasonably conducted within the funding constraints specified 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.

CRITERIA FOR SELECTION

Expertise / Understanding / Approach (Weight: 30%)

Expertise: What is the extent of the relevant experience of the Principal Investigator? What is the extent of the relevant experience of others who will be involved in the research?

Understanding of the Problem: Does the proposal reflect an understanding of the problem and its relevance to New York State? Does the proposal reflect an understanding of existing data and the current state of knowledge in New York State?

Approach: Is the proposed approach clear, especially in how it will build upon and enhance the state of knowledge in New York State? Will it yield the deliverables called for in the RFP? Does the approach show insight that will lead to results that will sufficiently assist New York State in addressing the problem? Is the proposed approach practical given the schedule and total budget? Will the proposed research draw upon all critical sources of pertinent information?

Investigator(s) Previous Experience with Similar Projects (Weight 20%)

Successful completion of previous projects by the Investigator(s) will be considered. These projects should be in the area of expertise required for successful completion of this project, such as bridge inspection, structural engineering, and seismic engineering.

Cost to New York State (Weight 50%)

The lower the New York State cost, the greater consideration a proposal will receive.