

LPA CONSULTANT SELECTION PROCEDURE

FOR APPLICABLE POLICY REFERENCE see Chapter 7 - **Consultant Contracting** in INDOT's *LPA Process Guidance Document for Local Federal-Aid Projects* which is found here:
www.in.gov/indot/div/projects/LPASection/pubs/LPAProcessGuidance.pdf

SUBMITTALS:

1. Except as noted otherwise, the contact for all LPA consultant selection submittals and any questions concerning this procedure is the **DISTRICT LOCAL PROGRAMS COORDINATOR**.
2. Do not submit originals of documentation with the Selection Review Checklist. Originals must remain in your files and be available for audit for a minimum of 5 years beyond closeout of construction. Except for the Checklist, signed by INDOT, submittals will not be returned.
 - a. It is preferred that documents be submitted as email attachments in pdf format.
 - b. If documentation is submitted by FAX, please notify the District contact to expect the FAX.
 - c. If U.S. Mail, hand delivery, etc. is used, submit copies of all documentation. Make sure the copies have not been stapled, torn, creased or damaged in any way that would make scanning them difficult; otherwise they may not be accepted.

NOTE:

When Federal funding is involved, or when 100% local funds are used which will later be applied as match credits, the LPA must follow the procedural steps below for consultant selection. Failure to follow this procedure will delay the processing of your submittals and may cause a loss of federal funding.

The LPA Certification Training Course is an overview course that does not provide all the detailed steps required to meet LPA consultant selection procedures. **DO NOT RELY SOLELY ON THE TRAINING COURSE MATERIAL TO CONDUCT YOUR CONSULTANT SELECTION PROCESS!**

ACRONYMS

A&E – Architectural and Engineering Services
DBE – Disadvantaged Business Enterprise
E&O – Errors and Omissions
ERC – Employee in Responsible Charge
FMIS - Fiscal Management Information System
LOI – Letters of Interest
QBS – Qualifications Based Selection
RFP – Request for Proposals

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SHORTCUTS TO FORMS	
RFP Template.....	http://www.in.gov/indot/files/LPARFPTemplate.doc
Standard Selection Scoring Tabulation Sheet	http://www.in.gov/indot/files/Copy_of_LPA_RFP_Scoring_Tabulation_Form.xls
Optional Selection Scoring Tabulation Sheet (Totals by Rank)	http://www.in.gov/indot/files/Copy_of_LPA_RFP_Scoring_Tabulation_Form_by_Ranking.xls
DBE Goal Request Form	http://www.in.gov/indot/div/legal/dbe/dbegoalrequestform.htm
Selection Review Checklist	http://www.in.gov/indot/div/projects/LPASection/pubs/ConsultantSelectionChecklist.pdf

SELECTION PROCEDURE

I. **Prepare RFP**

The first step is preparation of a Request for Proposals Notification (RFP) to be posted for advertisement.

- A. Contact the District Local Programs Coordinator for the project DES No., if you do not already know what it is. Only in rare cases is there no DES No.
- B. If pre-screening for interviews will be used the details must be stipulated in the advertised RFP. Contact the District for the proper wording to use.
- C. Request the DBE Goal from INDOT's Economic Opportunity Division (EOD). Instructions for making this request can be found here: www.in.gov/indot/div/legal/dbe/dbegoalrequestform.htm
- D. Prepare the RFP by editing a copy of the RFP template which can be found here: www.in.gov/dot/div/legal/rfp/LPAPSection/information/ConsultantSelection/LPARFPTemplate.doc . Download a new copy each time because the template is subject to revision. Submit the draft RFP to the District Local Programs Coordinator for posting along with a copy of the email from EOD setting the DBE Goal. The email from EOD is required even if the Goal is set at 0%.

Suggested RFP prequalification requirements for various project types are included in Attachment #1 below.

- E. When notified by the District that the RFP has been posted:
 - 1. Download a copy of the advertised RFP for your use and records. Only the final advertised version of the RFP is applicable. All prior versions are drafts and therefore irrelevant.
 - a. Clicking on the RFP Title at the bottom of the email notification you receive will take you directly to the posted RFP.
 - b. If the RFP is currently advertised, it can also be found by searching here: www.in.gov/dot/div/legal/rfp/LPARFP/LPARFPcurrentlyadvertised.htm
 - c. If the due date has elapsed, the RFP might be archived. If so, it can be found by searching here: www.in.gov/dot/div/legal/rfp/LPARFP/lparfparchive.htm
 - 2. If less than three (3) Letters of Interest (LoI's) are received, you will have to re-advertise unless you have documented evidence that you have made significant recruitment efforts beyond advertisement to create a competitive selection process. Therefore, if it is anticipated that less than three LoI's will be received, it is recommended that, as early as possible after RFP posting, and before the due date and time:
 - a. That you contact several consultants and attempt to recruit their interest in submitting an LoI.
 - b. That you document your recruitment efforts in case the minimum of three LoI's is not met.

II. **Request Past Performance Data and Verify Prequalification of Submitting Firms**

When the due date and time specified on the advertised RFP have elapsed:

- A. Request past performance data from the District by submitting a list of all the lead firms (use full names) who have submitted an LoI for the RFP.

- B. Verify that the submitting consultant firms/teams meet the advertised prequalification requirements using the List of Prequalified Consultants found here:
www.in.gov/dot/div/legal/rfp/eligiblefirms.xls
 - 1. The lead firm must be prequalified in at least one INDOT prequalification category. This can be any prequalification category, whether advertised in the RFP or not.
 - 2. All the advertised prequalification categories must be covered by at least one member of the consultant team (lead or a sub).

III. Scoring

Upon receipt of Past Performance data from the District, scoring may begin. (If pre-screening for interviews is used, it must be done in accordance with the process stipulated in the advertised RFP.)

- A. A scoring team of 3 to 5 members is recommended. A scoring team leader must be designated, who may be one of the scorers.
- B. Scoring must be done using the version of the LPA Consultant Selection Rating Sheet advertised in the RFP. No other version is acceptable.
 - 1. Make copies of the Selection Rating Sheet from the RFP downloaded in Step I.E.1.
 - 2. It is recommended that you fill in the header information, Past Performance scores, and Location score before making copies for scorers.
 - 3. Each scorer is to have a complete set of these forms (one form for each consultant).
 - a. Each Scorer must score all consultant teams meeting the prequalification requirements noted in Step II.B above. Consultant teams not meeting both 1. and 2. of Step II.B. are not to be scored.
 - b. For final scoring after pre-screening and interviews, each scorer must score all consultant teams interviewed.
- C. Download a copy of the RFP Scoring Tabulation form found here:
www.in.gov/dot/div/legal/rfp/LPASection/information/ConsultantSelection/LPA%20RFP%20Scoring%20Tabulation%20Form.xls
 - 1. Fill in the header information.
 - 2. If pre-screening is not used list the names of the lead firms of all the consultant teams meeting advertised prequalification requirements.
 - 3. If pre-screening is used make two copies of the Tabulation form.
 - a. On the copy for pre-screening, list the names of the lead firms of all the consultant teams meeting advertised prequalification requirements.
 - b. On the copy for final scoring, list the names of the lead firms of all the consultant teams interviewed.
- D. Detailed instructions for Scorers and the Scoring Team Leader can be found on **ATTACHMENT #1 – INSTRUCTIONS FOR SCORING** which follows.

IV. Ties and DBE Verification

When scoring and tabulation are complete:

- A. If there is a tie for the #1, #2 or #3 Ranked positions, contact the District Local Programs Coordinator for further instructions.

- B. Obtain confirmation from INDOT's EOD that the DBE Goal is being met by the #1 ranked consultant, if required. Instructions for requesting the DBE Goal Met email can be found here: www.in.gov/indot/div/legal/dbe/dbegoalrequestform.htm
1. If the DBE Goal is other than 0%, a DBE Goal Met email from EOD is required.
 2. If the DBE Goal is other than 0%, and the consultant is offering something less than the goal, request a DBE Goal Met email and wait for further instructions.
 3. If the DBE Goal is 0%, and the consultant is volunteering DBE participation, request a DBE Goal Met email. However, this is for EOD's information only; a DBE Goal Met email from EOD is not actually required.
 4. If the DBE Goal is 0%, and the consultant is not volunteering DBE participation, a DBE Goal Met email is not required.

V. LPA Selection Review Checklist

Download a copy of the LPA Selection Review Checklist which can be found here:

www.in.gov/indot/div/projects/LPASection/pubs/ConsultantSelectionChecklist.pdf .

- A. Detailed instructions for completing the Checklist can be found on **ATTACHMENT #2 - INSTRUCTIONS FOR LPA SELECTION REVIEW CHECKLIST** which follows.
- B. Submit the Checklist, along with all the documentation it requires (See ATTACHMENT #2, C. and D.1.), to the District for review and signature.

VI. INDOT Selection Process Approval

The District will notify you when the Checklist has been approved. At that time, you may contact the #1 ranked consultant and begin negotiating an agreement.

ATTACHMENT #1 Suggested Prequalification Requirements for Various Project Types

The following are only the minimal prequalification categories.

- **Road Project:**
 - 5.2 Environmental Document Preparation – CE
 - 6.1 Topographic Survey Data Collection
 - 8.1 Non-Complex Roadway Design *
 - 11.1 Right of Way Plan Development
 - 12.1 Project Management for Acquisition Services
 - 12.2 Title Search
 - 12.4 Appraisal
 - 12.5 Appraisal Review
 - * might require 8.2 Complex Roadway Design

- **Bridge Project:**
 - 5.2 Environmental Document Preparation – CE
 - 6.1 Topographic Survey Data Collection
 - 9.1 Level 1 Bridge Design *
 - 11.1 Right of Way Plan Development
 - 12.1 Project Management for Acquisition Services
 - 12.2 Title Search
 - 12.4 Appraisal
 - 12.5 Appraisal Review
 - * might require 9.2 Level 2 Bridge Design

- **Construction Inspection:**
 - 13.1 Construction Inspection

- **Transportation Enhancement (Trail) Project**
 - 5.2 Environmental Document Preparation – CE
 - 6.1 Topographic Survey Data Collection
 - 8.1 Non-Complex Roadway Design
 - 11.1 Right of Way Plan Development
 - 12.1 Project Management for Acquisition Services
 - 12.2 Title Search
 - 12.4 Appraisal
 - 12.5 Appraisal Review

- **Bridge Inspection (2 yr & 4 yr)**
 - 14.1 Regular Bridge Inspection
 - 14.2 Complex Bridge Inspection *
 - 14.3 Underwater/In-Water Bridge Inspection *
 - * may not be required

- **Sign Replacement**
 - 5.2 Environmental Document Preparation – CE
 - 6.1 Topographic Survey Data Collection
 - 8.1 Non-Complex Roadway Design

ATTACHMENT #2 Instructions for Scoring

A. SCORERS & TEAM LEADER / ERC

1. Changes made to any of the data entered on the Selection Rating Sheet or the Scoring Tabulation form must be initialed by the person whose signature appears at the bottom of the form. This denotes that the signing party is aware of, and approves of, the changes.
 - a. This applies regardless of who makes the changes (even if they are made by the signing party) or when they are made (before or after the form is signed).
 - b. This means that if a Score is changed, resulting in a change to the Weighted Score and the Weighted Sub-Total (as well as changes to the Tabulation form), each and every change must be initialed by the appropriate person.
 - c. An acceptable alternative to the above is to start over again with a fresh form.
2. Except for Past Performance and Location, each scorer is to score independently.

B. SCORERS:

Scorers must be representatives of the LPA who are knowledgeable of the project and informed about the scoring process. Any scorer who has a conflict of interest with any of the submitting firms, or who believes that he is otherwise unqualified, must excuse himself from any of the scoring.

Using their best judgment, scorers are to review the Lol's with the intent of identifying the most qualified team. Interviews may also be appropriate (if advertised in the RFP) to help understand issues that may affect project delivery. Scorers must give equal consideration to all submitting firms, and may not base scores on anecdotal, unfounded or second-hand information. Neither should preferential treatment be given based on past relationships.

The only scores that are acceptable for each Category are those listed in the Scale column on the Selection Rating Sheet. The Scoring Criteria column gives a verbal description of the meaning of each score in the Scale column. The scoring system was designed so that a zero (0) score indicates that the team is average, positive scores indicate a degree greater than average, and negative scores indicate a degree less than average.

1. Scoring is to be done on Selection Rating Sheets.
 - a. The Selection Rating Sheet has six (6) Categories and requires eight (8) Weighted Scores to be determined.
 - b. Weights are already entered for all the Categories.
2. Enter the header information on each sheet if not already entered.
3. For the **Past Performance Category** enter the three (3) Scores on each sheet if not already entered. These scores are provided by INDOT and may vary for each lead firm. These three (3) scores must be entered, and used in the calculations, even if zeros.
4. For the **Location Category** the Scores of all Scorers must be the same for any given lead firm because the distance from that lead firm's assigned office to the project site is a constant. Therefore, if not already entered, consult with the Team Leader to determine which score from the Scale to use.
5. For all other Categories select a number from the Scale column based on the adjacent descriptions in the Scoring Criteria column. Then enter that number in the Score column. Numbers shown in the Scale column are the only scores that are acceptable in the Score column for that Category. Any other number entered as a Score will invalidate that Selection Rating sheet.
 - a. **Capacity of Team to do Work Category** – This is an evaluation of the team's personnel and equipment to perform in a timely manner. More than adequate capacity should only be

counted if it results in added value. Do not evaluate the capacity merely on firm size; but take into consideration the team's current and future workload which may impact delivery of your project.

- b. **Team's Demonstrated Qualifications Category** – This is an evaluation of the team's unique technical expertise and resources that would result in increased cost, reduced development time, enhanced design quality and/or improved constructability. Expertise or resources that do not add value or efficiency shall not be scored higher than zero (0).
 - c. **Project Manager Category** – This is an evaluation of the project manager's ability to manage the project, based on prior experience.
 - d. **Approach to Project Category** – This is an evaluation of the team's understanding of the project and any innovation that provides cost and/or time savings.
6. Multiply each Score by its Weight and enter the result in the Weighted Score column for all eight (8) Weighted Scores on each form.
 7. Determine the Weighted Sub-Total on each Selection Rating sheet by adding all eight (8) Weighted Scores on that form. Use care in computing the totals as mathematical errors are a common problem.
 8. Then, fill in all the Signature block information at bottom of each sheet and forward them to the Team Leader.

C. TEAM LEADER:

The Team Leader must be a representative of the LPA who is knowledgeable of the scoring process.

1. Assist the Scorers in understanding the scoring process but do not compromise their independence in selecting scores except as noted in A.2. above.
 - a. Advise the Scorers of the Past Performance scores to use.
 - b. Assist the Scorers in determining the Location score for each firm.
2. Once a Scorer has completed scoring, review each Selection Rating sheet for compliance with the above instructions and for arithmetical accuracy. See A.1. above when corrections are necessary.
3. After determination that a Scorer's Selection Rating sheets are free of discrepancies, enter the Weighted Sub-Totals in the appropriate boxes on the RFP Scoring Tabulation form. Then:
 - a. Enter the header information on the Tabulation form if not already entered.
 - b. Add all the Weighted Sub-Totals for each consultant to determine the Weighted Scores Total.
 - c. Rank the consultants based on the Weighted Scores Totals, the largest number being ranked as "1" in the Ranking column.
 - d. After Ranking, fill in the Signature and other information at the bottom of the Tabulation form and forward all the Scoring forms to the appropriate person for submittal to Seymour District with the LPA Selection Review Checklist.

ATTACHMENT #3 Instructions for LPA Selection Review Checklist

- A. Fill in the header information on both pages.
1. "Local Public Agency" – found in the upper left-hand corner on the first page of the advertised RFP.
 2. "County" – self-explanatory.
 3. "Project Name" – a brief project description.
 4. "Des No." – found on page 4 of the advertised RFP. In the rare case that there is no DES No., enter "None."
 5. "Request for Proposals No." – unless one is shown in the upper left-hand corner on the first page of the advertised RFP, this is "N/A" or "None."
 6. "Posting Date" – found in the upper left-hand corner on the first page of the advertised RFP.
 7. "District" – name of the INDOT District that is overseeing the project.
- B. **"RFP requested services for: (check all that apply):"**
1. "Preliminary Engineering" - includes Environmental Services, Topographic Survey, Design, Utility and Railroad Coordination, Right of Way Engineering (abstracting & right-of-way plans), and Bridge Inspection.
 2. "Construction Engineering" – Construction Inspection.
 3. "Right of Way Services" – includes all right of way acquisition services (Appraisal, Negotiation, Closing, Relocation, etc., but not Right of Way Engineering).
 4. "Other" - if applicable, describe on the line provided.
- C. **"Documentation Required w/Checklist:"** – All these documents except those marked "N/A" are to be submitted to the District along with the Checklist.
1. "Request for Proposal (RFP) Advertisement" – The documentation is the RFP as advertised on INDOT's website. (See Procedural Step I.E.1.)
 2. "DBE Goal Set e-mail" – The documentation is the email from INDOT's EOD setting the DBE Goal. (See Procedural Step I.C.) Enter the set goal on the line provided.
 3. "DBE Goal Met e-mail" – The documentation is the email from INDOT's EOD confirming that the DBE Goal has been met. (See Procedural Step IV.B.) "N/A" if DBE Goal is 0%. "YES" if DBE Goal is other than 0%.
 4. "Past Performance Data as provided by INDOT" – The only time Past Performance would be "N/A" is when the RFP was for certain types of work for which INDOT has no Past Performance Data. In which case, the Past Performance Scores defaulted to all zeros for all firms.
 - a. For older projects, the documentation is an email forwarded from Brenda Fox stating that Past Performance Data has been entered on the scoring documents.
 - b. For newer projects, the documentation is a form from the District giving the Past Performance Data.
 5. "Scoring Tabulation Form and Score Sheets" – If pre-screening was used, the documentation includes scoring and tabulation documents from both pre-screening and final selection.
 6. "Affirmative Action Certification Form" – The documentation is the form submitted by the #1 ranked firm with their Lol. "N/A" if DBE Goal is 0%. "YES" if DBE Goal is other than 0%.
- D. **"General Information:"**

1. “Number of Letters of Interest received” – Self-explanatory. If the number is less than 3, include documented evidence of significant recruitment efforts to create a competitive selection process (beyond just advertisement). (See Procedural Step I.E.2.)
2. “Number of teams who did not meet prequalification requirements” – self-explanatory. Explain why teams did not meet requirements by listing the lead firms not prequalified and/or the prequalification categories not met for each team. If all the teams met the prequalification requirements, enter zero and leave the explanation line blank.
3. “If pre-screening was used, was it consistent with the process advertised in the RFP?” – self-explanatory.

E. **“Score Sheets:”**

1. The Selection Rating sheet used must be the one in the advertised RFP.
2. Teams that do not meet prequalification requirements are not to be scored. (See Procedural Step II.B.) But all those that do meet prequalification requirements must be scored by all scorers.
3. Except for Past Performance, the scores entered must all have been selected from the numbers listed in the Scale column.
4. Because the distance from a lead firm’s assigned office to the project site is a constant, all scorers must have used the same Location score for the same lead firm.
5. Past Performance data, as provided by INDOT, must have been applied fairly. (See C.4. above.)
6. The arithmetic on each Selection Rating sheet must be correct.
7. Each Selection Rating sheet must contain the signature of the scorer and the date signed.

F. **“Tabulation Sheet:”**

1. The RFP Scoring Tabulation form must contain the signature of the scoring team leader and the date signed.
2. The lead firm of all consultant teams meeting prequalification requirements must be listed.
3. The Weighted Sub-Totals from all the Selection Rating sheets must be correctly entered and the arithmetic for determining the Ranking must be correct.
4. The lead firm must be prequalified in at least one INDOT prequalification category. (See Procedural Step II.B.1.)
5. Each of the prequalification categories advertised in the RFP must be covered by at least one member of the consultant team. (See Procedural Step II.B.2.)

G. **“Certification of LPA Employee in Responsible Charge (ERC)”**

1. Special INDOT training is required for certification as an ERC. Except for Bridge Inspections and Safe Routes to School (Non-infrastructure), all projects require the signature of an LPA representative who is a certified ERC. For bridge inspections, and Safe Routes to School (Non-infrastructure) projects, the Checklist may be signed by anyone the LPA deems knowledgeable of the project and the scoring process.
2. Enter the signature and all other information required.