

**CALL FOR SUBMISSIONS (CFS)**  
**CFS Number Fall 2019DRISI**

**California Department of Transportation**  
**Division of Research, Innovation & System Information**  
**2019-2020 Research Proposal Guidelines**

**A CONTRACT MAY OR MAY NOT BE AWARDED FROM THIS CFS.**

The Division of Research, Innovation & System Information (DRISI) of the California Department of Transportation (Caltrans) is requesting research proposals from public research institutions: public colleges, universities, and government agencies that bring solutions to Caltrans' research problems. Respondents are encouraged to engage in collaborations with industrial and public agency partners, and to enhance the research and to facilitate communication of research results to those who deploy and operate transportation systems (technology transfer).

Private universities or institutions are not eligible participants under this Call For Submissions (CFS) process and direct submittals from these institutions cannot be accepted. Public institutions using subcontracts with private entities are subject to certain conditions and may not be eligible under this CFS process. Respondents who have concerns over their eligibility are encouraged to contact the DRISI representative identified below to determine their status prior to spending time and resources on a proposal.

All needs in this CFS are based on an Initial Scope of Work (ISOW) derived from a customer need. The CFS focuses on the application of solutions to meet Caltrans' mission to *"Provide a safe, sustainable, integrated and efficient transportation system to enhance California's economy and livability."* This research will specifically address the Caltrans goals.

DRISI is advertising this CFS with six ISOWs (Refer to Page 8). Public institutions are invited to review and respond to this CFS Number CFS FALL 2019-DRISI, titled, **"California Department of Transportation, Division of Research, Innovation & System Information, 2019-2020 Research Proposal Guidelines."** Please refer to the link below for access to electronic versions of the CFS document and ISOWs. Proposals must be submitted by **October 4, 2019 at 5:00 PM (PST)**. Proposals must be a fully developed bid, with a clear scope of work linked to timelines (in weeks,

not specific dates), milestones, and deliverables. Each major category in the budget shall be fully supported within the bid.

<https://dot.ca.gov/programs/research-innovation-system-information/call-for-submissions>

Please see the schedule in the Proposal Submission/Evaluation Process section of the CFS. In submitting your documents, you must comply with the instructions found herein. Reference the attached CFS Initial Scope of Works for detailed information.

If you have questions, the contact person for this CFS is:

**Kimberly Gray**

Division of Research, Innovation & System Information  
California Department of Transportation

**Email:** [Kimberly.gray@dot.ca.gov](mailto:Kimberly.gray@dot.ca.gov)

**Fax #:** 916.227.8049

**All questions must be submitted via email on or before October 04, 2019 at 5:00 PM (PST).** Questions will be collected and responded to in a single public response made available via a public posting via the following internet site. All participants will be advised of the posting when it is available. All questions will be stripped of any identifying information traceable to the originating participant.

Responding parties shall submit their formal proposals and supporting documents in electronic format to:

Kimberly Gray at [kimberly.gray@dot.ca.gov](mailto:kimberly.gray@dot.ca.gov)

In the event Caltrans elects to issue a contract for this work, the selected proposal(s) and supporting documents shall be made available to Caltrans in a Microsoft WORD (\*.DOC) compatible format, in addition to an Adobe PDF compatible format. This will facilitate development and processing of the actual contract documents.

This CFS contains a preliminary representation of terms and conditions relating to the research ISOW included in this CFS. In the event a contract is awarded, the final terms and conditions may vary from this initial representation, depending upon the exact nature of the contractual arrangement between the parties.

Proposals must be received no later than **5:00 PM (PST)** on **October 4, 2019.**

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## **I. GENERAL BACKGROUND**

The California Department of Transportation (Caltrans) is the manager of interregional transportation services; more specifically, Caltrans has the traditional role of owner and operator of the 15,000 mile State Highway System. Caltrans promotes California's economic vitality and enhances its citizens' quality of life by providing for the movement of people, goods, services and information. Caltrans is responsible for the delivery of the State's Transportation Improvement Program; planning, designing, building, operating and maintaining California's state highway systems. In addition to a changing mix of transportation modes (highways, rail, mass transit, bicycle, pedestrian, and aeronautics), Caltrans coordinates the solutions to complex issues such as land use, environmental standards, and the formation of partnerships between private industry and local, State and Federal agencies to promote productivity, reliability, safety, flexibility and performance in the State of California. For more information, access the following link: <http://www.dot.ca.gov/>

The Program Steering Committees (PSC) assists in developing the research portfolio and implementing research results.

Caltrans Division Chiefs responsible for their areas of research interest lead the PSCs. Together, these Division Chiefs, with select District Deputy Directors, form the Research Deployment Advisory Committee (RDAC), and advise Caltrans on research topics of interest and recommended priorities. Senior staff, from the responsible Divisions, lead the Technical Advisory Panels (TAP). The TAPs membership can also include technical experts from other Divisions, Districts and/or external agencies. Project Panels are formed for each project, consisting of the Project Manager (PM), Customer Representative (CR) and other members as selected by the PM in consultation with the CR. The responsible Project Panel and the responsible TAP have developed the enclosed ISOW, and the responsible Project Panels will review and select any resulting research proposal(s). The PSCs and Caltrans will make the final determination on which, if any, proposal(s) will become actual research projects. This system provides customer participation throughout the research process and customer ownership of research products.

## **II. RESEARCH NEEDS**

### **Highlighted issues in this specific CFS are:**

- This CFS is organized according to the Division's customer needs within the specified category.
- Caltrans research needs in these specific areas are described in the ISOW included within this document.
- Respondents should clearly demonstrate how their specific proposal(s) would benefit the traveling public.
- Proposals need to be focused on how the implementation of their results can be used to improve transportation.
- In order to promote synergy among diverse research projects, respondents should consider how their efforts and findings might potentially be integrated with other research projects, as well as transportation planning and deployment projects, in specific California regions or corridors.
- Where appropriate, Caltrans staff will work with the proposal authors of selected proposals to strengthen the project's implementation effectiveness and to facilitate its integration with other new and ongoing research, planning and deployment projects.
- Multi-disciplinary and multi-campus research teams are encouraged in order to integrate diverse research capabilities.

## **III. PROPOSAL FORMAT AND CONTENT**

All respondents must complete the Department of General Services

**"Model Agreement Template"** which is located at:

<https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Model-Contract-Language>

**All contractual forms must be thoroughly completed as instructed. Incomplete proposals may not be considered for review.**

## **IV. QUESTIONS AND ANSWERS**

Respondents with questions about the requirements of this CFS must submit those questions in writing to the email address shown below on or before **5:00 PM (PST) on September 13, 2019**. Question submittals must include the name of the individual or research institution submitting the question and a point of contact in the event clarification is needed. All correspondence should be emailed to the following contact:

Kimberly Gray at: [kimberly.gray@dot.ca.gov](mailto:kimberly.gray@dot.ca.gov)

**Please note that phone calls to the CFS liaison, customer and/or a Caltrans representative(s) are not acceptable and may result in being disqualified from participation in the solicitation process.** After the indicated deadline for question submittal has passed, questions will be collected, answered and publically posted on Caltrans's DRISI website per the indicated schedule. All information traceable to the individual and/or organization submitting the question will be removed prior to posting of a response by DRISI. (See web link below).

<https://dot.ca.gov/programs/research-innovation-system-information/call-for-submissions>

A hard copy of written responses to the collected questions will be provided upon specific request.

## **V. PROPOSAL SUBMISSION/EVALUATION PROCESS**

### **Proposal Submittal, Modification, Resubmittal, and Withdrawal**

Proposals should be emailed, with the CFS# and Initial Description of Work identifier in the subject line, and Project Title and Respondent's Name/Research Institution in the email text. Respondents are to submit proposals to:

Kimberly Gray at: [kimberly.gray@dot.ca.gov](mailto:kimberly.gray@dot.ca.gov)

Respondents submitting proposals may modify or withdraw the proposal at any time prior to the submittal deadline. Such modification or withdrawal of a proposal shall be in writing and submitted by the same person submitting the original proposal.

If the modification requested is only an addition to a proposal, a modified copy of the entire revised proposal should be emailed, with the CFS# and "Revised Substitution for (Initial Scope of Work identifier and title)", in the subject line of the email.

### **Evaluation Process**

The proposal evaluations will be completed by Caltrans Project Panels. The Caltrans Program Steering Committees will make the final selection(s). Proposals will be screened against the evaluation criteria below.

### **Proposal Evaluation Criteria**

- Organization: Adheres to requested page limits and outline? Is the proposal well written?
- Research Plan: Comprehensive literature search completed? Are the plans, methods, techniques and procedures feasible, clear, valid, adequately referenced, and state-of-the-art? Are the research results valuable to Caltrans?
- Research objective: Are the stated objective, scope and motivation clear, valid, and logical? Responds well to problem statement and meets Caltrans goals?
- Deployability of research outcome: When will the ultimate product(s) that is the subject of the research be available and is it likely to be deployed?
- Qualifications: Are the qualifications, capabilities, and experience of the proposed lead researcher and other key personnel sufficient to achieve the proposed objectives? If applicable, is proposed research facility adequate for proposed work?
- Budget: Does the budget reflect the actual needs of the proposed work? Have the requests for personnel, equipment, supplies, etc. been fully justified? Have cooperative features, partnerships and subcontracts been fully identified?

### **Acceptance and Rejection of Submissions**

DRISI retains the right to disregard a minor deviation from the requirements and may, at its sole discretion, request supplemental information or clarification of the information submitted by any respondent.

### **Negotiations with Selected Respondent**

Once a proposal is submitted, DRISI may elect to negotiate with the any selected respondent or group of respondents. These negotiations may or may not result in a written agreement with DRISI. Any agreement as a result of this CFS will be subject to all necessary State, Federal, Agency and Caltrans approvals. If an agreement cannot be reached, negotiations will cease and no contractual agreement, written or implied, will exist. DRISI will not reimburse submitting organizations for any costs incurred in the preparation or submission of pre-proposals or proposals, nor for any expenses incurred in the negotiation process.

This CFS shall not commit DRISI to negotiate and execute any contract or agreement. DRISI reserves the right to accept proposals that, in the sole judgment of DRISI, are in the best interest of the State or other research customers. DRISI reserves the right to reject any or all proposals or to

modify or cancel, in part or in its entirety, this CFS.

## **VI. GENERAL INFORMATION**

### **Confidentiality**

Proposal submittals are confidential. Selection committee members shall discuss the evaluation proceedings and content of proposals only with DRISI staff and with members of the selection committees. Proposals that are not selected will not be reprinted or used for purposes not pertaining to this CFS process. Information on proposals that are selected will not be released until a contract is in place.

### **Supporting Documents**

There may be supporting documents posted on the CFS web page. Respondents are encouraged to review these documents prior to submitting a proposal. These documents are intended to help establish and frame the amount of work needing to be done for selected elements of this Initial Scope of Work.

### **Amendments to this CFS**

DRISI reserves the right to amend this CFS by addendum prior to the final date of proposal submission.

### **Schedule**

The schedule related to this Call For Submissions proposal is as follows:

<b>EVENT</b>	<b>DATE</b>
Available to Prospective Respondents	September 6, 2019
Written Question Submittal Deadline	September 13, 2019
Responses to Questions	September 20, 2019
<b>Final Date for Proposal Submission</b>	<b>October 4, 2019</b>
Proposal Selection	October 18, 2019

## **VII. RESEARCH INITIAL SCOPE OF WORK**

**The name and title of the Initial Scopes of Work are:**

**20\_TSM 01:** Identify communication methods for severely intoxicated drivers which will be used to develop effective engineering countermeasures **(Task 3705)**

**20\_ENV 01:** Greenhouse Gas Mitigation Measures **(Task 3695)**



## **20\_MOD 01: Caltrans UAS Safety Management System (Task 3694)**