New York State Department of Transportation

Consultant Selection System Instructions Document

Version Date – June 2013

General Instructions

In order to do business with the New York State Department of Transportation (NYSDOT) a firm must:

1. Register
2. Respond to advertisements via an Expression of Interest (EOI)
3. Provide an Inventory of project experience to participate in the selection process

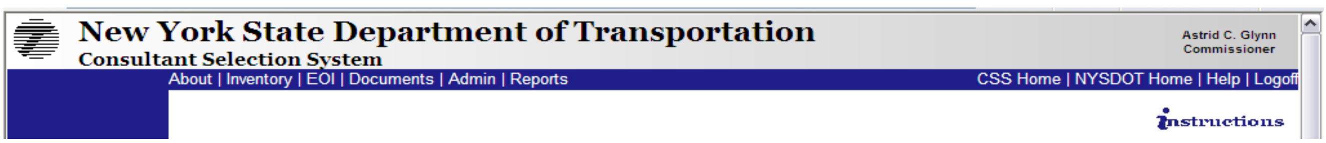
NYSDOT will inform the firms, via these instructions, of the rules associated with these business processes. The following instructions will describe the menu structure, common functionality, and basic navigation through the Consultant Selection System Web Interface (CSSWeb) application.

Browser

Commands and toolbars setup by the firm's browser are not within the control of the CSSWeb application system. Please note that use of the **BACK** and **FORWARD** arrows on the browser toolbar are not supported by CSSWeb and **should not** be used because they will cause the application to lose focus and information may be lost.

Toolbar Controls

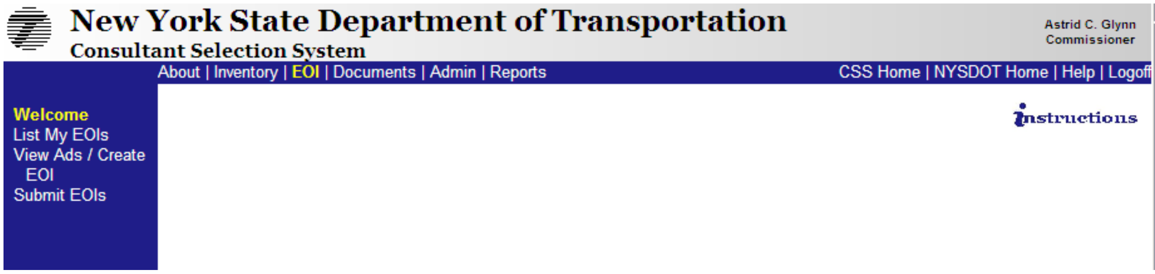
The following appears on the top of every web page in the CSSWeb application, according to Information Technology Division (ITD) standards.



- Click on "About" to find a brief description of the CSSWeb Application.
- Inventory, Registration, EOI, and Admin are all modules of the CSSWeb application and are accessible via the CSSWeb Main Toolbar Menu. If a user has access to the module it will appear on the top of every page, as shown above. To run one of these modules, Click on it in the menu. The module that is currently active is highlighted in yellow.
- Click on "CSS Home" to return to the CSSWeb Home Page.
- Click on "NYSDOT Home" to navigate to the New York State Department of Transportation website home page.
- Click on "Help" to access the entire CSSWeb Application help and instructions documentation.
- Click on "Logoff" to close and exit out of the CSSWeb Application.

Vertical Navigation Bar

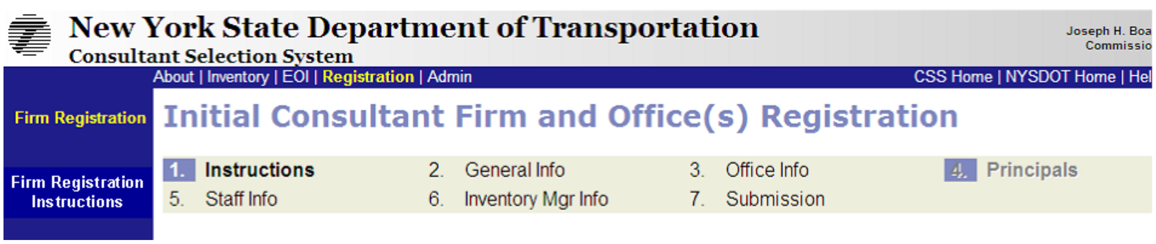
The vertical navigation bar appears on the left-hand side of the page frame and is customized for each application sub-area or module. When a location is active is it highlighted in yellow. It contains links to processes within the individual module. The following shows the EOI module and its sub menu. The active process is highlighted in yellow.



Navigating the Web Pages

Navigating from one application page to another may occur in the following ways:

1. Click on Previous or Continue button at the bottom of a page
2. Click on the sub-area in the vertical navigation bar
3. Click on the process name on the application page within a module (as in numbers 1 – 7 shown in the example below)



Common Functionality

The following command buttons are used throughout the application in a standard manner, as both a navigation function and a database commit function.

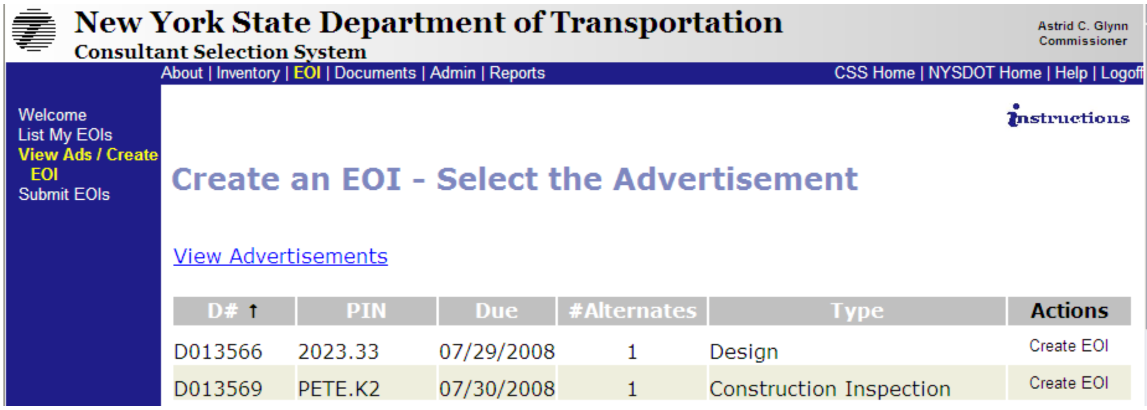
Command Buttons

Command	Definition
Continue	Appears on the bottom of a page, and will navigate to the next logical page or frame in the application.
Previous	Appears on the bottom of a page, and will navigate to the previous logical page or frame in the application.
Save	Appears at the bottom of a page, will validate and commit transactions to the database, and will remain on the current page.
OK	Appears in message boxes, such as when attempting to delete, and is used to acknowledge the action.
Cancel	Appears at the bottom of a page, and is used to abandon an operation.
Go	Appears anywhere on the page and functions to launch a search based on some criteria entered by the user.

Sorting

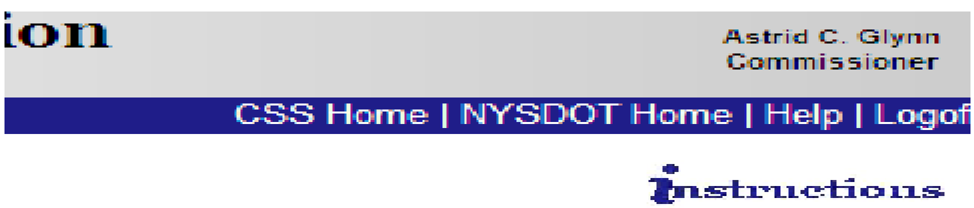
Some information in the CSSWeb application is displayed with table lists. Any table lists in the application can be sorted by any data column (action columns can not be sorted). To sort the table by a column Click on the column heading. This will sort the table in alphabetical (ascending) order. Clicking on the column a second time will sort in descending order. In the example shown below clicking on the D#, PIN, Name, Due Date, or Submitted Date column heading will result in the table being sorted by that data.

In the example shown below clicking on the D# has sorted the table by the contract number.



Help

The system will provide help and instructions for CSSWeb.



1. CSSWeb Help – The Help document for the entire CSSWeb application is contained here, and accessed via the Main Toolbar (cross section shown above) by clicking on Help. This documentation will describe:
   a. NYSDOT requirements for firms to do business with them through this application
   b. Recommendations for how firms should provide information for claiming credit
   c. Application page instructions

2. Page-level Instructions – While on a page click on the instructions icon (example shown above). Another window will be displayed showing the specific instructions for the page.

Searching

Searching Help - In order to search through the help or instructions, the search functionality supplied by Acrobat Reader needs to be used. Click on the Binoculars Icon located on the toolbar in the PDF file to find a text string in the document. To read more click on Acrobat Reader Help within the document.

Click on Bookmarks to display an index for the document. Search by topic using this index.

Printing

Printing Help – In order to print the help or instructions, the print functionality supplied by Acrobat Reader needs to be used. To read more click on Acrobat Reader Help within the document.

Printing Pages – Click on the Printer Icon on your browser, or Click on File / Print. This will print the current page you are on to your default printer.

Page Instructions

Firm Registration Pages

Firm Registration Welcome Page

The Welcome Page for Firm Registration contains information about general instructions related to registering with New York State Department of Transportation (NYSDOT) for the purpose of doing business with them.

On this page is a link on the left-hand tree view menu to Firm Registration Instructions which will provide a firm with the information needed to have on hand to fill out the firm registration forms on the subsequent pages.

Links to each form is provided on the top menu.

Time-Outs
This application has time-outs built-in to protect the information on your pages. If you leave the application open and do not touch it for 15 minutes, the system will display a message “ServletException”, which means that you have been logged out of the application and will need to log in to again. Any information that was not saved prior to system log-out is gone and will need to be re-created.

Search

A firm can run a search to determine if their firm is already registered by pressing the highlighted word Search. Another page will be displayed that will let the firm enter a firm name or a Federal Identification Number for their firm.

Firm Search

Firm Search Section

1. Name Search – Type in the beginning letter of or full legal name of a firm and press the Search button

or

2. FEID Search – Type in the Federal ID Number of a firm, and press the Search button

or

3. Alpha Search – Click on an alphabetic character in the list shown to retrieve all firms that start with that letter

Results Table

The firm name and address of all firms that match the search criteria are displayed in the table on the bottom of the page.

If no firms are found a message stating so is displayed.

Sorting

The results table can be sorted by firm name or by address by clicking on the column heading, once for ascending and a second time for descending order.

General Information

Department of State Registration Indicator –

Click Yes - if you are registered to do business in New York State
Click No - if not

Legal Firm Name – Type in the legal name of the firm. From the page, Click on New York Department of State to go to the New York Department of State Web site to verify your firm's Legal Name.

Reminder - especially for Out-of-State Corporations - For firms providing services in Engineering, Land Surveying, Architecture or Landscape Architecture, the firm's name listed by the NYS Education Department, Office of the Professions must be the name on the NYS Department of State's authorization to do business in the state of New York.

All information provided to NYSDOT should be under the firm's name listed by the NYS Education Department, Office of the Professions.
This includes but not limited to:

- The name provided to NYSDOT
- The name used on the Standard Vendor Responsibility Questionnaire
- The name on proposals, Expressions of Interest, NYSDOT 255's, etc.
- The name on the NYS Department of State authorization to do business in the State of New York

Federal ID Number (FEID) – Type in the Federal Identification Number in the format of 9 numbers and a dash. Example: 12-3456789.

Type of Ownership – Select from the list of ownership types the one that best fits the firm. If "Other" is selected then it is required that a description is also typed in.

D/M/WBE Indicator
Check off the indicator(s) that best describe your business, or select "None."

DBE is Disadvantaged Business Enterprise for federally-aided projects.
To verify a firm's status visit the **NYSUCP DBE Directory** at http://www.nysucp.net/

M/WBE is Minority and/or Women's Business Enterprise for state-funded projects.
To verify a firm's status visit the **NYS M/WBE Directory** at https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp.

Last Fiscal Year's Gross Revenue – Type in your gross revenue for last fiscal year in whole dollars.

Click on Yes or No to indicate if your firm is a subsidiary

If your firm is a subsidiary the following information is also required:

Name of Parent Company

Parent Company Indicator
Click on Yes or No to indicate if firm's parent company has former names.

If firm's parent company has former names then it is required that you fill in at least one and up to five former names.

Office Information

To add an office to a firm's registration, press the "Add an Office" button. Another page will be displayed that contains a form for the firm to fill in the required office information.

Once offices are added, they appear in the table at the bottom of the page under the following columns:

- Office Name
- FEID
- Office Address
- Primary Contact Office

Primary Contact Office for New York State is the office through which NYSDOT should direct key communication.

Sorting
The offices list can be sorted by each of the columns by clicking on the column heading.

Edit an Office
To make changes to an office that has been added and is showing in the offices list, click on Edit under the Actions column. Another page will be displayed with a form filled in with the existing information that can then be modified.

Delete an Office
To delete an office from the list, click on Delete under the Actions column. A confirmation window is then displayed.

Press OK to confirm the deletion.
or
Press Cancel to cancel the deletion.

Add or Edit Office Information Inventory

Add an Office

Provide the following information and press **Add** to add it to the inventory:

Office Name - This input field will initially contain the name of the main office of the firm, but can be changed if needed with a unique name for the office.

Federal Identification Number (FEID) – This input field will initially contain the FEID for the main office of the firm, but can be changed to be a unique number for the office.

Office Address information (street, city, state/province, and postal/zip) - the address information for the office is required before progressing to other functions in firm inventory.

- If the country is Canada then a postal code must be used.
- For US zip codes the four-digit extension is required (ex. 12345-**1234**)
- Firms that do not have their own may enter the personal e-mail address of the contact person or other designated employee.

Office Liaison – Type in the information about the person at the office who will act as the office's primary contact and who can officially represent the firm to the NYS Department of Transportation.

Edit an Office

To modify any information, type over the information and press **Update** to replace the existing information in the inventory.

Cancel Office Information

To cancel any information typed in that has not been updated or added, press **Cancel**

After pressing the Cancel button the Office Information page will be displayed.

Principals of the Firm

Every firm must identify at least one principal officer. A maximum of two principals may be provided.

Any principals already entered will be listed on this page in a table format. If there are no principals entered yet, a message will display stating so.

Add a Principal

To add a principal, press the Add a New Principal button. A new page will be displayed with a form to fill in with specific information about the principal.

Edit a Principal

To edit a principal, press Edit under the actions column. A new page will be displayed with a form filled in with the most recent information about the principal.

Delete a Principal

To delete a principal from the list, press Delete under the actions column. A window will be displayed requesting that the deletion be confirmed.

- **Confirm the deletion** - press the OK button to delete the principal. This removes the principal from the list.
- **Cancel the deletion** - press the Cancel button to stop the deletion.

Sorting

Principal information may be sorted by any column in the table by clicking on the heading.

Add or Edit Principal Inventory

Add a Principal

Provide the following information and press **Add** to add it to the registration:

Principal's Name (First and Last Name) – Type in the first and last name of the principal of the firm.

Principal address office indicator –

Click on Yes - If the principal's address is the same as the office address. The address fields will be filled in automatically with the office address.

Click on No – If the principal's address is different than the office. Type in the principal's address information.

Office Address information (street, city, state/province, and postal/zip) – Type in the address information about the principal. If the country is Canada then a postal code must be used.

Contact information – Type in the phone number, fax number and email address for the principal. Firms that do not have their own email address may enter the personal e-mail address of the contact person or other designated employee.

Edit a Principal

To modify any information, type over the information and press **Update** which will replace the existing information in the registration.

Cancel Office Information

To cancel any information typed in that has not been updated or added, press **Cancel**

After pressing the Cancel button the Principal of the Firm page will be displayed.

Inventory Manager

Inventory Managers are managers that can officially represent the firm on issues regarding inventory.

Every firm must identify at least one inventory manager. A maximum of two inventory managers may be provided.

Any inventory managers already entered will be listed on this page in a table format. If no inventory managers are entered yet, a message will display stating so.

Add an Inventory Manager

To add an inventory manager, press the Add a New Manager button. A new page will be displayed with a form to fill in with specific information about the inventory manager.

Edit an Inventory Manager

To edit an inventory manager, press Edit under the actions column. A new page will be displayed with a form filled in with the most recent information about the inventory manager.

Delete an Inventory Manager

To delete an inventory manager from the list, press Delete under the actions column. A window will be displayed requesting that the deletion be confirmed.

- **Confirm the deletion** - press the OK button to delete the inventory manager. This removes the inventory manager from the list.
- **Cancel the deletion** - press the Cancel button to stop the deletion.

Sorting

Inventory Manager information may be sorted by any column in the table by clicking on the column heading. Click on the heading a second time to sort in descending order.

General Staff Information

Number of Employees who may or may not work for NYSDOT

- Enter the total number of staff currently employed by the firm in all of its offices combined (not solely staff who may work for NYSDOT).
- Count clerical personnel as “administrative”.

Number of employees who may work for NYSDOT

- Enter the total number of employees in each discipline who are currently employed by the firm and who may do work for NYSDOT.

Submission or Error Checking Firm Registrations

The registration submittal by the firm is considered by NYSDOT to be authorized and approved by the management of the firm. By making the submittal the firm is certifying the truth and accuracy of all information.

The error checking process for Firm Registration is to verify the registration information that the firm has typed in so far.

Submit
Press the submit button to check the information entered, save it if no errors are found and submit certification. The information is saved to the database only after an error-free submission is successfully completed.

Error Check
Press the Error Check button to check the information entered so far. If errors are found, a separate window will be displayed listing the page heading and specific data items in error. The information entered is not saved at this point.

Print Report of Registration
To create a report of what has been typed in so far, before submitting, click on the word "here" from within the following statement which is shown at the bottom of the page.

"If you would like to view a printable version of your registration information click here"

The report will display in a view window and from there pressing Print will send the report to your default printer.

Approval

Submittals by the firm are considered by NYSDOT to be authorized and approved by the management of the firm. By making a submittal the firm is certifying the truth and accuracy of all information.

This page is displayed if all of the information has been entered in Firm Registration and the data has passed all validation tests and the firm has certified its accuracy by pressing Submit from the Submission page.

The following information is displayed:

1. **Office CIN** (Consultant Identification Number for an Office) - every office entered during the registration process is assigned a CIN, which is used by the firm whenever contacting NYSDOT

2. **Office Address** – every office entered during the registration process is identified by their address

Print the Approval Page

See the statement on the page "If you would like to print the Registration Approval information click here". Clicking on "here" will bring up your default printer window and pressing OK will print the approval page information to your default printer.

EOI Pages

EOI Welcome Page

The Expression of Interest (EOI) module of the CSSWeb Application provides firms with the ability to respond to advertised requests for services found in the New York State Contract Reporter and on the web site of the New York State Department of Transportation (NYSDOT).

From the EOI Welcome page you can:

- Create new EOIs
- View Ads
- List previously created EOIs
- Submit EOI

Click on “List My EOIs” to edit/delete previously submitted or in-progress EOIs.

Click on “View Ads/Create EOI” to advance to the page that will allow you to create an EOI, or to view active advertisements.

Click on “Submit EOI” to submit or view the status of EOIs.

Create EOI

A list of advertisements is presented. To create a new Expression of Interest (EOI) a firm must click on “Create EOI” next to the appropriate advertisement. Another page will be displayed with a form to fill in, starting with basic information.

To view the advertisements listed on the NYSDOT web site click on “View Advertisements”.

When submitting an EOI, if either the Prime firm or Joint Venture partner does not have the applicable project inventory in place, the EOI will not be processed for scoring.

If any Prime firm or Joint Venture partner does not have an active project inventory, their EOI will be rejected by the system. Prime firms and Joint Venture partners must verify active inventories on NYSDOT’s web site before submitting an electronic EOI. Search for firm inventories using the **CSSWeb View** link at https://www.dot.ny.gov/doing-business

Subconsultants must be registered and have a valid eight-digit Consultant Identification Number (CIN) in order to be part of a Prime’s EOI.

For a subconsultant to contribute to the team score for any factors related to firm experience, the subconsultant must have an active project inventory. The scoring program will give subconsultants who do not have an active project inventory a score “0” for any tasks they are assigned, which will reduce the team score.

List EOIs

After clicking on “List My EOIs”, all existing Expressions of Interest that the firm has already submitted or provided information about is presented.

A column displays the EOI Status. The EOIs shown here will display the following types of status:

1. **Submitted** – This status indicates the EOIs that have been submitted. If the user selects “Edit” then a pop-up message will appear warning the user. “This EOI was submitted, editing it will withdraw your submission and allow you to write over the information and submit the EOI again”.

2. **In Progress** - This status indicates the EOIs that are being prepared for submission.

3. **Re-Submit -** This status indicates the EOIs returned by the Contract Management Bureau for modification.

4. **Accepted -** This status indicates the EOIs that have been “Accepted” and are available for electronic scoring purposes.

Edit EOI

To edit an existing EOI a firm must click on “Edit” under the Actions column. Another page will be displayed with the EOI form filled in with previously entered information.

View Advertisements

To view the advertisements listed on the NYS Department of Transportation Web site click on "View Advertisements."

Delete EOI

To delete an existing EOI a firm must click on "Delete" under the Actions column. A delete confirmation window will be displayed that allows the firm to cancel the deletion or acknowledge it.

Click on "OK" to confirm the delete. The EOI will be deleted and removed from the list. Click on "Cancel" to cancel the deletion. The EOI remains on the list.

General Information

Provide a Name for your EOI package: The name for your EOI package is a name of your choosing.

Are you submitting as a Joint Venture?

Joint Ventures: When contemplating the proposal of a Joint Venture and before submitting as a Joint Venture, please refer to Consultant Instruction 10-02 for Joint Venture requirements. The Consultant Instruction is posted on the NYSDOT Web site at https://www.dot.ny.gov/main/business-center/consultants/architectural-engineering/consultant-instructions/selection-process.

Joint Venture Coordinator: When preparing an electronic expression of interest it is expected that the Project Manager will be employed by the Joint Venture Coordinator (lead Joint Venture partner), will be located in the Joint Venture Coordinator's office, and that distances to the Project and to the Regional Office will be measured from that office. If the Joint Venture is short-listed it is expected that the same partner acting as the Joint Venture Coordinator and the office reported in the electronic expression of interest will be shown on the NYSDOT 255 under 3A and 3E. Exceptions to this guideline must be requested by the firm and approved by NYSDOT prior to the firm's submittal of the electronic expression of interest.

Does the Prime or JV (as a whole) intend to claim the Small Firm Credit?

The advertisement will indicate if there is a Small Firm Credit, and the requirements that must be met in order to claim the credit. If the advertisement that you are responding to does not have a small firm credit then this question will not appear.

EOI Contact Person

The EOI Contact Person is an individual authorized by the firm's management to speak for the firm on matters regarding this Expression of Interest.

Contact Person Information

Type in the first name, last name, phone number and email address of the contact person.

Contact Person List

Contacts from all EOIs for the firm are listed on this page. To use an existing contact from the list, click on **Select** under the Actions column next to the contact person listed.

Add or Edit Special Factors for EOI

If Special Factors are included in the advertisement they are shown on this screen, and the consultant should follow the instructions in the advertisement to respond appropriately.

Special Factors Value – Enter a value from 0 to 10 for the special factors weight value for each factor listed.

EOI Team

Select the firm(s) from your Directory that will be part of your EOI team and indicate the firm's role. You may only select **one office** from each firm. That office should be the office through which the firm will coordinate its work on the project.

Joint Venture Coordinator: When preparing an EOI it is expected that the Project Manager will be employed by the Joint Venture Coordinator (lead Joint Venture partner), will be located in the Joint Venture Coordinator's office, and that distances to the project and to the Regional Office will be measured from that office. If the Joint Venture is shortlisted it is expected that the same partner, acting as the Joint Venture Coordinator, and the office reported in the EOI will be shown on the NYSDOT 255 under 3A and 3E. Exceptions to this guideline must be requested by the firm and approved by NYSDOT prior to the firm's submittal of the EOI.

Team Selection

This section of the page will list all of the offices that the firm has already added to the team. The following information about the office will be listed:

CIN – office Consultant Identification Number. This is for information only.

Firm Name – the legal name of the office. This is for information only.

Role – To select the role that each team member will play on the project click on the role from the drop-down list under the Role column next to each office listed. The following are the valid roles.

Subconsultant
Prime or Joint Venture Member

D/M/WBE Alternate – If the advertisement states that alternate(s) are required then the firm must select alternate(s).

Click on the check box in the D/M/WBE column next to the office(s) that will be the alternate(s). There will be no alternate column if the advertisement did not indicate that one is required.

Joint Venture Coordinator Indicator – It is required that a JV Coordinator be identified.

Click on the JV Coordinator button under the JV Coordinator column next to the office that will act as the JV Coordinator.

Remove from Team

To remove an office from the team, press the remove button. This will remove it from the team selection table and add it back to the available offices in the firm directory.

Firm Directory

This section of the page will allow a firm to add an office to the team. Once an office has been added to the team it is no longer available in the directory.

Add a Team Member - to add an office to the team:

1. Find the office
2. Click on the check box in the list next to the name
3. Click on the Add a New Member button

Find Office

Find By Firm Name – To find an office, type in part or the entire name of the office and press **Go**. All offices whose name starts with the text that is entered will be displayed on the page.

Note: If an office is not in the drop-down list it means that the office is not registered. Firms must add additional offices using the Inventory module of the application.

List – To find an office, a firm can also click on the first letter of the office name and a list of all offices that start with that letter will be displayed.

Find Firms I Have Done Business With – Click on this to get a list of the offices that are team members from all EOIs that the firm has submitted currently and in the past.

Office Distances

The information on this page is required for each firm on your EOI team. NYSDOT expects accurate numbers, either an actual odometer reading, through the use of a map drawn to scale, or by using a reputable database of distances.

This page lists all of the team members selected so far. The prime consultant is listed first.

The distance (in miles) from the participating office to the indicated NYSDOT project site and/or the Regional Office

For purposes of estimating distance to the project, use the office at which the project manager (or the person in charge of certain activities in the case of a subconsultant) is available on essentially a daily basis for direct and visual supervision of the firm's staff that is providing the majority of the key elements of its assigned design activities.

Joint Venture Coordinator:

When preparing an EOI it is expected that the project manager will be employed by the Joint Venture Coordinator (lead Joint Venture partner), will be located in the Joint Venture Coordinator's office, and that distances to the project and to the Regional Office will be measured from that office. If the Joint Venture is shortlisted it is expected that the same partner acting as the Joint Venture Coordinator and the office reported in the EOI will be shown on the NYSDOT 255 under 3A and 3E. Exceptions to this guideline must be requested by the firm and approved by the NYSDOT prior to the firm's submittal of the electronic expression of interest.

Team Task Assignments

Page Rules

- All tasks in the advertisement must be assigned.
- All team members must be assigned at least one task.

Assign all unassigned tasks

- Assign All - Click the Assign All button to assign all unassigned tasks to the Prime or JV Coordinator.

Choose at least one of the following:

1. Team Members-to-Task - Select this option to organize the tasks by team member.

2. Task-to-Team Members – Select this option to organize the team members by task.

Choose at least one of the following:

1. Filter all Tasks - Select to show all tasks that are included in the advertisement. All filter options are initially blank.

2. Only Assigned Tasks - Select to show all tasks that have previously been assigned to firms.

3. Only Unassigned Tasks - Select to show all tasks that have not been assigned to a firm.

Work % and Workload

On the “DBE Cr, %Work & Workload” page, enter the required information for the Prime, each subconsultant, and for the JV partners (include under JV coordinator).

The firms are listed by Prime or JV Coordinator first, then subconsultants.

Be sure that the appropriate workload for your last designation is included in the information on this page.

Total Outstanding with NYSDOT for the advertised project type
Type in the amount, in thousands of dollars, of the outstanding value of projects each team member is currently working on for the New York State Department of Transportation for the same project type as the advertised project this EOI is responding to. This value can not exceed the total for all project types.

Total Outstanding with NYSDOT for all project types
Type in the amount, in thousands of dollars, of the outstanding value of all projects each team member is currently working on for the New York State Department of Transportation. This value can not be less than the amount for the project type alone.

Percentage of work being proposed
Type in the whole number representing the percentage of work proposed for the advertised project for each prime and sub on the proposed project team.

Percentage of D/M/WBE participation being proposed on this project

Type in the whole number representing the percentage of D/M/WBE participation proposed for the advertised project for each subconsultant on the proposed project team. Every subconsultant must have a percentage of work being proposed filled in.

For team members that are not subconsultants this field is disabled.

Last Designation

Team member selection must be done before last designation information can be entered. A message will appear on the page if no team members have been selected yet.

For each firm that has remaining workload, and/or has received a NYSDOT consultant designation as either a prime or subconsultant, select the team member and enter the required information.

Workload and Last Designation Data — Last designation data is required from all firms on the EOI team that have remaining workload and/or received a NYSDOT designation. Submission of backup information regarding workload (NYSDOT form CONR386) and last designation will be required from all team members (prime or JV partners plus subconsultants) expressing interest in a particular project. For the No. 1 team, information on workload and last NYSDOT designation will be verified by the NYSDOT Office of Contract Management. If gross errors are found, the team will drop to the bottom of the shortlist and a new No. 1 team will be selected.

Be sure you have included the appropriate workload, as requested on the previous screen (“Percent Work and Remaining Workload”).

Firm’s Share of Designation: Enter the amount in thousands of dollars. Do not type in the dollar sign ($). Do not use commas or periods. Example: $23.4 million (or $23,400,000) should be entered as 23400.

Last Designations Section

This section of the page will list all designations that have already been added. A designation can be edited or deleted from this section.

Edit Designation – Click on Edit under the Actions column beside the designation to be modified.

Remove Designation

1. Click on Check box next to designation to be removed
2. Click on the Remove Designation(s) button. The page will be refreshed and the designation will no longer appear in the list.

Add/Update Designations Section

Select a Team Member – Click on the team member from the dropdown list. This list will include only those offices that have been previously selected as team members for the proposed project.

Designation Date and Contract Number – Type in the date of the last designation and NYSDOT's contract number for that designation.

Firm's share of the designation – Type in the amount of the firm's share of the last designation in thousands of dollars. (i.e., $500,000 should be entered as 500)

Primary function — For a function to be indicated as **primary**, it must be equal to or greater than 20% of the firm's total direct technical labor cost.

Primary function(s) directly performed or yet to be performed by the firm under their last designation. **Click on** the check box next to at least one or more functions.

Primary function(s) proposed to be performed by the firm on this project. **Click on** the check box next to at least one or more functions.

Add Designation – Click on the Add Designation(s) button to add the designation information. The designation will now appear in the Last Designations list.

Update Designation – Click on the Update Designation(s) button to add changes to the designation selected for editing. The designation will now appear in the Last Designations list.

Cancel Designation – Click on the Cancel Update button to cancel any changes that were made to a designation since the last update or add was performed. The designation will not appear in the list.

Instructions for reporting ABC "last designation" information in an electronic EOI:
The firms will not report each assignment as a designation.
The date of the first assignment to the team will be the "last designation" date.
The value for "last designation" shall be reported.

Instructions for reporting RDSA "last designation" information in an electronic EOI:
The reportable "Last Designation" date for each firm in the consultant team depends upon when those firms first participate in an assignment for work under the RDSA.

Firms whose respective work value for any assignment is $300,000 or less shall be exempt from reporting the designation value and date in the Electronic EOI as Last Designation information. Firms **MUST** continue to report the respective value of the designation as workload in the Electronic EOI.

Firms participating in the first assignment under an RDSA:

Prime/Joint Venture Partners: When submitting future electronic Expressions of Interest for the automated consultant selection process, use the designation date of the first assignment as the date of their “last designation” for this RDSA Contract. The workload value to be reported for the assignment is the estimated value of the first assignment times their designated participation for the assignment.

After the Final Proposal has been negotiated and submitted, the Prime/Joint Venture Partners should report a revised work value on its workload disclosure form. The “last designation” date does not change.

Subconsultants: Should not report the assignment designation until a Final Proposal, which includes their firm, is negotiated and submitted. The subconsultants participating in the assignment should report the date of the Final Proposal as their “last designation” date and report their respective work value for the assignment on their workload disclosure form.

Subconsultants not participating in the first assignment should not report a “last designation” date or a workload value.

AND

Firms participating in assignments subsequent to the first assignment:

Prime/Joint Venture Partners **and** Subconsultants: When submitting future electronic Expressions of Interest for the automated consultant selection process, this designation **should not** be reported by the firm(s) if the firm(s) previously reported another assignment as its “last designation”. The workload value to be reported by the Prime/Joint Venture partners for this assignment is the estimated value of the first assignment times their designated participation; this value should be updated when a Final Proposal is submitted. The workload value for the subconsultants should be reported at the time the Final Proposal.

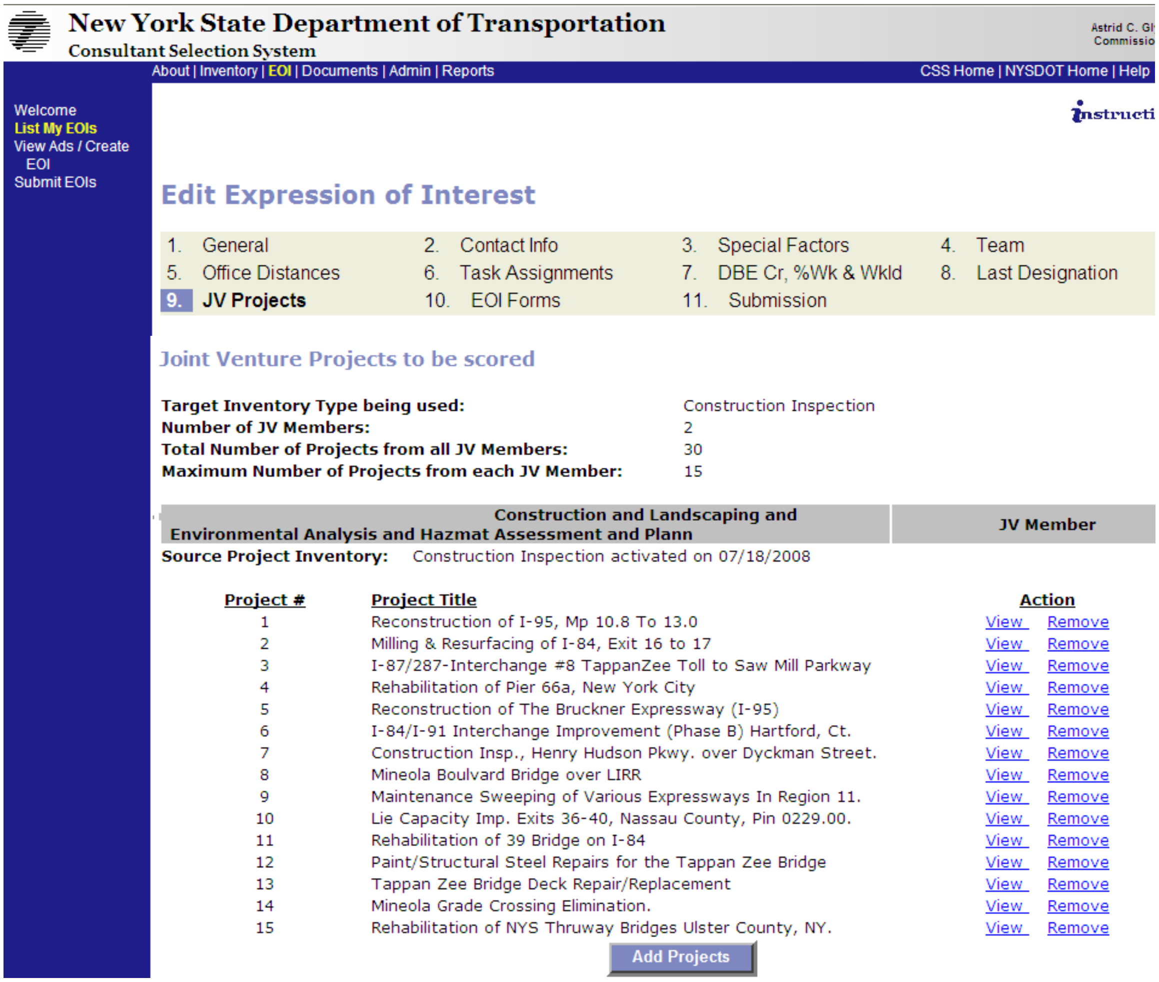
Subconsultants: If this assignment results in the first work being received by a subconsultant in the overall agreement, that subconsultant is required to report the date the Final Proposal is submitted for this assignment as its “last designation” date, i.e., if a subconsultant received no work in previous assignments, the firm would report this assignment as its “last designation” and include their respective work value in its workload disclosure.

For reporting of workload, report the value of the remaining work on all actual assignments.

JV Projects

This page will only be active when a joint venture will be the “prime” firm for the EOI, and allows the joint venture to create a special inventory of project experience for the joint venture.

Selecting the “ADD PROJECTS” button will allow the user to view and select inventory projects.



New York State Department of Transportation
Consultant Selection System

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Welcome
List My EOIs
View Ads / Create EOI
Submit EOIs

Edit Expression of Interest

1. General	2. Contact Info	3. Special Factors	4. Team
5. Office Distances	6. Task Assignments	7. DBE Cr, %Wk & Wkld	8. Last Designation
9. JV Projects	10. EOI Forms	11. Submission	

Joint Venture Projects to be scored

Target Inventory Type being used:	Construction Inspection
Number of JV Members:	2
Total Number of Projects from all JV Members:	30
Maximum Number of Projects from each JV Member:	15

Construction and Landscaping and Environmental Analysis and Hazmat Assessment and Plann	JV Member

Source Project Inventory: Construction Inspection activated on 07/18/2008

Project #	Project Title	Action
1	Reconstruction of I-95, Mp 10.8 To 13.0	View Remove
2	Milling & Resurfacing of I-84, Exit 16 to 17	View Remove
3	I-87/287-Interchange #8 TappanZee Toll to Saw Mill Parkway	View Remove
4	Rehabilitation of Pier 66a, New York City	View Remove
5	Reconstruction of The Bruckner Expressway (I-95)	View Remove
6	I-84/I-91 Interchange Improvement (Phase B) Hartford, Ct.	View Remove
7	Construction Insp., Henry Hudson Pkwy. over Dyckman Street.	View Remove
8	Mineola Boulvard Bridge over LIRR	View Remove
9	Maintenance Sweeping of Various Expressways In Region 11.	View Remove
10	Lie Capacity Imp. Exits 36-40, Nassau County, Pin 0229.00.	View Remove
11	Rehabilitation of 39 Bridge on I-84	View Remove
12	Paint/Structural Steel Repairs for the Tappan Zee Bridge	View Remove
13	Tappan Zee Bridge Deck Repair/Replacement	View Remove
14	Mineola Grade Crossing Elimination.	View Remove
15	Rehabilitation of NYS Thruway Bridges Ulster County, NY.	View Remove

Add Projects

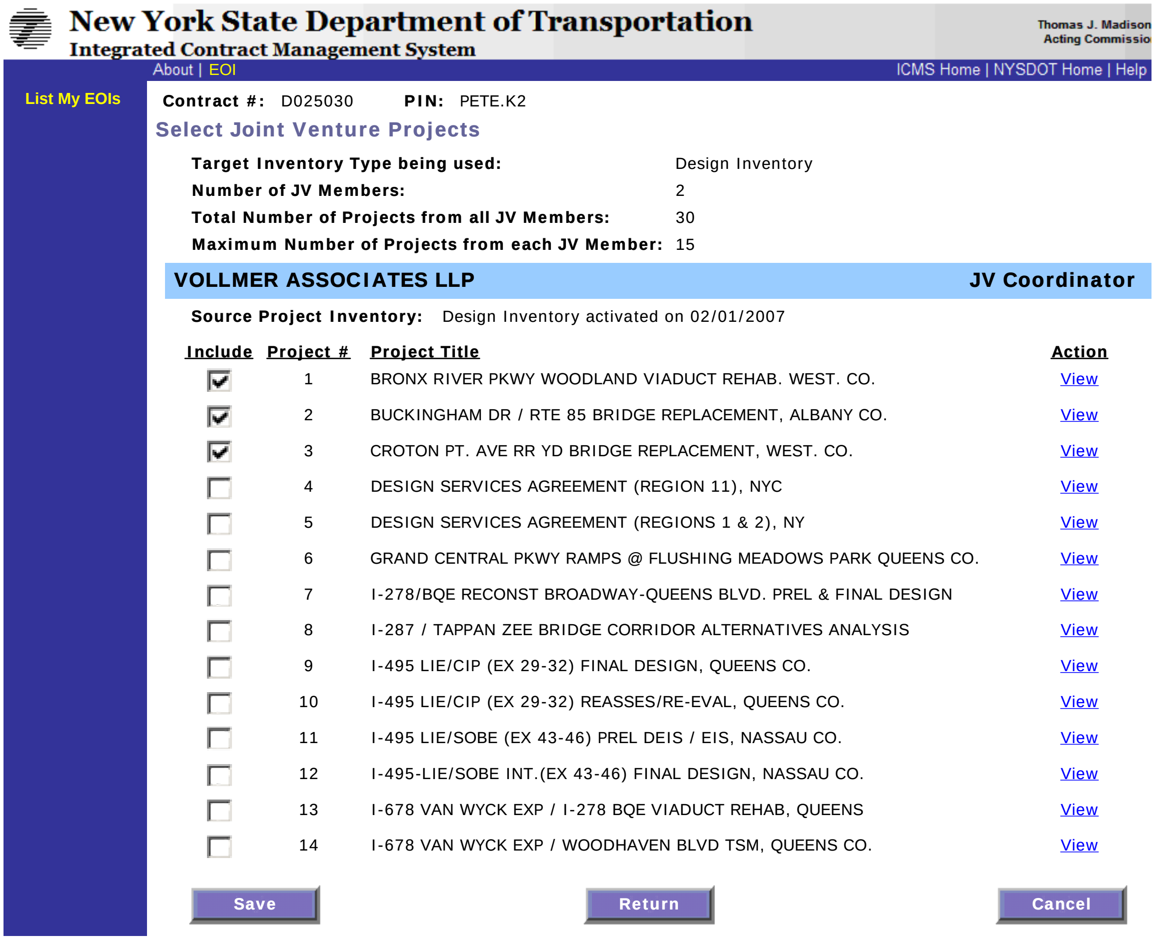
This special inventory of project experience is built from the joint venture members' active inventory of project experience, by each joint venture member contributing equally to it. All projects must be from the same inventory type, based on the EOI. This page will only display the projects selected for scoring consideration.

A message will display if the joint venture team member does not have an active inventory.

Remove a Project – to remove a project from the inventory Click on the "Remove a Project" button. The project will no longer appear in the JV Project table.

Select JV Projects Page

This page will display the list of available projects from the joint venture members' currently active inventory of project experience. Those projects that have been selected will be marked to indicate which projects the joint venture member is contributing.



The joint venture member may select up to 30 projects from the inventories of JV member firms. Each member of the joint venture must contribute the same number of projects with a total limit of 30 projects.

The VIEW action allows the project selected to be viewed for content.

EOI Forms Page

The forms needed for scoring consideration on a project will be uploaded through this EOI Forms page. The user must select the form type to be uploaded, browse to locate the file, select the file and use the "ADD FORM" button. Forms that have been uploaded are available for viewing in the uploaded forms table. Required forms that aren't uploaded in this manner may result in the EOI not being considered for scoring.

Process I requests include the "Process I Additional information Documents".

Submit EOI Page

Submittal by the firm is considered by NYSDOT to be authorized and approved by the management of the firm. By making the submittal the firm is certifying the truth and accuracy of all information.

Error Check – Click on "Error Check" beside an EOI in the list to check for errors before submitting. If errors are found within the information entered on the EOI pages, a window will appear with the following:

1. Page name
2. Specific data item that is in error
3. A message describing the error.

If no errors are found in the submission, a window will appear with a message that there are no errors and a prompt to submit the EOI. Click "OK" to submit.

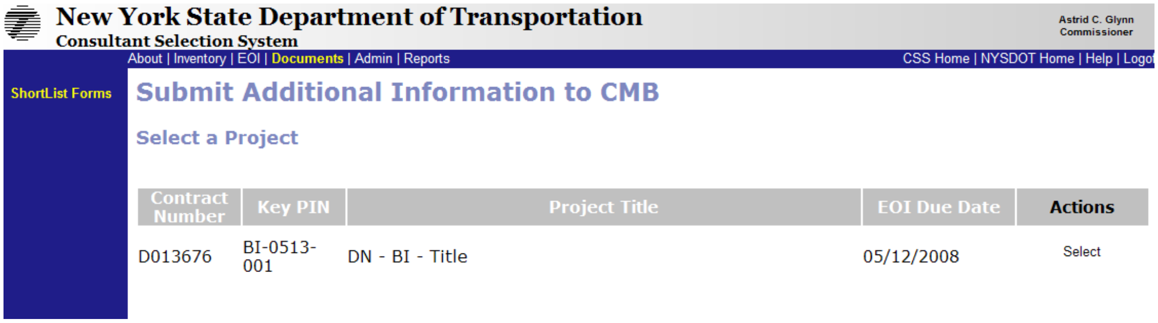
Submit – Click "Submit" beside an EOI in the list to submit the EOI. The error checking process will occur automatically. If there are errors the same information as described above will appear.

If there are no errors a window will appear stating so.
Click on "Yes" to submit
Click on "No" to cancel without submitting

After clicking on "Yes" the Last Submit Date will show the current date.

Documents Pages

This process will allow a consultant firm that has been shortlisted to upload documents to be used in the selection process. To access this page, click on Documents on the top menu and the following page will appear.


New York State Department of Transportation
Consultant Selection System

Astrid C. Glynn
Commissioner

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ShortList Forms

Submit Additional Information to CMB

Select a Project

Contract Number	Key PIN	Project Title	EOI Due Date	Actions
D013676	BI-0513-001	DN - BI - Title	05/12/2008	Select

The table will list all of the projects that the logged in firm is short-listed on. Select a project by clicking the "Select" link under the actions column.

Submit Documents to CMB

1. Select one document type from the dropdown list of valid values.

2. Find a File
   Click on the SELECT arrow and browse through the folders/files available and find your file.
   Click on the file to select it and the filename will appear in the Find the File text box.

3. Enter comments – type in any text for information purposes.

4. Add Document
   a. Click on the Add Document button. The file will appear in the table of files
   b. Click on VIEW to open the file and view it.
   c. Click on DELETE to delete the file from the table list. The application will prompt the user to confirm the deletion.
      i. Click OK to confirm deletion, or
      ii. Cancel to prevent the deletion.

5. Submit to CMB
   a. Clicking on this button will make the uploaded documents immediately available to the Contract Management Bureau.

Inventory Pages

Inventory Welcome Page

The four sections of the Inventory are:

1) General Firm Information — Includes information on the firm's offices, contact persons and staff.
2) Salary Roster — Includes the certified salary roster data for all employees of the firm who may do work for NYSDOT. Since employees must be associated with an office, you should first enter office information under "General Firm Information".
3) Design Project Inventory — Consists of three project inventories categories. Each category may contain information on up to 30 unique prior or ongoing projects that will be used to evaluate the firm's qualifications on future designations of design projects. If appropriate, projects may be reported in more than one inventory category. In addition to the Design inventory, a TASS (Term Agreement for Survey Services) inventory that will be used for TASS advertisements following the standard design scoring methodology and a TAES (Term Agreement for Environmental Services) inventory that will be used for TAES advertisements following the standard design scoring methodology are presented.
4) Construction Inspection Project Inventory — Includes information on up to 30 prior projects that will be used to evaluate the firm's qualifications on future designations of construction inspection projects.

! The inventory also includes the options of viewing on-screen and printing reports of the information entered for each of the four sections.

About the Electronic Inventory (Inventory Module)

- The Inventory module is used to submit information on the qualifications of consultant firms that wish to do work for the New York State Department of Transportation (NYSDOT).
- Subsidiaries are normally considered as part of the parent entity and should be represented in the parent inventory. The parent company should submit one inventory of firm information and experience. Individual situations should be discussed with the Contract Management Bureau.
- Submission of electronic Inventory module components is **required** for any consultant firm that wishes to be considered for selection for a NYSDOT design or construction inspection project.
- A separate electronic Expression of Interest must be submitted using the EOI module for individual projects in response to advertisements.

The electronic inventory is a program application used to submit information on the qualifications of consultant firms that wish to do work for the New York State Department of Transportation (NYSDOT).

- Each firm may submit only one electronic inventory. Subsidiaries are normally considered as part of one entity. The parent company should submit one inventory of firm information and experience. Individual situations should be discussed with the Contract Management Bureau.
- Submission of the electronic inventory is required for any consultant firm that wishes to be considered for selection for a NYSDOT design or construction inspection project.
- A separate electronic Expression of Interest must be submitted for individual projects in response to advertisements.
- Supporting information is available on the NYSDOT's website at: https://www.dot.ny.gov/doing-business

Submissions appearance on NYSDOT website

- All submissions and updates will be posted on NYSDOT's website the same business day. The submissions received will be open to viewing by other firms and the general public. The only exception is the Certified Salary Roster, from which only the full-time equivalent (FTE) staff totals by office and function will be posted.

General Firm Information

Basic Information

Registration Information within the Electronic Inventory

Basic information **must** be updated **yearly**.

The following information was initially entered via the Firm Registration process: the Legal Firm Name, Federal ID Number (FEIN), Type of Ownership, Other Ownership Described, D/W/MBE Status and Last Fiscal Year's Gross Revenue. The Legal Firm Name and FEID are displayed on this page for informational purposes only and, after initial registration entry, cannot be changed by the firm. To modify either firm name or FEIN, please contact the NYSDOT Contract Management Bureau.

Department of State Registration Indicator –
Click Yes - if you are registered to do business in New York State
Click No - if not

Type of Ownership – Select from the list of ownership types the one that best fits the firm. If "Other" is selected a description is also required.

D/M/WBE Indicator

Check off the indicator(s) that best describe your business, or None

DBE is Disadvantaged Business Enterprise for federally-aided projects.
To verify a firm's status visit the NYS BizNet UCP Directory at http://www.nysucp.net/

M/WBE is Minority and/or Women's Business Enterprise for state-funded projects. To verify a firm's status visit https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp .

Last Fiscal Year's Gross Revenue – Type in your gross revenue for last fiscal year in whole dollars.

Inventory Instructions

Initial Submissions and Updates

- Initial Submissions: Initial submissions from firms are accepted at any time. A complete submission (all information needed to score a firm on consultant selections) consists of the General Firm Information, the Certified Annual Salary Roster, an Inventory Salary Roster, and at minimum, either the Design Project Inventory or the Construction Inspection Project Inventory for the Prime firm, depending on whether a design or a construction inspection consultant selection is being scored.
- Updates: Updates for any or all of the sections may be **submitted** at any time, but information used for scoring purposes (i.e., staff totals from the salary roster (Inventory Salary Roster) and the Design and Construction Inspection project inventories) will not be **activated** unless it has been at least 90 days since the activation of the previous submission of that section. Sections that are updated will, at the time of activation, entirely replace the previously submitted section.

Selecting Projects for the Design and Construction Inspection Project Inventories

- Design Inventory: Firms may include projects completed within the past 12 years or ongoing projects, but for ongoing projects firms may only take credit for work tasks that have been completed and accepted by the client.
- Construction Inspection Inventory: For construction inspection, you may only include projects that have been completed within the past 12 years or ongoing projects for which either your construction inspection assignment has been completed or the contractor has completed work valued for at least 90% of the current contract value.
- When firms develop their project inventories for use in NYSDOT's Process II Consultant Selection process, they are able to claim the project experience of an individual employed by the firm, rather than the firm itself. To be considered for scoring purposes, the individual must be currently employed as a permanent, full-time (30 hours or more per week), year-round principal or group director (i.e., head of construction, design, survey, environmental, etc.). The individual must also have worked on the claimed project in a management capacity (i.e., principal, group

director or project manager with responsibility for multiple projects simultaneously), and have been directly responsible for the work factors/tasks claimed on the project inventory and participated in the project on a daily basis for at least 50% of the project's duration. Additionally, the experience and inclusion of former NYSDOT employees is limited by the Public Officers Law.
Firms are reminded that they should only claim credit for the work that was actually performed by the named individual. If the claimed project included work factors that the individual was not directly responsible for, or participated in, those work factors are not to be included in the individual's claimed project experience. A firm may not claim credit for work factors performed by another firm if they only performed activities such as quality assurance, project coordination, or revision of another firm's work. This guideline also extends to the claiming of Design or CI Individual Experience for a referenced project. If an individual only performed activities such as quality assurance, project coordination or revision of another firm's work, neither the firm, nor the individual may claim the associated work factors.
Firms that employ individuals that previously worked for others including Federal, State or Local government transportation agencies or authorities will need to carefully consider this guideline.

- Mix of Projects: Projects submitted should be representative of all types of work that a firm is interested in being considered for on future designations. For example, firms that submit only highway projects will not score as well on future designations for bridge projects, and firms that submit only projects with a low construction cost and complexity will not score as well on future designations for large and complex projects.
- It is suggested that primes and subconsultants confer so there is consistency in claiming credit for project experience on the same project.
- Consultant Scoring Methodology: For complete details of how projects will be scored, firms should refer to the NYSDOT Consultant Scoring Methodologies, which are available on the NYSDOT web site at: https://www.dot.ny.gov/main/business-center/consultants/general-info/electronic-consultant-selection-(process-2) .

Design and Construction Inspection Project Inventory Sections

Directions on when it is appropriate to claim credit for work done:

- Enter project information and select/submit up to 30 projects each for the design inventory types and the construction inspection inventory.
- **For construction inspection, you may only include projects that have been completed within the past 12 years or ongoing projects for which either your construction inspection assignment has been completed or the contractor has completed work valued for at least 90% of the current contract value.**
- **For design, you may include projects for which design was completed and accepted by the client within the past 12 years or ongoing projects, but you may only claim credit for categories of work or work tasks which have been completed and accepted by the client.**

- **Firms should only claim credit for work for that they directly performed.** A prime may not claim credit for a work class or task unless they directly performed the work. They may not claim credit for work performed by a subconsultant if the prime only performed activities such as QA, project coordination or revising the subconsultant's work. Subconsultants may claim credit only for work that they directly performed. This applies to the (1) design inventory for selection of work class, major categories of work, other factors, project specific environmental work and (2) construction inspection inventory for selection of work class and special factors.
  - **Example 1:** On a project that included both highway and bridge work, a firm that assigned all bridge work to a subconsultant should select the work class "Highway" rather than "Highway and Bridge" for that project when completing its own project inventory.
  - **Example 2:** A subconsultant prepared air quality and wetlands study reports. The prime performed normal QA, coordination of the work and summarized the results in an EIS. The prime **may not** claim credit for air quality and wetlands study. The prime may only claim credit for EIS.

Instructions for Special Types of Projects

Regional Design Services Agreement and Design Area Backdrop Contract Agreements

- Each assignment should be reported as a separate project and the cost reported should be the cost of that assignment. The overall agreement should not be reported as a single project.
- If a subconsultant was responsible for a complete design project, including the PS&E, show the firm's role as prime.
- Project complexity should be no higher than moderately complex.

Construction Inspection Area Backdrop Contract Agreements

- Each assignment should be reported as a separate project.
- The construction cost is to be estimated as 10 times the fee for that project.
- Project complexity should be no higher than moderately complex.

Multiple Project Agreements including Term, Term-Like and On-Call Agreements for Construction Inspection and Design Services Agreements

- For design, if a project was processed separately (i.e. separate design report, separate PS&E), then it may be reported as a separate project. For construction inspection, projects should not normally be reported as separate projects. However, if the agreement encompassed all of the work that would normally be performed on a stand-alone CI project (e.g. an agreement to provide all inspectors other than the EIC for a specific project), it may be reported as a single project with the construction cost estimated to be 10 times the fee for that project, and the complexity normally reported as routine.

- For CI, if firms claim an individual assignment as a separate stand-alone project, the firm is required to have the Regional Construction Engineer, the Area Supervisor or other management-level owner's representative staff person provide written confirmation that it meets NYSDOT's criteria to do so. This confirmation should be in the form of a written communication stating that the firm provided all the inspectors other than the EIC and performed all the work activities that normally would be performed as part of a stand-alone CI project. If firms claim the complexity as other than routine, the confirmation from the owner's rep must also include a statement regarding complexity based on NYSDOT's CSS guidelines. The confirmation cannot be a blanket statement for the entire Term contract, each assignment claimed as an individual project must be supported with a separate confirmation. Communications from the RCE, Area Supervisor or other management-level owner's representative are to be maintained by the firm claiming the individual project and those communications must be immediately available to NYSDOT upon request.

All Term, Term-Like, and On-Call Agreements Except Term CI and Design Services Agreements

- The cost reported should be the total value of the agreement.
- Individual assignments are not to be broken out and reported as individual projects.
- The reported complexity for the agreement is Routine regardless of the relative complexity of any individual assignment.

Biennial bridge condition inspection

- Show the total value of the agreement as the construction cost.
- Show the complexity as routine.
- For the CI project inventory, show the project type as bridge condition inspection.
- For the design project inventory, show bridge scoping as the only major category of work.

Bridge painting

- Work class should always be reported as "Appurtenance."
- For the design project inventory, do not show any major categories of work. You may show work if applicable under "Hazardous Waste." **Do not** claim credit for bridge design under major categories of work.
- For the CI project inventory, you may show "Painting with class A containment," if applicable.

Site development work

- Normally show work class as "Other." For the design project inventory, do not show credit for any major categories of work except survey and mapping.
- If the site development work included substantial highway or bridge work:
  - Show work class as "Highway" and/or "Bridge" as appropriate.

- Show construction cost of only the “Highway” and/or “Bridge” work — do not include the cost of other work such as buildings.

Construction Support Services and other services

Construction Support Services and other services where the agreement between the prime and the client did not provide for all of the services that would normally be performed under a project (e.g., construction support services during construction, assisting a municipality in designing a project) — **Enter only the construction cost for the services that were directly performed** under the agreement. For Construction Support Services it is difficult to estimate the construction cost for the services that were directly performed under the agreement. Therefore the consultant should estimate the construction cost by multiplying by 10 the amount that was paid to the consultant for Construction Support Services. **Do not** enter the cost of the entire project.

Area wide studies and other work for which there is no construction cost.

- For projects with no applicable construction cost (e.g., bridge condition inspection, traffic studies not associated with a project), show the fee (in thousands of dollars).

Major Categories of Work and Project Specific Environmental Factors (Design Projects) — Only claim credit for the work directly performed by the firm. For example, if your firm did an air quality study on a highway design project: (1) Enter work class “Highway” and the highway cost and complexity of the whole project; (2) Select “Air Quality Study” under “Project Specific Environmental Factors;” (3) Do not select any highway or bridge design tasks under “Major Categories of Work.”

M3-Project Scoping (Highway) or M4-Project Scoping (Bridge): Credit can only be claimed if the firm participated in the project scoping activities during the development of a project. For NYSDOT projects the project scoping culminates in the preparation of an Expanded Project Proposal. This is **not** development of a scope of services for a contract.

M9-Design Survey & Mapping: Credit can only be claimed if the firm performed ground survey and office computations for the purpose of establishing project control and producing 3D digital terrain models (DTMs) on highway projects of at least 200 meters in length. Supplemental survey and mapping and field editing of photogrammetric mapping does not qualify for credit.

M10-ROW Survey & Mapping: Credit can only be claimed if the firm has performed ground survey and deed research for the purpose of determining Highway Boundary, and has prepared and certified ROW Appropriation Maps on highway projects of at least 200 meters in length.

E1-EIS or E2-EA: Credit can only be claimed if the firm prepared the Environmental Impact Statement or Environmental Assessment. **An Environmental Assessment is not simply an evaluation of environmental impacts** but is a specific document with content as described in Appendix B of the NYSDOT Design Procedure Manual. Firms that contributed portions of the EIS or EA (noise study, air quality study, etc.) should only claim credit under those items.

E3-Noise Study: Credit can only be claimed if the firm performed a noise study using field measurements, as well as the calculation of future noise levels, determination and evaluation of noise impacts and abatement measures, use of applicable noise quality software, and appropriate documentation of the study.
E4-Air Quality Study: Credit can only be claimed if the firm performed an air quality analysis and determination of impacts including emissions analyses and calculations, use of appropriate air quality software, and preparation of an air quality report.
E5-General Ecological Study: Credit can only be claimed if the firm performed a field investigation/analysis with documentation of potential ecological impacts and mitigation measures for the study area.
E6-Endangered Species Study: Credit can only be claimed if the firm coordinated with appropriate agencies, conducted a field investigation, and documented impacts and mitigation measures in report form.
E7-Surface Water Bodies Study: Credit can only be claimed if the firm performed a study that included a field investigation, determination of project impacts, mitigation measures, and permit requirements, coordination with appropriate agencies, and documentation of findings.
E8-Wetlands Study: Credit can only be claimed if an appropriately qualified professional employed by the firm performed a wetland field delineation, analyzed project impacts, and prepared a wetland delineation report.
E9-Navigable Waters Study: Credit can only be claimed if project impacts/mitigation measures are determined on navigable waters as defined by the United States Army Corps of Engineers and the United States Coast Guard. **This does not include filling out permit applications that required NO impact/mitigation measures.**
E10-Costal Zone Management: Credit can only be claimed if the project is included in the applicable costal policy and if the firm prepared the applicable Costal Assessment Form and appropriate consistency certificates.
E11-Wild, Scenic, and Recreational Rivers Study: Credit can only be claimed if the project affects a river listed on the Federal/State Wild, Scenic, and Recreational River Inventory list, the firm assessed the project's impacts to the river, and the firm coordinated with appropriate state/federal agencies.
E12-Storm Water Management: Credit can only be claimed if the firm determines the effect of new drainage discharge on existing water bodies, including design of water pollution prevention/mitigation plans, and sediment control plans. **This does not include drainage design.**
E13-Ground Water Study: Credit can only be claimed if the firm performed an assessment and analysis of the project's impacts on the existing ground water quality and flow and prepared the appropriate documentation.
E14-Flood Plain Evaluation: Credit can only be claimed if the firm prepared the flood plain evaluation in accordance with appropriate state/federal codes, including determination of flood plain boundaries and impacts and evaluations of the project alternatives on the existing conditions.
E15-Cultural Resources Survey: Credit can only be claimed by the firm if the field operations and examinations were performed by an appropriately qualified professional employed by the firm and if a cultural resource survey report was prepared.

E16-Section 4(f) Evaluation: Credit can only be claimed if the firm conducted the majority of the impact analysis and produced the required Section 4(f) Evaluation Report.
E17-Section 6(f) Evaluation: Credit can only be claimed if the firm conducted the majority of the impact analysis and produced the required Section 6(f) Evaluation Report.
E18-Hazardous Waste Materials Screening: Credit can only be claimed if the preliminary screening and site visit were performed by the firm and a hazardous waste screening report written was prepared by the firm.
E19-Hazardous Waste Materials Assessment: Credit can only be claimed if the firm performed the sampling and executed the testing plan that was proposed and then summarized the analysis in the detailed investigation report.
E20-Asbestos Preliminary Investigation: Credit can only be claimed if the firm is appropriately licensed, performed the preliminary screening, and documented the findings in a technical report.
E21-Asbestos Sampling, Testing, Specs: Credit can only be claimed if the firm performed the sampling and executed the testing plan that was proposed and detailed the analysis in the asbestos assessment report.
E22-Farmland Protection Assessment: Credit can only be claimed if the consultant determined that the project affected farmlands, assessed the project's impact on those farmlands, and then prepared the required forms and Notice of Intent for submittal to appropriate agencies.
E23-Energy Analysis: Credit can only be claimed if direct and indirect energy impacts were analyzed and documented by the firm.
E24-Visual Impact Assessment: Credit can only be claimed if the visual assessment was performed by a registered Landscape Architect employed by the firm and a visual impact report prepared in accordance with the appropriate visual assessment policies.
E25-Adirondack Park Agency Involvement: Credit can only be claimed if the project required the consultant to have direct involvement in activities associated with rules and regulations for the protection of the Adirondack Park.
E26-Landscape Design: Must have prepared landscape plans. Simply seeding does not qualify.
Special Factors — Firms should check "Yes" only if they directly performed the work for the factor in question, with the exception of Location Factors, which apply to the project as a whole.
O1-Traffic Forecasting — Credit can only be claimed if the firm performed traffic forecasting that considered regional growth patterns, population trends, traffic generators and traffic diversions.
O2-Soil & Geologic Studies, Foundations — Normally, on NYSDOT projects, credit for this factor should not be claimed because NYSDOT does virtually all of the geotechnical evaluations. Firms should claim credit only if they performed site investigation **and** development of a Foundation Design Report, or equivalent document, used for bridge foundations. This report shall have documented the logic for the selected foundation treatment, identified soil parameters used for the design of excavation protection systems and identified foundation related construction issues that required addressing in the final contract documents.

<u>O3-Moveable Bridge Design</u> — Credit can only be claimed if the firm provided electrical, mechanical or structural design for a moveable bridge.
<u>O5-Historic Bridge Design</u> — Credit can only be claimed if the firm performed the final design of the rehabilitation of a bridge on or eligible for inclusion in the National Registrar of Historic Places.
<u>O7-Final Design of Retaining Walls over 10 Meters in Height</u> — Credit can only be claimed if the firm designed retaining walls over 10 meters (32.81 feet) in height.
<u>O8-Final Design of Complex Maintenance & Protection of Traffic</u> — Credit can only be claimed if the firm designed more than 75 plan sheets <u>for M&PT</u> (not just more than 75 plan sheets for the entire project). A prime or subconsultant may only claim credit if the firm itself prepared over 75 M&PT sheets.
<u>O11-Community Participation</u> — Credit can only be claimed if the firm provided, over an extended period of time, independent community outreach tasks such as: preparing and distributing a periodic project newsletter, developing and maintaining a project Web site or interactive kiosk, or providing and staffing a project information office. Credit should be claimed if a firm provided, over an extended period of time, independent community outreach tasks such as: preparing and distributing a periodic project newsletter, developing and maintaining a project Web site or interactive kiosk, or providing and staffing a project information office.
<u>O14 - Intermodal Scoping/Design Analysis</u> — Credit can only be claimed if the firm performed an in-depth multi-modal study (either planning, scoping or design) of alternate transportation modes (i.e., rail, bus, auto, water, HOV, exclusive bus lanes).

CI Project Inventory

Page Instructions

Order - Number the projects based on the order the firm wants them listed on CSS Webview.

Selected Projects – Check the boxes for the project(s) to be submitted. The page will display the number of projects that have been selected as well as the total number of projects available for selection.

General Instructions

It is suggested that primes and subconsultants confer so that there is consistency in claiming credit for project experience on the same project.

- Initial Submissions: Initial submissions from firms are accepted at any time. A complete submission (all info needed to score a firm on consultant selections) consists of the General Firm Information, the Inventory Certified Salary Roster, and either the Design Project Inventory or the Construction Inspection Project Inventory, depending on whether a design or a construction inspection consultant selection is being scored.
- Updates: Updates for any or all of the sections may be **submitted** at any time, but information used for scoring purposes (i.e., staff totals from the Inventory Salary Roster, and the Design and Construction Inspection project inventories) will not be **activated** unless it has been at least 90 days since the activation of the previous submission of that section. **Sections that are updated will, at the time of activation, entirely replace the previously submitted section.**

For construction inspection, you may only include projects that have been completed within the past 12 years or ongoing projects for which either your construction inspection assignment has been completed or the contractor has completed work valued for at least 90% of the current contract value.

Firms should only claim credit for work that they directly performed.
A prime may not claim credit for a work class or task unless they directly performed the work. A prime may not claim credit for work performed by a subconsultant if the prime only performed activities such as QA, project coordination or revising the subconsultant's work. Subconsultants may claim credit only for work that they directly performed. This applies to the (1) design inventory for selection of work class, major categories of work, other factors, project specific environmental work and (2) construction inspection inventory for selection of work class and special factors.

<u>Example 1:</u> On a project that included both highway and bridge work, a firm that assigned all bridge work to a subconsultant should select the work class “Highway” rather than “Highway and Bridge” for that project when completing their own project inventory.

<u>Example 2</u>: A subconsultant prepared air quality and wetlands study reports. The prime performed normal QA, coordination of the work and summarized the results in an EIS. The prime **<u>may not</u>** claim credit for air quality and wetlands study. The prime may only claim credit for EIS.

Instructions for Special Types of Projects

Regional Design Services Agreement and Design Area Backdrop Contract Agreements

- Each assignment should be reported as a separate project and the cost reported should be the cost of that assignment. The overall agreement should not be reported as a single project.
- If a subconsultant was responsible for a complete design project, including the PS&E, show the firm’s role as prime.
- Project complexity should be no higher than moderately complex.

Construction Inspection Area Backdrop Contract Agreements

- Each assignment should be reported as a separate project.
- The construction cost is to be estimated as 10 times the fee for that project.
- Project complexity should be no higher than moderately complex.

Multiple Project Agreements including Term, Term-Like and On-Call Agreements for Construction Inspection and Design Services Agreements

- For design, if a project was processed separately (i.e. separate design report, separate PS&E), then it may be reported as a separate project. For construction inspection, projects should not normally be reported as separate projects. However, if the agreement encompassed all of the work that would normally be performed on a stand-alone CI project (e.g. an agreement to provide all inspectors other than the EIC for a specific project), it may be reported as a single project with the construction cost estimated to be 10 times the fee for that project, and the complexity normally reported as routine.
- For CI, if firms claim an individual assignment as a separate stand-alone project, the firm is required to have the Regional Construction Engineer, the Area Supervisor or other management-level owner’s representative staff person provide written confirmation that it meets NYSDOT’s criteria to do so. This confirmation should be in the form of a written communication stating that the firm provided all the inspectors other than the EIC and performed all the work activities that normally would be performed as part of a stand-alone CI project. If firms claim the complexity as other than routine, the confirmation from the owner’s rep must also include a

statement regarding complexity based on NYSDOT's CSS guidelines. The confirmation cannot be a blanket statement for the entire Term contract, each assignment claimed as an individual project must be supported with a separate confirmation. Communications from the RCE, Area Supervisor or other management-level owner's representative are to be maintained by the firm claiming the individual project and those communications must be immediately available to NYSDOT upon request.

All Term, Term-Like, and On-Call Agreements Except Term CI and Design Services Agreements

- The cost reported should be the total value of the agreement.
- Individual assignments are not to be broken out and reported as individual projects.
- The reported complexity for the agreement is Routine regardless of the relative complexity of any individual assignment.

Biennial bridge condition inspection

- Show the total value of the agreement as the construction cost.
- Show the complexity as routine.
- For the CI project inventory, show the project type as bridge condition inspection.
- For the design project inventory, show bridge scoping as the only major category of work.

Bridge painting

- Work class should always be reported as "Appurtenance."
- For the design project inventory, do not show any major categories of work. You may show work if applicable under "Hazardous Waste." **Do not** claim credit for bridge design under major categories of work.
- For the CI project inventory, you may show "Painting with class A containment," if applicable.

Site development work

- Normally show work class as "Other." For the design project inventory, do not show credit for any major categories of work except survey and mapping.
- If the site development work included substantial highway or bridge work:
  - Show work class as "Highway" and/or "Bridge" as appropriate.
  - Show construction cost of only the "Highway" and/or "Bridge" work — do not include the cost of other work such as buildings.

Construction Support Services and other services

Construction Support Services and other services where the agreement between the prime and the client did not provide for all of the services that would normally be performed under a project (e.g., construction support services during construction, assisting a municipality in designing a project) — **Enter only the construction cost for the services that were directly performed** under the agreement. For Construction Support

Services it is difficult to estimate the construction cost for the services that were directly performed under the agreement. Therefore the consultant should estimate the construction cost by multiplying by 10 the amount that was paid to the consultant for Construction Support Services. **Do not** enter the cost of the entire project.

Area wide studies and other work for which there is no construction cost.

- For projects with no applicable construction cost (e.g., bridge condition inspection, traffic studies not associated with a project), show the fee (in thousands of dollars).

Construction Support Services

Construction Support Services and other services where the agreement between the prime and the client did not provide for all of the services that would normally be performed under a project (i.e., construction support services during construction, assisting a municipality in designing a project) **— enter only the construction cost for the services that were directly performed** under the agreement. For Construction Support Services it is difficult to estimate the construction cost for the services that were directly performed under the agreement. Therefore the consultant should estimate the construction cost by multiplying by 10 the amount that was paid to the consultant for Construction Support Services. Do **not** enter the cost of the entire project.

Area-wide studies and other work for which there is no construction cost:

For projects with no applicable construction cost (i.e., bridge condition inspection, traffic studies not associated with a project), show the fee (in thousands of dollars).

CI Initial Entry

Individual Experience — Select “Yes” if the project represents experience of an individual employed by the firm, rather than of the firm itself. To be considered for scoring purposes, the individual must be a currently employed principal or group director (i.e., head of construction, design, survey, environmental, etc.). The individual must also have worked on the project in a management capacity (i.e., principal, group director or project manager with responsibility for multiple projects simultaneously), and been **directly responsible for the work that is shown and participated on a daily basis**. The experience and inclusion of former NYSDOT employees is limited by the Public Officers Law.

By claiming individual experience, you may include in your inventory projects that were not done by your firm but that represent the experience of a currently employed principal or group director (i.e., head of construction, design, survey, environmental, etc.) in your firm who worked on the project for a different firm. The individual must also have worked on the project in a management capacity (i.e., principal, group director or project manager with responsibility for multiple projects simultaneously), and been **directly responsible for the work that is shown and participated on a daily basis**. The experience and inclusion of former NYSDOT employees is limited by the Public Officers Law.

Description of Work — Enter a detailed description* of the work the firm directly performed on the project in this 1,000-character data field. Identify the project owner. This description is not used in the computer scoring and short-listing process. Its purpose is to provide a concise summary that can be read by managers at NYSDOT and by other consultant firms that are looking for partners. It is also useful for verification of experience.

If a firm was a prime on a project, the firm may only claim credit for work directly performed. The firm may not claim credit for work performed by a subconsultant if, as the prime, the firm only performed activities such as QA, project coordination, revisions to the subconsultant's work, or summarized the results of work done by a subconsultant.

***NOTE:** Do not prepare descriptions in word processing documents and then paste them into the program. This often causes the insertion of extraneous characters that cause problems in our processing and may make the transmitted file unusable.

Project Owner — Normally, the project owner is the entity with whom the prime consultant had an agreement. Use the following table to determine the project owner option to select from the computer program's drop-down menu.

NYSDOT should not be claimed as the project owner if the work was done on a New York State Highway but it was not done for NYSDOT (i.e., Wal-Mart). The project owner should be "Other" (Other includes permit work on NYSDOT facilities).

Project Owner/Funding Source	"Project Owner" option to be selected.
NYSDOT	NYSDOT
NYS Thruway or other Transportation Authority in NYS	NYS Thruway
All NYCDOT or other Municipality in NYS if federally aided	NYCDOT
Primary Transportation Agency of Another State	Primary Transportation Agency of Another State
Municipality Within NYS (not federally aided)	Municipality Within NYS
Other (Other includes permit work on NYSDOT facilities).	Other

D Number — For NYSDOT projects, enter the D number of the consultant contract, not the D number of the construction project letting.

Role in Project — Select the firm's role on the project (prime, subconsultant or partner in a joint venture). In unusual situations, a firm that technically was a subconsultant for a project may have actually been fully responsible for what is essentially a complete project. An example of this would be a project assignment under a NYSDOT Regional Design Services Agreement (RDSA), where a subconsultant is responsible for the preparation and submission of an entire project letting's final plans, specifications and estimate. In these situations, the firm may indicate their role was a prime, but an explanation must be provided in the Project Description field, and the construction cost entered should be for their assignment only.

Percentage of Work — Enter the percent of work for the total project that the firm was responsible for (i.e., subconsultants should not enter 100%).

Year Completed — For design projects this should be a date that is part of the design process, or for a design inventory project that is only for construction support services use the completion date of construction. For CI projects enter the year the project was completed, or if the project is ongoing enter either the year your CI assignment was completed or the year the contractor has completed work valued for at least 90% of the current contract value. If you enter a future date the project will not receive any scoring credit.

CI Individual Experience

***Projects listed on a firm's active inventory as Individual Experience for staff that have either left the firm or who no longer serve in the capacity listed may result in an EOI submission being found non-responsive.**

Name of Individual (Last name and First name) – Type in the name of the individual employed by the firm whose experience is represented by this project inventory.

To be considered for scoring purposes, the individual must be a currently employed principal or group director (i.e., head of construction, design, survey, environmental, etc.). The individual must also have worked on the project in a management capacity (i.e., principal, group director or project manager with responsibility for multiple projects simultaneously), and have been **directly responsible for the work that is shown and participated on a daily basis**. The experience and inclusion of former NYSDOT employees is limited by the Public Officers Law.

Current Position with Firm – Select from the dropdown list, the position that most closely matches the individual's current position at the firm.

Date Hired — Enter the date the individual was hired by the firm submitting the inventory. This date must correspond with the hire date shown for the individual in the Certified Salary Roster.

Position on Project – Select from the dropdown the position that best describes the individual's position while on the project for this inventory. If "Group Director Other" is chosen, a description must be supplied.

Employer on Project — Enter the name of the firm or agency that employed the individual while working on the project described.

CI Client Contact

Client name – Type in the entity with which the firm had an agreement. For example, if a firm was a subconsultant, the client entered should be the prime.

Client address – Type in the address information (street, city, state, zip) for the entity with which the firm had an agreement.

Contact Person – Type in the information (name, phone, fax and email) for the contact person at the firm.

CI Work Information

Project Type – Select the type of project from the dropdown list.

- Bridge condition inspection
- Construction Inspection
- Design
- Other

Work Class - Select the primary work class of the project
Firms should only include the work class of work they directly performed.

- **Appurtenances -** should be selected for projects related to highway or bridge work, but not involving major reconstruction, repairs or resurfacing (e.g., bridge painting, drainage, signals, signs, highway lighting, ITS, guide rail, median barrier, noise barrier, fencing, pavement markings, rest areas, etc.).
    - If on a highway project a firm performs guiderail design and the project was not strictly an appurtenance project, then the work class is highway.

  - A bridge painting project that does not include major reconstruction or repairs to the structural elements should be classified as appurtenance.
- **Other -** should be selected for projects not primarily highway or bridge-related (e.g., buildings, railroads, airports, site development, landscaping, water, sewer, gas, electric, phone, cable, etc.).

Costs – Enter the construction cost **<u>in thousands of dollars</u>** (e.g., enter a one million dollar project as 1000) for the total project, not just the portion that a firm was responsible for.

For Highway only Highway and Appurtenances Costs fields will be available for data entry. For Bridge only Bridge Costs will be available for data entry. If Highway and Bridge work class is selected both costs are available for data entry.

- For projects where the agreement between the prime and the client did not provide for all of the services that would normally be performed under a project (e.g., design support services during construction, assisting a municipality in designing a project), enter only the construction cost for the services that were directly performed under the agreement.

- For projects with no applicable construction cost (e.g., bridge condition inspection, traffic studies not associated with a project), show the fee (in thousands of dollars).

- For Construction Support Services it is difficult to estimate the construction cost for the services that were directly performed under the agreement. Therefore the consultant should estimate the construction cost by multiplying by 10 the amount that was paid to the consultant for Construction Support Services. <u>Do not</u> enter the cost of the entire project.

- For projects with no applicable construction cost (e.g., bridge condition inspection, traffic studies not associated with a project), show the fee (in thousands of dollars).

Complexity – Select Complexity from the dropdown list: High, Moderate or Routine.
Use the guidelines below to determine a project's complexity. <u>Do not</u> use the complexity that was negotiated with NYSDOT staff. Highway or bridge complexity must be based solely on the complexity criteria in the inventory instructions.

Highway Projects - New or Reconstruction

1. **Complex** - Six lanes or more urban highway in a densely developed industrial/commercial corridor with high traffic volume (an AADT > 50,000).
2. **Moderately Complex -** Four- or five-lane urban or suburban highway with heavy commercial or residential development.

3. **Routine -** All others.

Highway Projects - Resurfacing or Reconditioning and Preservation

1. **Moderately Complex** - Four lanes or more high speed (80 km/h) urban highway with high traffic volume (AADT > 50,000).
2. **Routine -** All others.

Bridge Projects
Major rehabilitations involve structural repair or replacement of primary bridge elements (pier and pier capbeam replacement, deck replacement, superstructure replacement, bridge widening, and primary member replacement or strengthening).

- ➢ Complex - The following New, Replacement and Major Rehabilitation bridge types:
    - Moderately Complex bridges listed below with staged construction in urban areas with high traffic volume (AADT > 50,000)
    - Moveable
    - Arches (other than simple precast frames)
    - Suspension
    - Cable-Stayed Continuous Trusses
    - Concrete Segmental (precast or cast-in-place)

- ➢ Moderately Complex - The following New, Replacement and Major Rehabilitation bridge types:
    - Many-spanned structures such as viaducts, interchanges, etc. located in urban areas with moderately high traffic volumes (AADT>30,000)
    - Simple Span Trusses
    - Steel Box and Tub Girder
    - Railroad
    - Horizontal Curved Steel Girder
    - Continuous, Post-Tensioned Concrete Girder

- ➢ Routine - All others, including all bridge condition inspection projects.

Appurtenance Projects
Routine: All

Other Projects
Routine: All

Other Factors 1

It is required that a firm indicates whether they have experience with special factors from the following categories:

Location Factors:

L1-High Traffic Volumes (>50,000 AADT) – If actual AADT is unknown, a level of 50,000 would typically be reached on an expressway with 2 lanes in each direction that is near its maximum capacity (i.e., bumper to bumper) during peak traffic hours.

L2-NYC – Firms should only claim credit if the project included work within New York City.

L3-Large urban area – Firms should claim credit only if the project included work within the urban area of a city with a population of 100,000 or higher.

Complexity Factors
As listed.

Work Zone Traffic Control Factors:

M2-Daily staging with mobile concrete barrier – Firms should claim credit only if the project included daily shifting of movable concrete barrier with a specialized vehicle to accommodate different directional peak traffic volumes. This does not refer to temporary concrete barrier that is typically moved with cranes.

Highway Work Type Factors
As listed.

Bridge Work Type Factor:

B1-Rehab or replacement of viaducts, major interchanges or trusses – Firms should claim credit only if the project included rehab or replacement of large and complex bridge structures such as viaducts, multi-level interchanges or large trusses.

Other Factors 2

It is required that a firm indicates whether they have experience with special factors from the following categories:

- **Appurtenance Factors**
- **Other Factors**

Design Project Inventory

Page Instructions

Order - Number the projects based on the order the firm wants them listed on CSS Webview.

Selected Projects – Check the boxes for the project(s) to be submitted. The page will display the number of projects that have been selected as well as the total number of projects available for selection.

General Instructions

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- Updates: Updates for any or all of the sections may be **submitted** at any time, but information used for scoring purposes (i.e., staff totals from the roster, and the design and construction inspection project inventories) will not be **activated** unless it has been at least 90 days since the activation of the previous submission of that section. **Sections that are updated will, at the time of activation, entirely replace the previously submitted section.**

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Firms should only claim credit for work for that they directly performed. A prime may not claim credit for a work class or task unless they directly performed the work. A prime may not claim credit for work performed by a subconsultant if the prime only performed activities such as QA, project coordination or revising the subconsultant’s work. Subconsultants may claim credit only for work that they directly performed. This applies to the (1) design inventory for selection of work class, major categories of work, other factors, project specific environmental work and (2) construction inspection inventory for selection of work class and special factors.

<u>Example 1:</u> On a project that included both highway and bridge work, a firm that assigned all bridge work to a subconsultant should select the work class “Highway”

rather than “Highway and Bridge” for that project when completing their own project inventory.

Example 2: A subconsultant prepared air quality and wetlands study reports. The prime performed normal QA, coordination of the work and summarized the results in an EIS. The prime may not claim credit for air quality and wetlands study. The prime may only claim credit for EIS.

Instructions for Special Types of Projects

Regional Design Services Agreement and Design Area Backdrop Contract Agreements

- Each assignment should be reported as a separate project and the cost reported should be the cost of that assignment. The overall agreement should not be reported as a single project.
- If a subconsultant was responsible for a complete design project, including the PS&E, show the firm’s role as prime.
- Project complexity should be no higher than moderately complex.

Construction Inspection Area Backdrop Contract Agreements

- Each assignment should be reported as a separate project.
- The construction cost is to be estimated as 10 times the fee for that project.
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Multiple Project Agreements including Term, Term-Like and On-Call Agreements for Construction Inspection and Design Services Agreements

- For design, if a project was processed separately (i.e. separate design report, separate PS&E), then it may be reported as a separate project. For construction inspection, projects should not normally be reported as separate projects. However, if the agreement encompassed all of the work that would normally be performed on a stand-alone CI project (e.g. an agreement to provide all inspectors other than the EIC for a specific project), it may be reported as a single project with the construction cost estimated to be 10 times the fee for that project, and the complexity normally reported as routine.
- For CI, if firms claim an individual assignment as a separate stand-alone project, the firm is required to have the Regional Construction Engineer, the Area Supervisor or other management-level owner’s representative staff person provide written confirmation that it meets NYSDOT’s criteria to do so. This confirmation should be in the form of a written communication stating that the firm provided all the inspectors other than the EIC and performed all the work activities that normally would be performed as part of a stand-alone CI project. If firms claim the complexity as other than routine, the confirmation from the owner’s rep must also include a statement regarding complexity based on NYSDOT’s CSS guidelines. The confirmation cannot be a blanket statement for the entire Term contract, each

assignment claimed as an individual project must be supported with a separate confirmation. Communications from the RCE, Area Supervisor or other management-level owner's representative are to be maintained by the firm claiming the individual project and those communications must be immediately available to NYSDOT upon request.

All Term, Term-Like, and On-Call Agreements Except Term CI and Design Services Agreements

- The cost reported should be the total value of the agreement.
- Individual assignments are not to be broken out and reported as individual projects.
- The reported complexity for the agreement is Routine regardless of the relative complexity of any individual assignment.

Biennial bridge condition inspection

- Show the total value of the agreement as the construction cost.
- Show the complexity as routine.
- For the CI project inventory, show the project type as bridge condition inspection.
- For the design project inventory, show bridge scoping as the only major category of work.

Bridge painting

- Work class should always be reported as "Appurtenance."
- For the design project inventory, do not show any major categories of work. You may show work if applicable under "Hazardous Waste." **Do not** claim credit for bridge design under major categories of work.
- For the CI project inventory, you may show "Painting with class A containment," if applicable.

Site development work

- Normally show work class as "Other." For the design project inventory, do not show credit for any major categories of work except survey and mapping.
- If the site development work included substantial highway or bridge work:
    - Show work class as "Highway" and/or "Bridge" as appropriate.
    - Show construction cost of only the "Highway" and/or "Bridge" work — do not include the cost of other work such as buildings.

Construction Support Services and other services

Construction Support Services and other services where the agreement between the prime and the client did not provide for all of the services that would normally be performed under a project (e.g., construction support services during construction, assisting a municipality in designing a project) — **Enter only the construction cost for the services that were directly performed** under the agreement. For Construction Support Services it is difficult to estimate the construction cost for the services that were directly performed under the agreement. Therefore the consultant should estimate the construction cost by multiplying by 10 the amount that was paid to the consultant for Construction Support Services. **Do not** enter the cost of the entire project.

Area wide studies and other work for which there is no construction cost.

- For projects with no applicable construction cost (e.g., bridge condition inspection, traffic studies not associated with a project), show the fee (in thousands of dollars).

Major Categories of Work and Project Specific Environmental Factors — Only claim credit for the work directly performed by the firm. For example, if your firm did an air quality study on a highway design project: (1) Enter work class “Highway” and the highway cost and complexity of the whole project; (2) Select “Air Quality Study” under “Project Specific Environmental Factors;” (3) Do not select any highway or bridge design tasks under “Major Categories of Work.”

M3-Project Scoping (Highway) or M4-Project Scoping (Bridge): Credit can only be claimed if the firm participated in the project scoping activities during the development of a project. For NYSDOT projects the project scoping culminates in the preparation of an Expanded Project Proposal. This is **not** development of a scope of services for a contract.

M9-Design Survey & Mapping: Credit can only be claimed if the firm performed ground survey and office computations for the purpose of establishing project control and producing 3D digital terrain models (DTMs) on highway projects of at least 200 meters in length. Supplemental survey and mapping and field editing of photogrammetric mapping does not qualify for credit.

M10-ROW Survey & Mapping: Credit can only be claimed if the firm has performed ground survey and deed research for the purpose of determining Highway Boundary, and has prepared and certified ROW Appropriation Maps on highway projects of at least 200 meters in length.

E1-EIS or E2-EA: Credit can only be claimed if the firm prepared the Environmental Impact Statement or Environmental Assessment. **An Environmental Assessment is not simply an evaluation of environmental impacts** but is a specific document with content as described in Appendix B of the NYSDOT Design Procedure Manual. Firms that contributed portions of the EIS or EA (noise study, air quality study, etc.) should only claim credit under those items.

E3-Noise Study: Credit can only be claimed if the firm performed a noise study using field measurements, as well as the calculation of future noise levels, determination and evaluation of noise impacts and abatement measures, use of applicable noise quality software, and appropriate documentation of the study.

E4-Air Quality Study: Credit can only be claimed if the firm performed an air quality analysis and determination of impacts including emissions analyses and calculations, use of appropriate air quality software, and preparation of an air quality report.

E5-General Ecological Study: Credit can only be claimed if the firm performed a field investigation/analysis with documentation of potential ecological impacts and mitigation measures for the study area.

E6-Endangered Species Study: Credit can only be claimed if the firm coordinated with appropriate agencies, conducted a field investigation, and documented impacts and mitigation measures in report form.
E7-Surface Water Bodies Study: Credit can only be claimed if the firm performed a study that included a field investigation, determination of project impacts, mitigation measures, and permit requirements, coordination with appropriate agencies, and documentation of findings.
E8-Wetlands Study: Credit can only be claimed if an appropriately qualified professional employed by the firm performed a wetland field delineation, analyzed project impacts, and prepared a wetland delineation report.
E9-Navigable Waters Study: Credit can only be claimed if project impacts/mitigation measures are determined on navigable waters as defined by the United States Army Corps of Engineers and the United States Coast Guard. **This does not include filling out permit applications that required NO impact/mitigation measures.**
E10-Costal Zone Management: Credit can only be claimed if the project is included in the applicable costal policy and if the firm prepared the applicable Costal Assessment Form and appropriate consistency certificates.
E11-Wild, Scenic, and Recreational Rivers Study: Credit can only be claimed if the project affects a river listed on the Federal/State Wild, Scenic, and Recreational River Inventory list, the firm assessed the project's impacts to the river, and the firm coordinated with appropriate state/federal agencies.
E12-Storm Water Management: Credit can only be claimed if the firm determines the effect of new drainage discharge on existing water bodies, including design of water pollution prevention/mitigation plans, and sediment control plans. **This does not include drainage design.**
E13-Ground Water Study: Credit can only be claimed if the firm performed an assessment and analysis of the project's impacts on the existing ground water quality and flow and prepared the appropriate documentation.
E14-Flood Plain Evaluation: Credit can only be claimed if the firm prepared the flood plain evaluation in accordance with appropriate state/federal codes, including determination of flood plain boundaries and impacts and evaluations of the project alternatives on the existing conditions.
E15-Cultural Resources Survey: Credit can only be claimed by the firm if the field operations and examinations were performed by an appropriately qualified professional employed by the firm and if a cultural resource survey report was prepared.
E16-Section 4(f) Evaluation: Credit can only be claimed if the firm conducted the majority of the impact analysis and produced the required Section 4(f) Evaluation Report.
E17-Section 6(f) Evaluation: Credit can only be claimed if the firm conducted the majority of the impact analysis and produced the required Section 6(f) Evaluation Report.
E18-Hazardous Waste Materials Screening: Credit can only be claimed if the preliminary screening and site visit were performed by the firm and a hazardous waste screening report written was prepared by the firm.
E19-Hazardous Waste Materials Assessment: Credit can only be claimed if the firm performed the sampling and executed the testing plan that was proposed and then summarized the analysis in the detailed investigation report.

<u>E20-Asbestos Preliminary Investigation:</u> Credit can only be claimed if the firm is appropriately licensed, performed the preliminary screening, and documented the findings in a technical report.
<u>E21-Asbestos Sampling, Testing, Specs:</u> Credit can only be claimed if the firm performed the sampling and executed the testing plan that was proposed and detailed the analysis in the asbestos assessment report.
<u>E22-Farmland Protection Assessment:</u> Credit can only be claimed if the consultant determined that the project affected farmlands, assessed the project's impact on those farmlands, and then prepared the required forms and Notice of Intent for submittal to appropriate agencies.
<u>E23-Energy Analysis:</u> Credit can only be claimed if direct and indirect energy impacts were analyzed and documented by the firm.
<u>E24-Visual Impact Assessment:</u> Credit can only be claimed if the visual assessment was performed by a registered Landscape Architect employed by the firm and a visual impact report prepared in accordance with the appropriate visual assessment policies.
<u>E25-Adirondack Park Agency Involvement:</u> Credit can only be claimed if the project required the consultant to have direct involvement in activities associated with rules and regulations for the protection of the Adirondack Park.
<u>E26-Landscape Design</u>: Must have prepared landscape plans. Simply seeding does not qualify.
Special Factors — Firms should check "Yes" only if they directly performed the work for the factor in question, with the exception of Location Factors, which apply to the project as a whole.
<u>O1-Traffic Forecasting</u> — Credit can only be claimed if the firm performed traffic forecasting that considered regional growth patterns, population trends, traffic generators and traffic diversions.
<u>O2-Soil & Geologic Studies, Foundations</u> — Normally, on NYSDOT projects, credit for this factor should not be claimed because NYSDOT does virtually all of the geotechnical evaluations. Firms should claim credit only if they performed site investigation **and** development of a Foundation Design Report, or equivalent document, used for bridge foundations. This report shall have documented the logic for the selected foundation treatment, identified soil parameters used for the design of excavation protection systems and identified foundation related construction issues that required addressing in the final contract documents.
<u>O3-Moveable Bridge Design</u> — Credit can only be claimed if the firm provided electrical, mechanical or structural design for a moveable bridge.
<u>O5-Historic Bridge Design</u> — Credit can only be claimed if the firm performed the final design of the rehabilitation of a bridge on or eligible for inclusion in the National Registrar of Historic Places.
<u>O7-Final Design of Retaining Walls over 10 Meters in Height</u> — Credit can only be claimed if the firm designed retaining walls over 10 meters (32.81 feet) in height.
<u>O8-Final Design of Complex Maintenance & Protection of Traffic</u> — Credit can only be claimed if the firm designed more than 75 plan sheets <u>for M&PT</u> (not just more than 75 plan sheets for the entire project). A prime or subconsultant may only claim credit if the firm itself prepared over 75 M&PT sheets.

O11-Community Participation — Credit can only be claimed if the firm provided, over an extended period of time, independent community outreach tasks such as: preparing and distributing a periodic project newsletter, developing and maintaining a project Web site or interactive kiosk, or providing and staffing a project information office. Credit should be claimed if a firm provided, over an extended period of time, independent community outreach tasks such as: preparing and distributing a periodic project newsletter, developing and maintaining a project Web site or interactive kiosk, or providing and staffing a project information office.
O14 - Intermodal Scoping/Design Analysis — Credit can only be claimed if the firm performed an in-depth multi-modal study (either planning, scoping or design) of alternate transportation modes (i.e., rail, bus, auto, water, HOV, exclusive bus lanes).

Design Initial Entry

Individual Experience — Select "Yes" if the project represents experience of an individual employed by the firm, rather than of the firm itself. To be considered for scoring purposes, the individual must be a currently employed principal or group director (i.e., head of construction, design, survey, environmental, etc.). The individual must also have worked on the project in a management capacity (i.e., principal, group director or project manager with responsibility for multiple projects simultaneously), and been **directly responsible for the work that is shown and participated on a daily basis**. The experience and inclusion of former NYSDOT employees is limited by the Public Officers Law.
By claiming individual experience, you may include in your inventory projects that were not done by your firm but that represent the experience of a currently employed principal or group director (i.e., head of construction, design, survey, environmental, etc.) in your firm who worked on the project for a different firm. The individual must also have worked on the project in a management capacity (i.e., principal, group director or project manager with responsibility for multiple projects simultaneously), and been **directly responsible for the work that is shown and participated on a daily basis**. The experience and inclusion of former NYSDOT employees is limited by the Public Officers Law.

Description of Work — Enter a detailed description* of the work the firm directly performed on the project in this 1,000-character data field. Identify the project owner. This description is not used in the computer scoring and short-listing process. Its purpose is to provide a concise summary that can be read by managers at NYSDOT and by other consultant firms that are looking for partners. It is also useful for verification of experience.

> **Example:** PIN 111.20.101, D257777, Route 155 Over Wandering River, Albany County. Client and owner was NYSDOT. The firm was the prime consultant. This was a design project involving work classes bridge and highway. It provided for the replacement of the Route 155 bridge and reconstruction of 100 feet of approaches at both ends of the project. The construction cost was $2 million. The highway cost was $1 million and the bridge cost was $1 million. The firm

performed preliminary and final highway and bridge design, design survey and mapping, prepared an Environmental Assessment, and performed studies for air quality, wetlands and a noise study. The firm also prepared a Section 4(f) statement regarding project impacts to parkland.

***NOTE:** Do not prepare descriptions in word processing documents and then paste them into the program. This often causes the insertion of extraneous characters that cause problems in our processing and may make the transmitted file unusable.

Project Owner — Normally, the project owner is the entity with whom the prime consultant had an agreement. Use the following table to determine the project owner option to select from the computer program's drop-down menu.
NYSDOT should not be claimed as the project owner if the work was done on a New York State Highway but it was not done for NYSDOT (i.e., Wal-Mart). The project owner should be "Other" (Other includes permit work on NYSDOT facilities).

Project Owner/Funding Source	"Project Owner" option to be selected.
NYSDOT	NYSDOT
NYS Thruway or other Transportation Authority in NYS	NYS Thruway
All NYCDOT or other Municipality in NYS if federally aided	NYCDOT
Primary Transportation Agency of Another State	Primary Transportation Agency of Another State
Municipality Within NYS (not federally aided)	Municipality Within NYS
Other (Other includes permit work on NYSDOT facilities).	Other

D Number — For NYSDOT projects, enter the D number of the consultant contract, not the D number of the construction project letting.

Role in Project — Enter the firm's role on the project (prime, subconsultant or partner in a joint venture). In unusual situations, a firm that technically was a subconsultant for a project may have actually been fully responsible for what is essentially a complete project. An example of this would be a project assignment under a NYSDOT Regional Design Services Agreement (RDSA), where a subconsultant is responsible for the preparation and submission of an entire project letting's final plans, specifications and estimate. In these situations, the firm may indicate their role was a prime, but an explanation must be provided in the Project Description field, and the construction cost entered should be for their assignment only.

Percentage of Work — Enter the percent of work for the total project that the firm was responsible for (i.e., subconsultants should not enter 100%).

Year Completed — For design projects this should be a date that is part of the design process, or for a design inventory project that is **only** for construction support services use the completion date of construction. For CI projects enter the year the project was completed, or if the project is ongoing enter either the year your CI assignment was completed or the year the contractor has completed work valued for at least 90% of the current contract value. If you enter a future date the project will not receive any scoring credit.

Design Individual Experience

***Projects listed on a firm's active inventory as Individual Experience for staff that have either left the firm or who no longer serve in the capacity listed may result in an EOI submission being found non-responsive.**

Name of Individual (Last name and First name) – Type in the name of the individual employed by the firm whose experience is represented by this project inventory.

To be considered for scoring purposes, the individual must be a currently employed principal or group director (i.e., head of construction, design, survey, environmental, etc.). The individual must also have worked on the project in a management capacity (i.e., principal, group director or project manager with responsibility for multiple projects simultaneously), and have been **directly responsible for the work that is shown and participated on a daily basis**. The experience and inclusion of former NYSDOT employees is limited by the Public Officers Law.

Current Position with Firm – Select from the dropdown list, the position that most closely matches the individual's current position at the firm. If "Group Director Other" is selected then a description of that position must be typed in.

Date Hired — Enter the date the individual was hired by the firm submitting the inventory. This date must correspond with the hire date shown for the individual in the Certified Salary Roster.

Position on Project – Select from the dropdown the position that best describes the individual's position while on the project for this inventory. If "Group Director Other " is chosen, a description must be supplied.

Employer on Project — Enter the name of the firm or agency that employed the individual while working on the project described.

Design Client Contact

Client name – Type in the entity with which the firm had an agreement. For example, if a firm was a subconsultant, the client entered should be the prime. If a firm worked as a subconsultant for ABC Engineering, and NYSDOT was the project owner, normally put ABC Engineering as the client.

Client address – Type in the address information (street, city, state, zip) for the entity with which the firm had an agreement.

Contact Person – Type in the information (name, phone, fax and email) for the contact person at the firm.

Design Work Information

Work Class - Select the primary work class of the project
Firms should only include the work class of work they directly performed.

In the design project inventories, if you show a project's work class as "Highway" and claim that you performed **bridge** design tasks such as planning, scoping, preliminary or final design, you will get no credit for these tasks. If the project included bridge design tasks, it should be shown with a work class of "Bridge" or "Highway and Bridge."

Similarly, if you show a project's work class as "Bridge" and claim highway design tasks, you will get no credit for these tasks. If the project included highway design tasks, it should be shown with a work class of "Highway" or "Highway and Bridge."

If a firm was a prime on a project, they may only claim credit for work directly performed by the prime. They may **not** claim credit for work performed by a subconsultant if the prime only performed activities such as QA, project coordination, revisions to the subconsultant's work, or summarized the results of work done by a subconsultant. Likewise, subconsultants may claim credit only for work that they directly performed.

NYSDOT should **not** be claimed as the project owner if the work was done on a New York State highway but it was not done for NYSDOT (i.e., Walmart). The project owner should be "Other (Other includes permit work on NYSDOT facilities)."

Highway or bridge complexity must be based solely on the complexity criteria in the inventory instructions. Do **not** use the complexity that was negotiated with NYSDOT staff.

- **Appurtenances -** should be selected for projects related to highway or bridge work, but not involving major reconstruction, repairs or resurfacing (e.g., bridge painting, drainage, signals, signs, highway lighting, ITS, guiderail, median barrier, noise barrier, fencing, pavement markings, rest areas, etc.).
  If on a highway project a firm performs guiderail design and the project was not strictly an appurtenance project, then the work class is highway.
  A bridge painting project that does not include major reconstruction or repairs to the structural elements should be classified as appurtenance.
- **Other -** should be selected for projects not primarily highway or bridge-related (e.g., buildings, railroads, airports, site development, landscaping, water, sewer, gas, electric, phone, cable, etc.).

Costs – Enter the construction cost **<u>in thousands of dollars</u>** (e.g., enter a one million dollar project as 1000) for the total project, not just the portion that a firm was responsible for.

For Highway only Highway and Appurtenances Costs fields will be available for data entry. For Bridge only Bridge Costs will be available for data entry. If Highway and Bridge work class is selected both costs are available for data entry.

- For projects where the agreement between the prime and the client did not provide for all of the services that would normally be performed under a project (e.g., design support services during construction, assisting a municipality in designing a project), enter only the construction cost for the services that were directly performed under the agreement.

- For projects with no applicable construction cost (e.g., bridge condition inspection, traffic studies not associated with a project), show the fee (in thousands of dollars).

- For Construction Support Services it is difficult to estimate the construction cost for the services that were directly performed under the agreement. Therefore the consultant should estimate the construction cost by multiplying by 10 the amount that was paid to the consultant for Construction Support Services. Do not enter the cost of the entire project.

- For projects with no applicable construction cost (e.g., bridge condition inspection, traffic studies not associated with a project, TASS, environmental term agreements), show the fee (in thousands of dollars).

Complexity – Select Complexity from the dropdown list: High, Moderate or Routine.
Use the guidelines below to determine a project's complexity. Do not use the complexity that was negotiated with NYSDOT staff. Highway or bridge complexity must be based solely on the complexity criteria in the inventory instructions.
Highway Projects - New or Reconstruction

1. **Complex** - Six lanes or more urban highway in a densely developed industrial/commercial corridor with high traffic volume (an AADT > 50,000).
2. **Moderately Complex -** Four- or five-lane urban or suburban highway with heavy commercial or residential development.
3. **Routine -** All others.

Highway Projects - Resurfacing or Reconditioning and Preservation

1. **Moderately Complex** - Four lanes or more high speed (80 km/h) urban highway with high traffic volume (AADT > 50,000).
2. **Routine -** All others.

Bridge Projects

Major rehabilitations involve structural repair or replacement of primary bridge elements (pier and pier capbeam replacement, deck replacement, superstructure replacement, bridge widening, and primary member replacement or strengthening).

- Complex - The following New, Replacement and Major Rehabilitation bridge types:
  - Moderately Complex bridges listed below with staged construction in urban areas with high traffic volume (AADT > 50,000)
  - Moveable
  - Arches (other than simple precast frames)
  - Suspension
  - Cable-Stayed Continuous Trusses
  - Concrete Segmental (precast or cast-in-place)

- Moderately Complex - The following New, Replacement and Major Rehabilitation bridge types:
  - Many-spanned structures such as viaducts, interchanges, etc. located in urban areas with moderately high traffic volumes (AADT>30,000)
  - Simple Span Trusses
  - Steel Box and Tub Girder
  - Railroad
  - Horizontal Curved Steel Girder
  - Continuous, Post-Tensioned Concrete Girder

- Routine - All others, including all bridge condition inspection projects.

Appurtenance Projects
Routine: All

Other Projects
Routine: All

Major Work

It is required that a firm indicates whether they have experience with certain major factors.

Major Categories of Work and Project Specific Environmental Factors and Other Factors – Only claim credit for the work directly performed by the firm. For example, if your firm did an air quality study on a highway design project: (1) Enter work class "Highway" and the highway cost and complexity of the whole project; (2)

Select “Air Quality Study” under “Project Specific Environmental Factors;” (3) Do not select any highway or bridge design tasks under “Major Categories of Work.”

M3-Project Scoping (Highway) or M4-Project Scoping (Bridge)
Credit can only be claimed if the firm participated in the project scoping activities during the development of a project. For NYSDOT projects the project scoping culminates in the preparation of an Expanded Project Proposal. This **is not** development of a scope of services for a contract.

M9-Design Survey & Mapping
Credit can only be claimed if the firm performed ground survey and office computations for the purpose of establishing project control and producing 3D digital terrain models (DTMs) on highway projects of at least 200 meters in length. Supplemental survey and mapping, and field editing of photogrammetric mapping does not qualify for credit.

M10-ROW Survey & Mapping
Credit can only be claimed if the firm has performed ground survey and deed research for the purpose of determining Highway Boundary, and has prepared and certified ROW Appropriation Maps on highway projects of at least 200 meters in length.

Add or Edit Other Factors

It is required that a firm indicates whether they have experience with certain other factors.

Major Categories of Work and Project Specific Environmental Factors and Other Factors – Only claim credit for the work directly performed by the firm. For example, if your firm did an air quality study on a highway design project: (1) Enter work class “Highway” and the highway cost and complexity of the whole project; (2) Select “Air Quality Study” under “Project Specific Environmental Factors;” (3) Do not select any highway or bridge design tasks under “Major Categories of Work.”

O1-Traffic Forecasting
Credit can only be claimed if the firm performed traffic forecasting that considered regional growth patterns, population trends, traffic generators and traffic diversions.

O2-Soil & Geologic Studies, Foundations
Normally, on NYSDOT projects, credit for this factor should not be claimed because NYSDOT does virtually all of the geotechnical evaluations. Firms should claim credit only if they performed site investigation **and** development of a Foundation Design Report, or equivalent document, used for bridge foundations. This report shall have documented the logic for the selected foundation treatment, identified soil parameters

used for the design of excavation protection systems and identified foundation related construction issues that required addressing in the final contract documents.

O3-Moveable Bridge Design
Credit can only be claimed if the firm provided electrical, mechanical or structural design for a moveable bridge.

O5-Historic Bridge Design
Credit can only be claimed if the firm performed the final design of the rehabilitation of a bridge on or eligible for inclusion in the National Registrar of Historic Places.

O7-Final Design of Retaining Walls over 10 Meters in Height
Credit can only be claimed if the firm designed retaining walls over 10 meters (32.81 feet) in height.

O8-Final Design of Complex Maintenance & Protection of Traffic
Credit can only be claimed if the firm designed more than 75 plan sheets for M&PT (not just more than 75 plan sheets for the entire project). A prime or subconsultant may only claim credit if the firm itself prepared over 75 M&PT sheets.

O11-Community Participation
Credit can only be claimed if the firm provided, over an extended period of time, independent community outreach tasks such as: preparing and distributing a periodic project newsletter, developing and maintaining a project website or interactive kiosk, or providing and staffing a project information office.

O14 - Intermodal Scoping/Design Analysis — Credit can only be claimed if the firm performed an in-depth multi-modal study (either planning, scoping or design) of alternate transportation modes (i.e., rail, bus, auto, water, HOV, exclusive bus lanes).

Specific Environmental Factors

It is required that a firm indicates whether they have experience with certain specific environmental factors.

Major Categories of Work and Project Specific Environmental Factors and Other Factors – Only claim credit for the work directly performed by the firm. For example, if your firm did an air quality study on a highway design project: (1) Enter work class "Highway" and the highway cost and complexity of the whole project; (2) Select "Air Quality Study" under "Project Specific Environmental Factors;" (3) Do not select any highway or bridge design tasks under "Major Categories of Work."

E1-EIS or E2-EA - Credit can only be claimed if the firm prepared the Environmental Impact Statement or Environmental Assessment. **An Environmental Assessment is not simply an evaluation of environmental impacts** but is a specific document with content as described in Appendix B of the NYSDOT Design Procedure Manual. Firms that contributed portions of the EIS or EA (noise study, air quality study, etc.) should only claim credit under those items.

E3-Noise Study - Credit can only be claimed if the firm performed a noise study using field measurements, as well as the calculation of future noise levels, determination and evaluation of noise impacts and abatement measures, use of applicable noise quality software, and appropriate documentation of the study.

E4-Air Quality Study - Credit can only be claimed if the firm performed an air quality analysis and determination of impacts including emissions analyses and calculations, use of appropriate air quality software, and preparation of an air quality report.

E5-General Ecological Study - Credit can only be claimed if the firm performed a field investigation/analysis with documentation of potential ecological impacts and mitigation measures for the study area.

E6-Endangered Species Study - Credit can only be claimed if the firm coordinated with appropriate agencies, conducted a field investigation, and documented impacts and mitigation measures in report form.

E7-Surface Water Bodies Study - Credit can only be claimed if the firm performed a study that included a field investigation, determination of project impacts, mitigation measures, and permit requirements, coordination with appropriate agencies, and documentation of findings.

E8-Wetlands Study - Credit can only be claimed if an appropriately qualified professional employed by the firm performed a wetland field delineation, analyzed project impacts, and prepared a wetland delineation report.

E9-Navigable Waters Study - Credit can only be claimed if project impacts/mitigation measures are determined on navigable waters as defined by the United States Army Corps of Engineers and the United States Coast Guard. **This does not include filling out permit applications that required NO impact/mitigation measures.**

E10-Costal Zone Management - Credit can only be claimed if the project is included in the applicable costal policy and if the firm prepared the applicable Costal Assessment Form and appropriate consistency certificates.

E11-Wild, Scenic, and Recreational Rivers Study - Credit can only be claimed if the project affects a river listed on the Federal/State Wild, Scenic, and Recreational River Inventory list, the firm assessed the project's impacts to the river, and the firm coordinated with appropriate state/federal agencies.

E12-Storm Water Management - Credit can only be claimed if the firm determines the effect of new drainage discharge on existing water bodies, including design of water pollution prevention/mitigation plans, and sediment control plans. **This does not include drainage design.**

E13-Ground Water Study - Credit can only be claimed if the firm performed an assessment and analysis of the project's impacts on the existing ground water quality and flow and prepared the appropriate documentation.

E14-Flood Plain Evaluation - Credit can only be claimed if the firm prepared the flood plain evaluation in accordance with appropriate state/federal codes, including determination of flood plain boundaries and impacts and evaluations of the project alternatives on the existing conditions.

E15-Cultural Resources Survey - Credit can only be claimed by the firm if the field operations and examinations were performed by an appropriately qualified professional employed by the firm and if a cultural resource survey report was prepared.

E16-Section 4(f) Evaluation - Credit can only be claimed if the firm conducted the majority of the impact analysis and produced the required Section 4(f) Evaluation Report.

E17-Section 6(f) Evaluation - Credit can only be claimed if the firm conducted the majority of the impact analysis and produced the required Section 6(f) Evaluation Report.

E18-Hazardous Waste Materials Screening - Credit can only be claimed if the preliminary screening and site visit were performed by the firm and a hazardous waste screening report written was prepared by the firm.

E19-Hazardous Waste Materials Assessment - Credit can only be claimed if the firm performed the sampling and executed the testing plan that was proposed and then summarized the analysis in the detailed investigation report.

E20-Asbestos Preliminary Investigation - Credit can only be claimed if the firm is appropriately licensed, performed the preliminary screening, and documented the findings in a technical report.

E21-Asbestos Sampling, Testing, Specs - Credit can only be claimed if the firm performed the sampling and executed the testing plan that was proposed and detailed the analysis in the asbestos assessment report.

E22-Farmland Protection Assessment - Credit can only be claimed if the consultant determined that the project affected farmlands, assessed the project's impact on those farmlands, and then prepared the required forms and Notice of Intent for submittal to appropriate agencies.

E23-Energy Analysis - Credit can only be claimed if direct and indirect energy impacts were analyzed and documented by the firm.

E24-Visual Impact Assessment - Credit can only be claimed if the visual assessment was performed by a registered Landscape Architect employed by the firm and a visual impact report prepared in accordance with the appropriate visual assessment policies.

E25-Adirondack Park Agency Involvement - Credit can only be claimed if the project required the consultant to have direct involvement in activities associated with rules and regulations for the protection of the Adirondack Park.

E26-Landscape Design - Must have prepared landscape plans. Simply seeding does not qualify.

Salary Roster Module

Selection of Employees for the Salary Roster Module

Which Employees Should be Listed

- Firms must report all current employees in professional/technical titles who have a reasonable possibility of providing services to NYSDOT and municipalities in New York State.
- Do not report potential employees who will work for the firm **if** it receives a designation or if their employment is contingent upon some probable event in the future.
- Only those employees whose duties included the provision of either transportation engineering or related professional and technical services are to be reported on this roster.
- Please ensure that **SEASONAL EMPLOYEES** currently employed are included.

Which Employees Should Not be Listed

Do not report employees serving other fields such as interior design, manufacturing processes, etc. and those who perform non-reimbursable duties in your organization (e.g., accounting/bookkeeping, office management, sales, clerical, receptionist, etc.).

Administrative staff is not eligible for direct reimbursement in a consultant engineering agreement, with one exception: Technical Typist (used for keying of project reports) is the sole administrative type title normally eligible for reimbursement in consultant agreements. Examples of some administrative titles that are not appropriately listed in a salary roster submission are: office manager, file clerk, receptionist, business officer, business manager, accountant, personal secretary, record keeper, etc.

Do not enter generic information in the employee name fields — enter only the actual name of an individual that currently works for your firm. For example, **do not** enter “to be hired” in the name fields.

Do not report employees that are no longer with the firm; even though it is possible to indicate dates of employment for past employees, do not report employees that are no longer with the firm (reporting of past employees has been discontinued).

Reporting on Employees Performing in Multiple Functions
Employees performing seasonal Bridge and Construction Inspection functions are common examples of staff that may routinely appear more than once on your roster. Report only the normal salary rate paid to an employee for each different grade or office in which they perform a function.

Do not report more than one title for a given employee at the same type, grade, function and office.

Principals of firms must have a separate detailed function entry (separate line) on the Salary Roster screen for each function if they **routinely** perform or performed technical tasks in addition to tasks as a Principal. They must be reported once at the appropriate ASCE grade, to reflect the technical tasks they performed, and again at another ASCE grade for management time. For example, Principals routinely performing as a QC Engineer should be reported once as an ASCE V, and then should appear again at another ASCE grade for managerial functions.

Reporting Changes in Firm Name, Federal ID Number and Address
Before you use a revised firm name, Federal ID number or address in a submittal you **must:**

- Call the Contract Management Bureau (518-457-2600) and inform the Bureau of the change.
- Confirm the Bureau has made the change in its database.

Salary Roster Search

The information on this section is related to employees of the firm. If the firm has not entered any titles they will not be able to proceed with the roster until they visit the Admin page and add titles. Return to the Salary Roster from the Admin page by clicking on Inventory, and selecting Salary Roster.

To ensure all titles are available for use when adding or editing employees, the firm must first enter / edit Titles through the Admin page.

Add a New Employee

To add a new employee to the roster, click on the Add Employee button. Another page will be displayed with forms for filling in employee information.

Search for an Employee

All search results will be listed in the employee table on the bottom of the page. The results table is blank when initially invoking this page.

Last Name Search
To search by last name,

1. Type in part or the employee’s entire last name. The information typed in will be used to find all employees whose last name begins with the entered string.

2. Press **Go**

ID Number Search
To search by employee identification number,

1. Type in the entire identification number of an employee. Partial searches are not allowed.

2. Press **Go**

Office Name Search
1. Select an office from the dropdown list
2. All employees from that office will be listed in the employee table on the bottom of the page

Alpha Search
An alphabetic listing is provided which represents the first letter of every employee in the database. By clicking on an alpha character the list of all employees whose last name starts with that letter will be listed.

Retrieve All Employees

Click on the All link to see a list of all employees for the firm.

NOTE: The employee list may be very long, and the system may take a couple of minutes to refresh the page once pressing the All button.

Edit an Employee

Once an employee has been located and is listed in the employees table, press EDIT beside the employee whose information you want to modify.

Delete an Employee

Once an employee has been located and is listed in the employees table, press DELETE beside the employee to be removed. This will remove all information pertaining to this employee from the salary roster.

Add or Edit Employee

The information on this page is related to an employee of the firm, their salary rates and positions held at the firm. All information on this page is mandatory. Any titles used by the firm must first be entered/edited through the Admin page.

Do not report more than one title for a given employee at the same type, grade, function and office.

Please note the following key information:

1. Do not make entries for certified salary rosters until you have entered all of your offices at which employees may work for NYSDOT.

2. Ensure that seasonal employees currently employed are included.

3. Employee identification codes can be any character and/or numeric sequence that are unique to a specific employee. However, to ensure that codes that are strictly numbers are sorted in a logical fashion, you must use zeroes in front of smaller numbers to keep all codes the same width (e.g., use 001, 021, and 155, rather than 1, 21 and 155).

4. Do **not** enter generic information in the employee name fields — enter only the actual name. For example, do not enter “To Be Hired” in the name fields.

Employee Identification Section

This section includes information about identifying the employee:

- **Employee Identification Number –** a unique number that the firm uses to identify an employee
- **Employee Name** – first and last name of the employee
- **Hire Date of the Employee –** date employee was hired by the firm

Add Rows

Click on the Add Rows button to add blank rows to enter new type, grade, functions, or office for an employee.

Position Information Section

- **Type –** The majority of employee "types" should be "ASCE" (American Society of Civil Engineers) or "NICET" (National Institute of Civil Engineering Technicians). A dropdown list is presented with the three valid employee types:
    1. ASCE – American Society of Civil Engineers
    2. NICET – National Institute of Civil Engineering Technicians
    3. Other – Intended for technical typist and those titles not defined by ASCE or NICET, such as architects, computer programmers, etc.
- **Grade –** A dropdown list is presented with valid Grade levels based on NYSDOT standards for the employee's grade level as well as based on Type of role. The valid grades are roman numerals I through VIII.

  The list of valid grades is also dependent on which Type is selected.

  Grade Type A = I, II, III, IV, V, VI, VII, VIII, IX

  Grade Type N = I, II, III, IV

  Grade Type O = None
- **Hourly Rate –** Type in the employee's hourly salary in the format 0.00. Please do not report prevailing wage rates you may have paid. Submission of prevailing wage rates paid to employees is not required because the difference between the normal salary rate and the prevailing salary rate is reimbursed to the firm as a **Direct Non-Salary Cost**.
- **Title –** A dropdown list of acceptable titles for the employee is presented. The list is obtained from the titles that the firm has entered using the Admin page (Example: Field Officer).

  The dropdown list of titles can be revised through the Admin page.

  Do not report more than one title for a given employee at the same type, grade, function and office.

  Reporting of staff on salary rosters should be consistent with previous submissions; do not reallocate titles of staff unless there has been a promotion or demotion.
- **Office –** A dropdown list of the addresses of all of the offices for the firm is presented. Select the office where the employee worked for the particular position.
- **Function Code –** the system shall provide a dropdown list of the acceptable values of classification of type of work the employee performs in their position.
    - **Report only the normal salary rate paid to an employee for each different grade or office in which they perform a function.** Employees performing seasonal Bridge and Construction Inspection functions are

common examples of staff that may routinely appear more than once on your roster.

  - **Principals of firms must have a separate detailed function entry (separate line) on the Certified Salary Roster screen for each function** if they routinely perform or performed technical tasks, in addition to tasks as a Principal. They must be reported once at the appropriate ASCE grade to reflect the technical tasks they performed and again at another ASCE grade for management time. For example, Principals routinely performing as a QC Engineer should be reported once as an ASCE V, and then should appear again at another ASCE grade for managerial functions.
- **FTE% -** Is the percentage of work the employee performs in the position.
- **FTE Total -** The total percentage of FTE for all positions. Total for all positions should not exceed 100%.

Delete Employee Position

To delete a position for an employee, check the box labeled "Delete" beside the position row and press the UPDATE button. To delete an employee, return to the Certified Salary Roster page, find the employee and press Delete beside the employee to remove.

Which Employees Should be Listed

- Firms must report all current employees in professional and technical titles who have a reasonable possibility of providing services to NYSDOT and municipalities in New York State.
- Do not report potential employees who will work for the firm if it receives a designation or if their employment is contingent upon some probable event in the future.
- Only those employees whose duties included the provision of either transportation engineering or related professional and technical services are to be reported on this roster.
- Please ensure inclusion of currently employed Seasonal Employees.

Which Employees Should NOT Be Listed

Do **not** report employees serving other fields such as interior design, manufacturing processes, etc., and those who perform non-reimbursable duties in your organization (e.g., accounting, bookkeeping, office management, sales, clerical, receptionist, etc.). Administrative staff are not eligible for direct reimbursement in a consultant engineering agreement, with one exception: Technical Typist, used for keying of project reports, is the single administrative type of title normally eligible for reimbursement in consultant agreements. Examples of some administrative titles that are not appropriately listed in a salary roster submission are office manager, file clerk, receptionist, business officer, business manager, accountant, personal secretary, record keeper, etc.

Do not enter generic information in the employee name fields — enter only the actual name of an individual that currently works, or has agreed to work, for your firm. For example, **do not** enter "to be hired" in the name fields.
Do not report employees that are no longer with the firm; even though it is possible to indicate dates of employment for past employees, do not report employees that are no longer with the firm.

Reporting on Employees Performing in Multiple Functions
Employees performing seasonal Bridge and Construction Inspection functions are common examples of staff that may routinely appear more than once on your roster. Report only the normal salary rate paid to an employee for each different grade or office in which they perform a function.

Reporting Changes in Firm Name, Federal ID Number and Address
Before you use a revised firm name or Federal ID number in a submittal you **must:**

- Call and inform the Contract Management Bureau of the change.
- Confirm that the Bureau has made the change in its database.

Maximum Salary Roster Rates

When should a Firm Submit Maximum Salary Rates?

1. Firms that have been designated as a prime or sub should submit
2. Firms that have no work with NYSDOT should *not* submit

Initial entry to the page will display all employees, titles and rates and will need to be compiled or *created* to display the firm's maximum rates. Maximum Salary Rates are created from the highest-paid unique positions obtained from the Salary Roster including the following:

1. Title
2. Grade
3. Type
4. Hourly rate

On subsequent entry to the page, the Max Rates Roster, as updated from the initial entry, will be displayed.

Update hourly rate

For existing unique Title, Grade and Type categories the system will present the hourly rate as an edit box. All other fields in this area of the page will be display only. The hourly rate will be formatted in dollars and cents (0.00). To save changes to the hourly rate, click on Save button.

Add new titles

Select Type, Grade, and Title from a list of valid values.

Type – values for Type of Role for the employee's position including

ASCE

NICET

Other

Grade – Grade levels based on NYSDOT standards for the employee's grade level as well as based on Type of role above.

Grade Type A = I, II, III, IV, V, VI, VII, VIII, IX

Grade Type N = I, II, III, IV

Grade Type O = None

Title – The system will provide a list of acceptable titles for the employee using data from the Admin module, Firm Titles Info Admin page.

Hourly Rate – employee's hourly salary in the format 0.00.

Delete title

To delete a position on the max rates salary roster:

1. Click the Delete check box beside a title/position added on the max rates roster page.
2. Check one or several delete check boxes.
3. Press the SAVE button to delete the rows from the max rates salary roster.

Submit Maximum Salary Rate Roster – The roster must be submitted using the Submit Updates link in the Inventory Module. Run an Error Check on the Maximum Salary Rate Roster row of the Firm Inventory Submission table on the Submit Updates page. Any errors identified by the system **must** be corrected before submission. If no errors are identified, you will be prompted to continue with the submission. Complete the Roster Submission: Calendar Year page, including selecting an eligible (available) year from the drop-down menu at the top of the page.

Salary Roster Submission Supporting Information

Calendar year selection is made and raise policy information provided on the Roster Submission: Calendar Year page which appears after a successful error check.

Submit Updates

The following submissions may be accomplished from the Submit Updates page one at a time. When clicking on submission, error checking will run first and then submission

- Inventory Salary Roster
- Maximum Salary Rate Roster
- Construction Inspection Project Inventory
- Design Project Inventory

Error Checking

By clicking on Error Check next to one of the inventories, the data typed in for that inventory will be validated. Any errors will be displayed in a separate window grouped by page name, and data items will be specified. By selecting Error Check, this allows firms to prepare the inventory without making an official submission.

Submission

Clicking on Submit next to one of the inventories will validate the data typed in for that inventory, and if valid, the data will be submitted and the current date will appear in the submission date column.

Clicking Submit officially submits the information to NYSDOT. By submitting the information, the firm's management is certifying the truth and accuracy of all information. Misrepresentation of information is a serious matter. The NYSDOT Administrative Procedure regarding misrepresentation is posted on the NYSDOT Web site.

Submittal Rules

- **General Information** - can be submitted at any time and will be activated immediately upon submission. These are "real-time" activities and do not require separate submission from the Submit Updates page.
- **Project Inventories (CI or Design) –** updates can be submitted at any time, but the updated inventory will only be activated for the selection process 90 days after the activation of the previous inventory.
- **Salary Roster –** Annual salary rosters may be submitted once for any available calendar year. Available years will appear in a drop-down menu item on the Roster Submission: Calendar Year page appearing as part of the submission. Updates may be made to the annual roster at any time during the year and, if needed, may be submitted to NYSDOT as an Inventory Salary Roster, found on the Submit Updates page. Submitted Inventory Salary Rosters are activated for the selection process in 90-day increments.

- **Maximum Salary Rate Roster –** Max rates rosters may be submitted once for any available calendar year. Available years will appear in a drop-down menu item on the Roster Submission: Calendar Year page appearing as part of the submission.