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# Indiana Department of Transportation

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## Architectural and Engineering Firm Selection Process for Local Public Agencies



July 7, 2008

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# Architectural and Engineering Firm Selection Process for Local Public Agencies

## Overview

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### Purpose

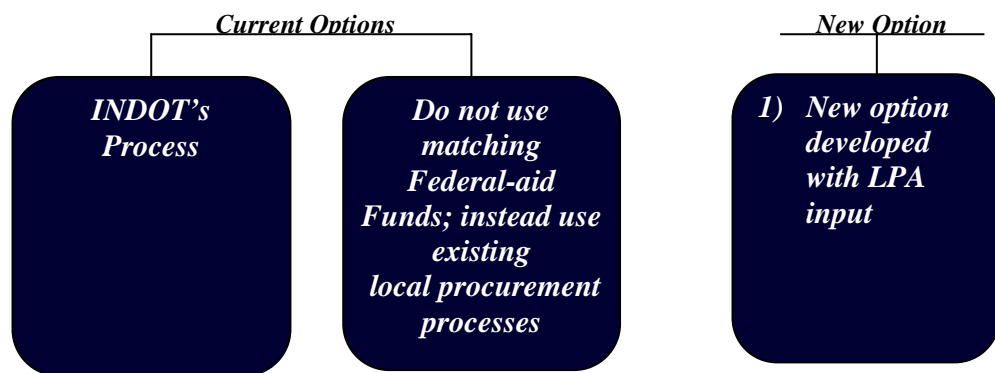
INDOT has collaborated with representatives from Local Public Agencies (LPAs) in order to share ideas and create options to be used in the development of an improved process. This process is for selecting architectural and engineering (A/E) firms when matching Federal-aid funds are used for project development activities such as environmental analysis, design, right-of-way engineering, construction engineering, and bridge inspection.

Previously, there were two options for selecting an A/E firm:

- Use INDOT's existing process
- Use existing local procurement processes to engage an A/E firm. This would be in lieu of receiving Federal-aid funds for design and development for all engineering and construction inspection costs, and prevents these funds from being used as a match credit towards federally funded construction.

The existing options did not consider some specific needs of the LPA. Therefore, outreach sessions with LPA representatives were used to develop the groundwork for options providing more flexibility to meet the LPAs needs.

**Figure 1 – LPA Options for Selecting an A/E Firm**



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## Overview, Continued

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**Purpose,**  
(continued)

After this collaboration, the two existing options remain and a third, presented in this document, has been added to create greater flexibility for LPAs while maintaining a process that is effective and accountable to our customers. Options for the consultant selection process are presented in this document, as discussed in the three Outreach Meetings at the Indiana Historical Society on December 5, 7, and 12, 2006. Multiple options and decision points were identified by representatives from LPAs from all areas of the State. These representatives included county commissioners, mayors, A/E firms, MPOs, city engineers, transportation planners, and executive directors of stakeholder organizations.

In addition to the existing consultant selection processes, this document articulates an alternate process by which LPAs involved in a transportation project can select A/E firms for services when federal funds are involved. This process covers procurement of A/E services directly related to a construction project in areas such as Transportation Enhancement (TE), road, and bridge projects.

If no Federal dollars are used to pay for A/E services or the cost of services will not be used as a match credit for federal project construction funds, this document does NOT apply, even though Federal dollars are used for the construction itself.

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**Background**

The Code of Federal Regulations Part 23 Section 172 (23CFR172) outlines the requirement for administration of A/E contracts, including procurement of services, on transportation projects using federal funds. It refers to the Brooks Act, which is the Federal law requiring procurement of A/E services be through a “Qualification Based Selection” (QBS) process (Title 40 United States Code, Chapter 10, Subchapter VI, paragraphs 541-544).

If the consultant services are to be paid with either Federal funds, or non-Federal funds that are to be credited as a match against Federal funds for construction of the project, the LPA must follow these requirements.

In like manner, federal regulations require the following of State DOTs: “Recipients of Federal funds shall ensure that their sub-recipients comply with this part.” This asserts that the State must ensure that LPAs follow the same Federal requirements as the State. Thus, LPAs are subject to the same procurement requirements as the State DOT.

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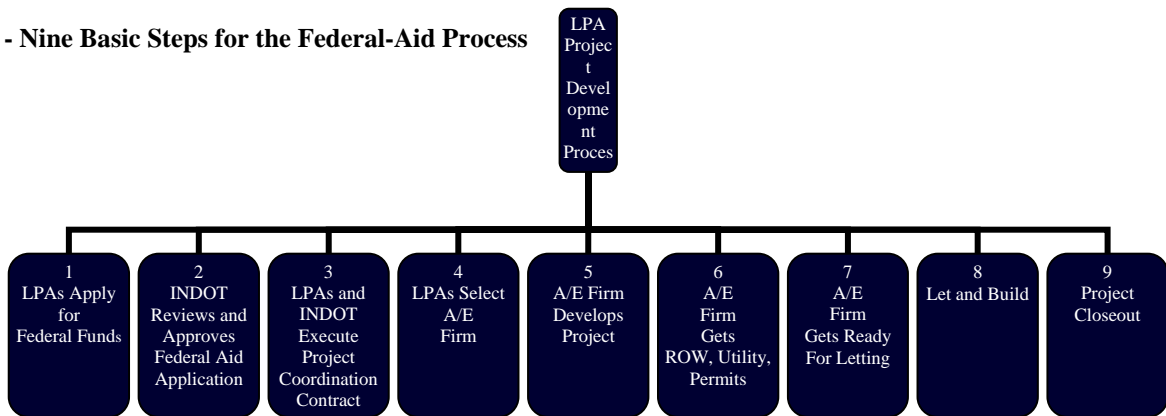
## Overview, Continued

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**LPA Process** The nine basic steps an LPA must complete in order to use Federal Aid for local projects include the steps in the Chart Figure 2 - Nine Basic Steps for the Federal-Aid Process. Step four is detailed in this document. More detail regarding the requirements for the other steps can be obtained from INDOT or FHWA.

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**Figure 2 - Nine Basic Steps for the Federal-Aid Process**



### Nine LPA Steps

- Step 1—LPA applies by submitting a Federal-aid Application form which specifies scope, estimated cost, justification, and type of project.
- Step 2—MPO (Groups I and II) approves project or INDOT reviews and approves projects outside of MPO responsibility.
  - a. District Program Managers group and rank similar projects.
  - b. Central Office group and ranks similar projects from across the state.
  - c. Projects are matched against budgets.
- Step 3—LPA & INDOT execute ‘Project Coordination Contract.’
  - a. This Project Coordination Contract is similar to the preconstruction contracts used in the past for LPA projects. Though implementation of the new coordination contract is more work-intensive at the beginning, it eliminates work and bureaucratic difficulties over time.
  - b. There will be amendments to the Project Coordination Contract as required throughout the life of the project.
- Step 4— A/E firm is selected.
- Step 5— A/E firm develops project. This may include environmental evaluation and design.

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## Overview, Continued

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### Nine LPA Steps (continued)

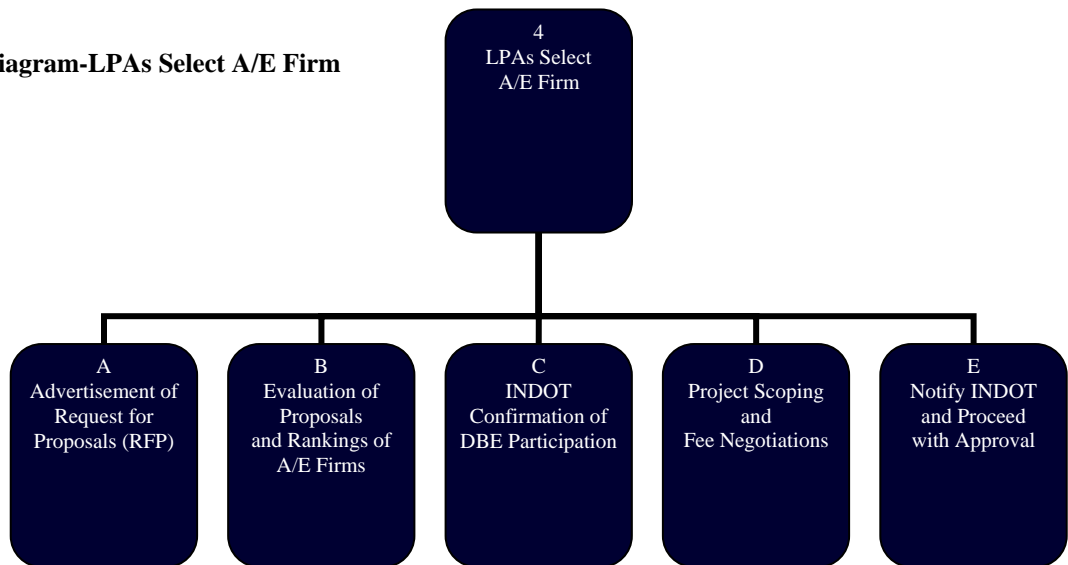
- Step 6— A/E firm obtains right-of-way, utility, and permits.
  - Step 7— A/E firm gets plans, specifications and estimate (PS&E) ready for letting.
  - Step 8—Project is let by INDOT and construction begins.
  - Step 9—Project closeout.
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### Selecting an A/E Firm

Step 4 is the focus of this documentation. It includes the selection of A/E services needed by LPAs throughout the phases of a project where Federal funds are used as a match or where A/E services will be used as match credit. The responsibilities of the LPA and INDOT are outlined in the chart in Appendix E.

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Figure 3 - Step 4 Diagram-LPAs Select A/E Firm



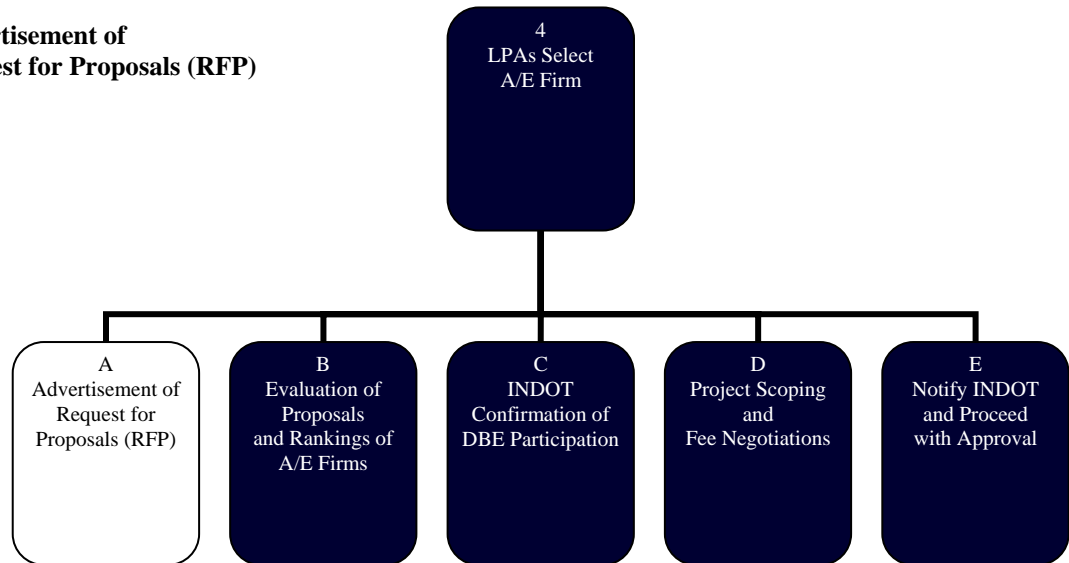
These five activities include:

- A. Advertisement of Request for Proposals (RFP)
  - B. Evaluation of Proposals and Ranking of A/E Firms
  - C. INDOT Confirmation of DBE Participation
  - D. Project Scoping and Fee Negotiations
  - E. Notification to INDOT and Proceed with Approval
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# Advertisement (Request for Proposals)

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**Figure 4 – Advertisement of Request for Proposals (RFP)**



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## Overview

The first step (Step A) Advertisement of Request for Proposals (RFP), requires that the LPA must publicly announce all requirements for A/E services. INDOT is prepared to assist any LPA through this step upon request.

There are seven components to the advertisement. Each component is discussed in detail in the following paragraphs. An RFP template is available on the INDOT website.

1. Project description and scope of services
2. Qualification requirements
3. Selection criteria with specific rating factors, their weighting and Selection Rating Sheet
4. Due date
5. Point of contact
6. DBE goal
7. Posting of the advertisement

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## Advertisement (Request for Proposals), Continued

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### **1. Project Description and Scope of Services**

The project description includes the geographical location of the project, what type of project it is, and the projected timeframe of the project. The scope of services that define the elements of service covered by the selection should also be included. If the selection is to cover construction inspection, it must be specified, otherwise, a subsequent RFP and selection shall be required. Local INDOT program managers are available in each District to assist any LPA with this step of the process upon request. Contact information for these managers can be found on the INDOT website.

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### **On-Call Options**

An On-Call option refers to contracting with selected A/E firms to provide future services on an as needed basis. LPAs using consultant services on a regular basis can select and contract with firms using on-call agreements and assign work as needed. On-Call contracts must still be selected using the procedures defined in this document. DBE goals must be set by INDOT prior to the advertisement. The duration of On-Call contracts must be approved by INDOT. Examples of On-call contracts and the selection process are available from INDOT's Central Office Consultant Services section. Consultants should be made aware that an On-call contract is not a commitment for a certain amount of work; it may be used in part or not at all.

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### **2. Qualification Requirements**

The LPA must specify the detailed qualification requirements in the advertisement. It should clearly identify the skill categories needed in the scope of services and whether INDOT prequalification is required. Refer to the Prequalification element under Evaluation and Ranking for more specific information. When INDOT prequalification is specified the lead consultant must be pre-qualified, subconsultants are not required to be prequalified.

Federally funded bridge inspection services require INDOT prequalification for the applicable bridge inspection category.

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## Advertisement (Request for Proposals), Continued

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### 3. Selection Criteria and Selection Rating Sheet

The criteria by which A/E firms will be evaluated must be listed in the advertisement. This includes the scale and weighting of each of the criteria. If pre-screening or interviews will be used, separate criteria and weights should be listed. See Evaluation and Ranking for details. RFP's for A/E services related to project delivery may not request any pricing information. The selection must be made based on qualifications.

A copy of the consultant rating sheet must be attached to the RFP. This sheet indicates to the consultant what criteria will be used in rating each firm. A consultant rating sheet template, in Excel format, is available on the INDOT website. See Evaluation and Ranking for details regarding setting selection criteria.

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### 4. Due Date

Each advertisement must contain the due date for the letters of interest (LOI) from the A/E firms. This due date should be based on the complexity of the project and must provide a minimum two week advertisement period. It is recommended that the advertisement period be at least 3 weeks to allow a reasonable number of firms to prepare responses.

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### 5. Point of Contact

Each advertisement must provide the point of contact, including address, phone and e-mail address, for questions and proposal submission.

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### 6. DBE Goal

Each advertisement must have a stated DBE goal. DBE stands for Disadvantaged Business Enterprise. INDOT is the only entity in the State with a Federal Highway Administration (FHWA) approved DBE program. As such, INDOT maintains responsibility for setting all DBE goals and may not delegate any portion of the program administration to the LPA. The LPA shall contact INDOT's Equal Opportunity Division (EOD) to determine the appropriate DBE goal prior to advertisement.

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### INDOT Review/ Approval of RFP

After the LPA has prepared the draft RFP it shall be sent to INDOT for review. INDOT will check for the seven components to the advertisement and coordinate the "posting" date.

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## Advertisement (Request for Proposals), Continued

**Minimum Number of Respondents**

The competition of multiple qualified firms is a foundational component of the federal qualifications based selection process. When there is a risk perceived that fewer than three letters of interest may be received, the LPA should undertake recruitment efforts beyond basic website advertisement to obtain competition. If fewer than three letters of interest are received documentation will be required that demonstrates that the LPA made significant recruitment efforts beyond advertisement to create a competitive selection process. If significant recruitment efforts are not documented the LPA will be required to readvertise the RFP and make additional efforts to obtain competition.

**7. Posting of Advertisement**

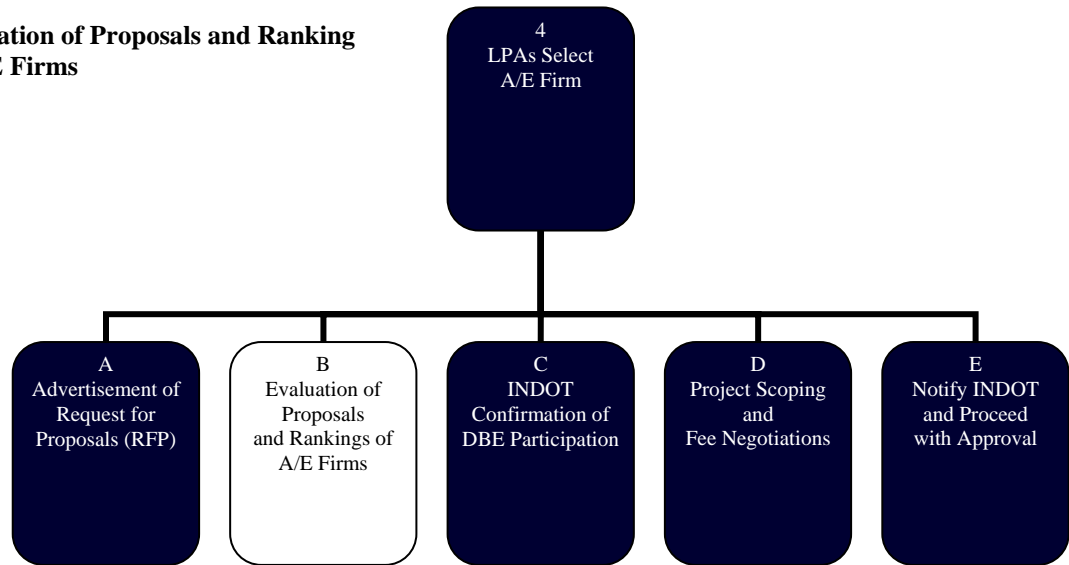
Notices must be made widely available to in-state and out-of-state consultants. The advertisement may also be sent directly to all A/E firms who have given written statements that they want such notice, as long as there are at least five firms and the notice does not provide information that would give any consultant an unfair advantage. The discussions in the INDOT Outreach meetings resulted in several options being offered. See Table 1- Posting of Advertisement Options below. Providing INDOT with a copy of the advertisement or a link to a website will satisfy this requirement.

**Table 1- Posting of Advertisement Options**

<b>Option A</b>	<b>Option B</b>	<b>Option C</b>
<p>Post advertisement on the INDOT website; INDOT sends e-mail notification to all pre-qualified firms.</p> <p>(Most common method)</p>	<p>Post advertisement on LPA and / or Local Transportation Assistance Program (LTAP) or other appropriate website(s). INDOT shall establish a link from the INDOT website to the posting site prior to the start of the advertisement period.</p>	<p>Post in newspapers and/or publications of regional distribution and send notices to interested firms. Must also include an internet address that is linked to the INDOT website prior to the start of the advertisement period.</p>

# Evaluation and Ranking

Figure 5 - Evaluation of Proposals and Ranking of A/E Firms



## Overview

Evaluation of proposals and ranking of A/E firms begins immediately following the receipt of letters of interest (LOI's) and the passage of the due date. The letters of interest cannot contain pricing information, but will need to contain all the information as specified in the advertisement. Letters of interest that do not meet or address the qualification criteria as of the due date should not be considered for evaluation.

Firms must be evaluated and ranked on their qualifications and not the cost of proposed services or any other considerations not advertised or prohibited by QBS.

The components of evaluation and ranking are as follows:

1. Prequalification
2. Selection Criteria
3. Pre-Screening (optional)
4. Interviews (optional)
5. Scoring Sheet
6. Scoring Team

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## Evaluation and Ranking, Continued

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**1. Prequalification** Prequalification refers to a process whereby A/E firms are certified to do business with INDOT. The certification process includes verification that the firm is an entity legally eligible to do business with the State, that the firm holds the required professional licenses to perform services in specified categories, that the firm holds minimum levels of liability insurance coverage and that the firm has an accounting system that will properly segregate expenses for determination of eligible costs. Prequalification does not guarantee that the firm does excellent work. Any A/E firm may apply for prequalification at any time. The prequalification list is available on the INDOT website.

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**Options** To use Federal-aid funds, the firm selected must either be prequalified by INDOT, or must have its accounting system and a provisional overhead rate approved by INDOT, prior to A/E firm negotiations. This will require submittal of a self-certified or CPA certified prequalification financial package or a cognizant agency audit. A final overhead or indirect cost rate will be required prior to project close-out for cost-plus fixed fee type contracts.

Requiring an INDOT prequalified firm will help to ensure that the LPA is getting letters of interest from firms that have demonstrated technical and financial preparedness to proceed with a contract using federal-aid reimbursable services. Federally funded bridge inspection services require INDOT prequalification for the applicable bridge inspection category.

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**Table 2- Prequalification Options**

<b>Option 1</b>	<b>Option 2</b>
LPA requires INDOT prequalification.	LPA selects a non-INDOT prequalified A/E firm. It is understood that the firm will have to submit a prequalification financial package in order to have an overhead rate established and to verify that the firm has an auditable accounting system appropriate to the compensation mechanism to be used.

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## Evaluation and Ranking, Continued

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### 2. Selection Criteria

The LPA has two options for identifying selection criteria. One option is to use the INDOT criteria worksheet and process. Another option is to select criteria from an INDOT pre-approved list that includes the INDOT criteria as well as additional options. The LPA must include the four core criteria shown in bold and starred below. LPAs may submit additional criteria to the INDOT menu of criteria for review and inclusion. In either case, the LPA has the option of changing scoring and weighting to meet the needs of a specific project with INDOT's concurrence. The scoring criteria and weighting must be included in the request for letters of interest. Refer to Appendix A for a copy of INDOT's scoring sheet and Appendix B for a sample LPA scoring sheet.

- Federal regulations delineate two criteria that may not be used for scoring: cost and the DBE goal (although a good faith effort must be demonstrated prior to negotiations). In addition, location cannot account for more than 5% of the total weighting.
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### List of INDOT Criteria

LPAs may use INDOT's categories:

- **\*Historical performance - Most LPAs are using INDOT historical performance evaluation data in their selections. LPAs may request and obtain approval to apply performance evaluation data from their own consultant evaluation database so long as it can be demonstrated that it is objective and is fairly applied. Approval from the INDOT Selection Review Committee must be obtained prior to RFP advertisement. When there is no LPA performance data for a proposing firm, the LPA will need to use INDOT data, when applicable.**
  - **\*Technical expertise - unique resources and equipment that yield a relevant added value or efficiency to the deliverable**
  - **\*Project manager - rating of predicted ability to manage the project, based on experience in size, complexity, type, subcontractor coordination skills, and documentation skills**
  - **\*Approach to project - understanding and innovation that gives the LPA cost and/or time savings**
  - Location – must be less than 5% of total weighting and cannot be based on political boundaries
- 

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## Evaluation and Ranking, Continued

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### List of INDOT Criteria (Continued)

- Capacity of team - evaluation of the team's personnel and equipment to perform the project on time. Please note that Consultants should not be rewarded for capacity that is beyond that which provides additional value to the LPA. If additional capacity does not add value all firms with adequate capacity should be rated "0".
- Outstanding agreement disputes

LPA's must include at least three of the four core criteria (shown with an \* above) in pre-screening activities. All evaluations for final selection must include all four of the core criteria.

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### Additional Criteria

- Engineering firm must comply with proposal instructions
  - Volume – work under contract of engineering firm
  - Interview information to facilitate final scoring
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### 3. Pre- Screening (optional)

At times, LPA's receive a large number of LOIs. Due to this, the LPA may choose to conduct a pre-screening process. The LPA must choose at least three of the four core criteria, rather than the whole list, and pre-screen response letters on the prioritized criteria. This type of pre-screening is sometimes used to identify the pool of best qualified firms to invite for interviews. After pre-screening the letters of interest, the LPA would continue the evaluation process as normal.

If pre-screening is to be used, the LPA must follow the guidelines listed below:

- The advertisement must include the criteria and weights for pre-screening
  - Criteria for the pre-screening must come from the list of criteria maintained by INDOT
  - The advertisement must state how the pre-screening is to be accomplished
  - Scorers for the pre-screening are selected by the agency head.
  - Scorers must sign and date the pre-screening scoring sheet
  - The results of the pre-screening must include no less than three A/E firms
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## Evaluation and Ranking, Continued

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### 4. Interviews (optional)

The LPA can conduct interviews as a part of the evaluation and ranking process. LPAs can use interviews to gather additional information for evaluating respondents and should only consider using interviews for complex or larger scope projects. If the LPA desires to interview fewer firms than the total number who respond to the RFP a pre-screening process must be applied as described above.

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### 5. Scoring Sheet

The agency representative shall tabulate the results of the scoring of all firms and rank the firms in order from highest to lowest rank, by score or by ordinals (recommended), and approve the ranking by signature. Refer to Appendix C for an example tabulation form as used by INDOT.

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### 6. Scoring Team

It is recommended that a team of scorers be used (3 to 5); however a single technically qualified agency representative may score letters of interest. Members of the team must be knowledgeable of the project and scoring process. The number of individuals on a team can be different for each project. Scorers shall use the INDOT approved scoring template that includes specific rating factors and the weight of each factor as advertised in the RFP. Evaluation factors must be applied to all proposals in a uniform, fair and consistent manner. The evaluation factors must result in a scoring and ranking of firms in order of highest to lowest qualified for the specific RFP. The selecting official must select the highest ranked firm based on scoring. If a scoring tie exists among the highest ranked firms, the selecting official shall determine which of the tied firms is to be treated as the most qualified firm and shall provide a documented explanation of the basis for the decision. A final summary tabulation sheet must be signed by the agency representative.

The signed score sheets used by individual scorers must be maintained in the LPA files until the project is completed and closed-out.

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## Evaluation and Ranking, Continued

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### **INDOT Review/ Approval of Scoring**

The INDOT Selection Review Committee reviews LPA selection scoring documentation to verify compliance with this federally approved process and with federal regulations. It is recommended that LPAs not publicly announce selection results until INDOT approval has been obtained.

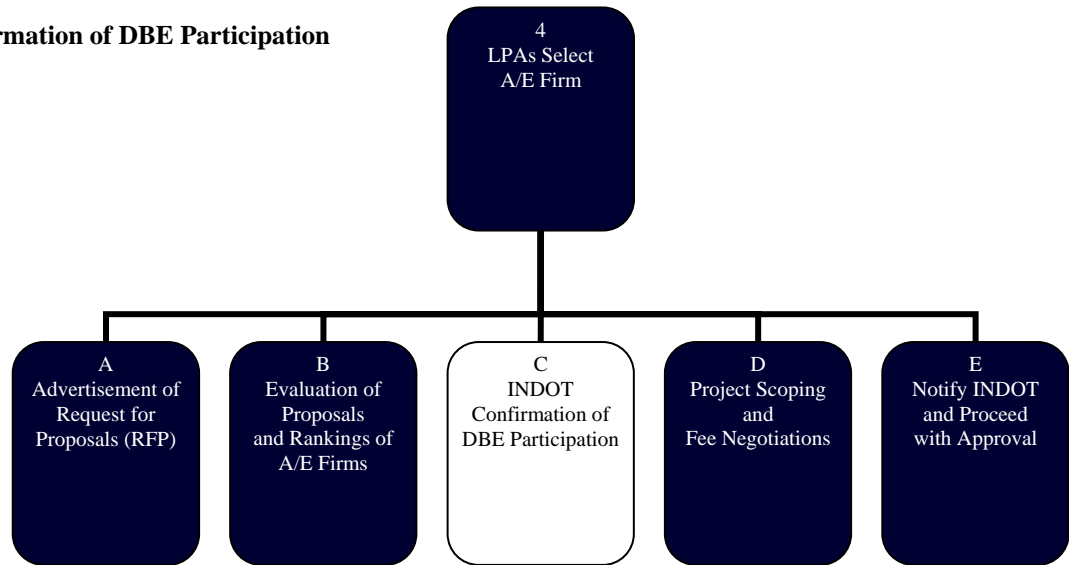
INDOT has been advised by the State of Indiana Public Access Counselor that selection tabulation documents submitted by LPAs and INDOT approval decision memorandums become public INDOT records at the time of decision by the INDOT Selection Review Committee. Determination of the public status of other selection scoring documents held by LPA's is the responsibility of the LPA.

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# Confirmation of DBE Participation

Figure 6 - Confirmation of DBE Participation



## Confirmation of DBE Participation

Subsequent to selection of the highest ranked firms and prior to entering into negotiations, the adequacy of A/E DBE participation plan must be approved by INDOT. An example form for Affirmative Action Certification may be found in Appendix D. The LPA using matching Federal-aid funds for design, development, and construction inspection will need to comply with the INDOT's DBE program, including contacting INDOT to determine if the A/E attained the goal with DBE firms certified in the State of Indiana to perform the contemplated subcontracting work.

The A/E firm must submit the DBE form with its letter of interest. If the A/E firm fails to submit a plan for achieving the DBE goal with identified DBE firms certified in the State of Indiana, INDOT will determine if A/E firm used adequate good faith efforts to achieve the goal but was unsuccessful. The A/E firm will have three business days to provide INDOT with documentation evidencing its good faith efforts to achieve the DBE goal, including copies of letters sent, follow-up phone call logs, all race-neutral DBE use, etc. The A/E must confirm that the DBE firms included in the plan are certified in the State of Indiana by examining the INDOT website listing of DBE firms. INDOT will examine and evaluate the A/E's documented good faith efforts and reach a determination as to their sufficiency. Should INDOT determine that the A/E firm neither met the DBE goal nor used adequate good faith efforts, it shall notify the LPA that negotiations may not proceed with that A/E firm. The A/E firm shall have a right to an informal appeal before the Chief Legal

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## Confirmation of DBE Participation, Continued

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**Confirmation of  
DBE  
Participation,  
(continued)**

Counsel or his designee who shall make a recommendation to the Commissioner. The Commissioner's determination concerning achievement of the goal or good faith efforts shall be the final decision of the Department and is binding upon the LPA.

The LPA must also take affirmative steps to assure that DBE consultants are utilized to the maximum extent possible. Such steps include soliciting DBE firms and, when feasible, organizing the project schedule and task requirements to encourage participation by DBE firms.

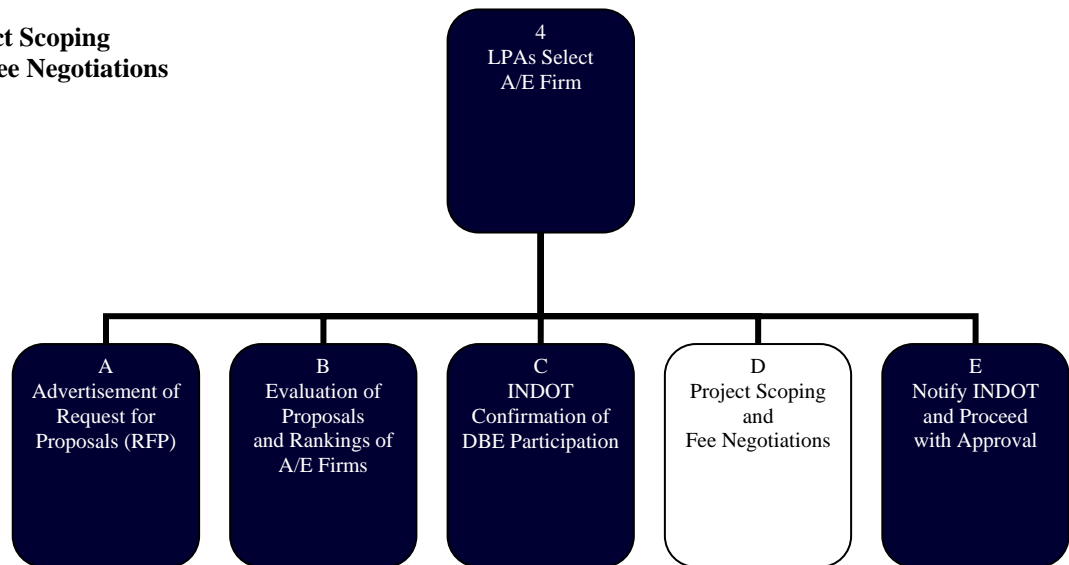
The A/E firm has the responsibility for using the DBE firms previously identified and approved as certified to perform specific work. If a DBE subcontractor is unwilling or unable to perform, the A/E firm must notify the LPA and INDOT Equal Opportunity Division (EOD) and request approval to replace that subconsultant with another DBE subconsultant. DBE efforts must be documented and verified; INDOT maintains responsibility for setting all contract DBE goals and evaluating good faith efforts made to attain these goals. INDOT and the LPA are also responsible for DBE program compliance. The LPA will need to contact the EOD by telephone, e-mail, facsimile or U.S. mail to gain DBE participation compliance information.

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## Scope and Negotiating Fees

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**Figure 7 – Project Scoping and Fee Negotiations**



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### Overview

Prior to the project scoping and fee negotiations step, the LPA selected the top-ranked firm from the QBS process, confirmed the adequacy of the selected firm's DBE participation commitment and received approval of the selection process by INDOT. The LPA is now ready to enter into discussions with the selected firm regarding the detailed scope of the project and to negotiate costs and fees for the project. The LPA may not negotiate overhead rates in the negotiation process; these are determined by audit or as a separately established provisional rate until an audit can be completed. A lower overhead rate may only be used if the consultant offers a lower rate.

Components of this step include the following items:

- Conduct scoping meetings
- Receive cost proposal
- Negotiate terms and conditions
- INDOT's interaction during this phase is optional and can consist of a variety of activities such as assisting in negotiations, clarifying scope, providing general consulting and answering questions.

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### Conduct Scoping Meetings

The LPA shall meet with the top-ranked A/E firm to discuss and review scope. INDOT is willing and prepared to assist with these discussions upon request.

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## Scope and Negotiating Fees, Continued

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**Receive Cost Proposal**

The LPA shall negotiate an agreement with the top-ranked A/E firm. This agreement would include cost, scope, and schedule. INDOT is willing and prepared to assist with these discussions if requested.

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**Negotiate Terms and Conditions**

If the LPA and the highest ranked A/E firm cannot come to a negotiated agreement, the next ranked A/E firm is notified and the LPA reengages in negotiation with the next ranked firm. If negotiation fails again the LPA shall enter into negotiation with the next firm, etc.

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**INDOT Interaction**

It is strongly recommended that the LPA take advantage of INDOT's assistance during this phase. There are, however, two options for INDOT interaction with the LPA as shown in Table 3 – Negotiation Options.

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**Table 3 - Negotiation Options**

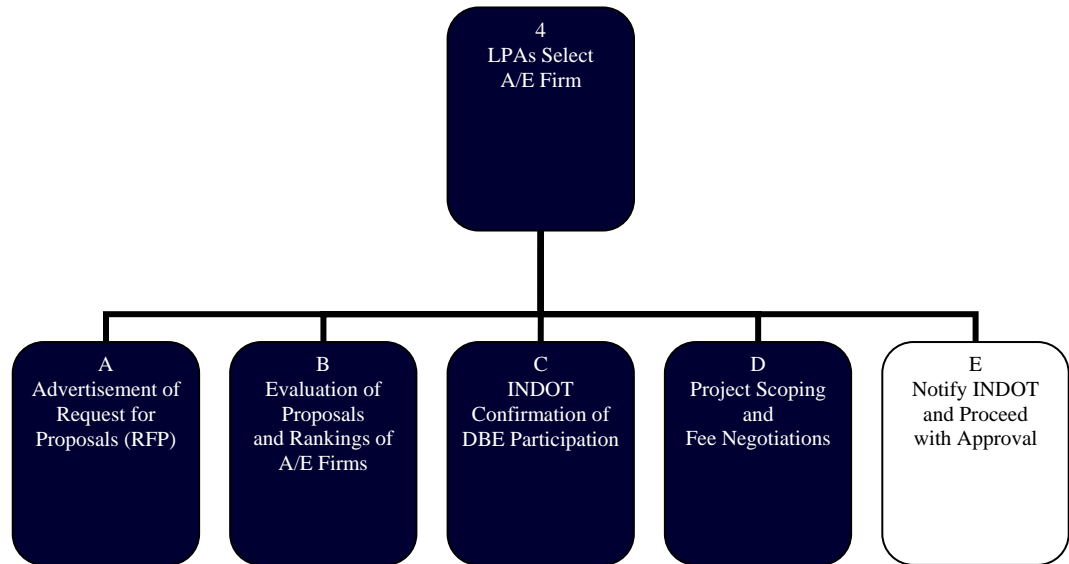
<b>A</b>	<b>B</b>
The LPA conducts negotiations alone following INDOT and Federal guidelines. INDOT will review the cost and terms to verify guideline compliance and price reasonableness.	INDOT LPA program managers assist the LPA with negotiations upon request.

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# Notify INDOT and Proceed with Approval

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Figure 8 - Notify INDOT and Proceed with Approval



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## Overview

To notify INDOT and proceed with approval is the final step in the selection of an A/E firm for Transportation Enhancement (TE), road, and bridge projects using Federal funds as a match for A/E costs. There are four components of this final step:

1. Collection of documentation
2. Notification to INDOT
3. INDOT reviews and requests Federal authorization of the project. If costs will be used as a match credit, a Federal advanced construction project authorization will be established with a zero dollar amount.
4. INDOT's sending of a 'Notice to Proceed' letter to the LPA

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## Notify INDOT and Proceed with Approval, Continued

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### **1. Collection of Documentation**

So that the LPA can respond quickly and accurately to disputes with consultants, internal and external audits, the State's fiscal control agencies, the Legislature and the public, it is critical to keep thorough and accurate records. The LPA shall collect and gather documentation to give to INDOT for approval to proceed. INDOT will provide a checklist of all needed documents.

The following lists are examples of the pertinent documents:

*Documents to be gathered by INDOT:*

- DBE goal
- Copy of the Project Coordination Agreement between the LPA and the INDOT
- Federal-aid Application form

*Documents to be provided by the LPA:*

- Individual selection score sheets and scoring tabulation sheet with signature of agency representative
- Copy of advertisement
- Copy of the contract between the LPA and the A/E firm

All other documents must be maintained by the LPA through the life of the project, including the individual signed score sheets.

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### **2. & 3. Notification to INDOT & Federal Authorization**

The LPA sets up a meeting with INDOT. At this meeting, INDOT will review the documents for completeness and compliance. INDOT will then request approval of Federal funds.

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### **4. INDOT Sends 'Notice to Proceed' Letter**

Upon approval, INDOT sends the LPA the Notice to Proceed.

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# Appendix A – Sample INDOT’s Selection Rating Sheet

Selection Rating for RFP- No. \_\_\_\_\_, Item No. \_\_\_\_

Consultant Name: \_\_\_\_\_

Services Description: \_\_\_\_\_

Evaluation Criteria to be Rated by Scorers					
Category	Scoring Criteria	Scale	Score	Weight	Weighted Score
Capacity of Team to do Work	<b>Evaluation of the team's personnel and equipment to perform the project on time.</b>			20	0
	Availability of more than adequate capacity that results in added value to INDOT.	1			
	Adequate capacity to meet the schedule.	0			
	Insufficient available capacity to meet the schedule.	-1			
Team's Demonstrated Qualifications	<b>Technical expertise: Unique Resources that yield a relevant added value or efficiency to the deliverable.</b>			15	0
	Demonstrated outstanding expertise and resources identified for req'd services for value added benefit.	2			
	Demonstrated high level of expertise and resources identified for req'd services for value added benefit.	1			
	Expertise and resources at appropriate level.	0			
	Insufficient expertise and/or resources.	-3			
Project Manager	<b>Predicted ability to manage the project, based on: experience in size, complexity, type, subs, documentation skills.</b>			20	0
	Demonstrated outstanding experience in similar type and complexity.	2			
	Demonstrated high level of experience in similar type and complexity.	1			
	Experience in similar type and complexity shown in resume'.	0			
	Experience in different type or lower complexity.	-1			
	Insufficient experience.	-3			
Approach to Project	<b>Project Understanding and Innovation that gives INDOT cost and/or time savings.</b>			15	0
	High level of understanding and viable inovative ideas proposed.	2			
	High level of understanding of the project.	1			
	Basic understanding of the project.	0			
	Lack of project understanding.	-3			
<b>Weighted Sub-Total</b>				<b>0</b>	<b>0</b>

The scores assigned above represent my best judgement of the consultant's abilities for the rating categories. Signed: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

Evaluation Ratings to be Assigned from Office of Contracts Data Sources					
Category	Scoring Criteria	Scale	Score	Weight	Weighted Score
Disputes	<b>Outstanding Agreement Disputes.</b>			20	0
	No outstanding unresolved agreement disputes > 3 mos. old.	0			
	Outstanding unresolved agreement disputes more than 3 mos. old.	-3			
Location	<b>Location of assigned staff office relative to project.</b>			5	0
	Within 50 mi.	1			
	51 to 150 mi.	0			
	151 to 500 mi.	-1			
	Greater than 500 mi.	-2			
	For 100% state funded agreements, non-Indiana firms.	-3			
Past Performance	<b>Performance evaluation score averages from historical performance data.</b>				
	Quality score for similar work from performance database.			6	0
	Schedule score from performance database.			3	0
	Responsiveness score from performance database.			1	0
	*Budget score from performance database.			N/A	
	*Constructability score from performance database.			N/A	
<b>Weighted Sub-Total</b>				<b>0</b>	<b>0</b>

For categories that are not relevant to the particular item being evaluated leave the category score as N/A. This is to be as documented in the RFP.

\* Only applicable for transportation project development contracts. Data not available yet.

**Weighted Total** 0

Consultant Name: \_\_\_\_\_ Services Description: \_\_\_\_\_

Evaluation Criteria to be Rated by Scorers					
Category	Scoring Criteria	Scale	Score	Weight	Weighted Score
Past Performance	<b>Performance evaluation score averages from historical performance data.</b>				
	Quality score for similar work from performance database.			6	0
	Schedule score from performance database.			3	0
	Responsiveness score from performance database.			1	0
Capacity of Team to do Work	<b>Evaluation of the team's personnel and equipment to perform the project on time.</b>				
	Availability of more than adequate capacity that results in added value to INDOT.	1		20	0
	Adequate capacity to meet the schedule.	0			
	Insufficient available capacity to meet the schedule.	-1			
Team's Demonstrated Qualifications	<b>Technical expertise: Unique Resources that yield a relevant added value or efficiency to the deliverable.</b>				
	Demonstrated outstanding expertise and resources identified for req'd services for value added benefit.	2		15	0
	Demonstrated high level of expertise and resources identified for req'd services for value added benefit.	1			
	Expertise and resources at appropriate level.	0			
	Insufficient expertise and/or resources.	-3			
Project Manager	<b>Predicted ability to manage the project, based on: experience in size, complexity, type, subs, documentation skills.</b>				
	Demonstrated outstanding experience in similar type and complexity.	2		20	0
	Demonstrated high level of experience in similar type and complexity.	1			
	Experience in similar type and complexity shown in resume.	0			
	Experience in different type or lower complexity.	-1			
	Insufficient experience.	-3			
Approach to Project	<b>Project Understanding and Innovation that provides cost and/or time savings.</b>				
	High level of understanding and viable innovative ideas proposed.	2		15	0
	High level of understanding of the project.	1			
	Basic understanding of the project.	0			
	Lack of project understanding.	-3			
Location	<b>Location of assigned staff office relative to project.</b>				
	Within 50 mi.	1		5	0
	51 to 150 mi.	0			
	151 to 500 mi.	-1			
	Greater than 500 mi.	-2			
<b>Weighted Sub-Total:</b>					0

It is the responsibility of scorers to make every effort to identify the firm most capable of producing the highest quality deliverables in a timely and cost effective manner without regard to personal preference.

I certify that I do not have any conflicts of interest associated with this consultant. (A definition of conflicts of interest of concern may be found in IC 4-2-6-9.)

I have thoroughly reviewed the letter of interest for this consultant and certify that the above scores represent my best judgment of this firm's abilities.

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_





# Appendix D – Sample Affirmative Action Certification

Request for Proposals No. \_\_\_\_\_  
Item No. \_\_\_\_\_

## AFFIRMATIVE ACTION CERTIFICATION

I do hereby certify that it is the intention of my company to affirmatively seek out and consider DBEs certified in the State of Indiana, to participate as part of this proposal. (For listing of DBE certified firms, see [www.in.gov/dot/div/legal/DBE/dbe\\_list.xls](http://www.in.gov/dot/div/legal/DBE/dbe_list.xls).)

I understand and agree that all subconsulting in connection with this proposal, whether undertaken prior to or subsequent to the notice to proceed, shall be in accordance with the requirements for the Disadvantaged Business Enterprise Program, included elsewhere in this RFP. I understand and agree that no subcontracting shall be approved or commenced until the Department of Transportation has reviewed and approved the affirmative actions taken by my company or me.

I understand that utilization of certified DBEs is in addition to all other equal employment requirements of this RFP.

I acknowledge that this certification is to be made an integral part of this proposal.

I understand and agree that the submission of a blank certification may cause the proposal to be rejected.

I hereby certify that contact has been made with the certified DBEs listed in this certification, and that, if my company becomes the CONSULTANT, the certified DBEs have tentatively agreed to perform the services listed below.

I understand that neither my company nor I will be penalized for amounts achieved over or under the amount shown for **voluntary** DBE utilization that exceeds the goal.

After contract award, any change to the firms listed in this Affirmative Action Certification under race/gender conscious must have prior approval by INDOT's Economic Opportunity Section, Central Office.

## SUBCONSULTANTS

### DBE SUBCONSULTANTS TO BE APPLIED TOWARD GOAL (RACE/GENDER CONSCIOUS)

<u>Certified DBE Name &amp; Address</u>	<u>Service Planned</u>	<u>Planned percentage to be paid to DBE</u>
---	------------------------	---

### DBE SUBCONSULTANTS TO BE USED BEYOND GOAL (RACE/GENDER CONSCIOUS)

<u>Certified DBE Name &amp; Address</u>	<u>Service Planned</u>	<u>Planned percentage to be paid to DBE</u>
---	------------------------	---

Total Dollar Amount Credited toward DBE Goal (Race/Gender Conscious): \_\_\_\_\_

Total Dollar Amount of Voluntary DBE Work Anticipated over DBE Goal (Race/Gender Neutral): \_\_\_\_\_

Name of Company: \_\_\_\_\_

By: \_\_\_\_\_ Date: \_\_\_\_\_

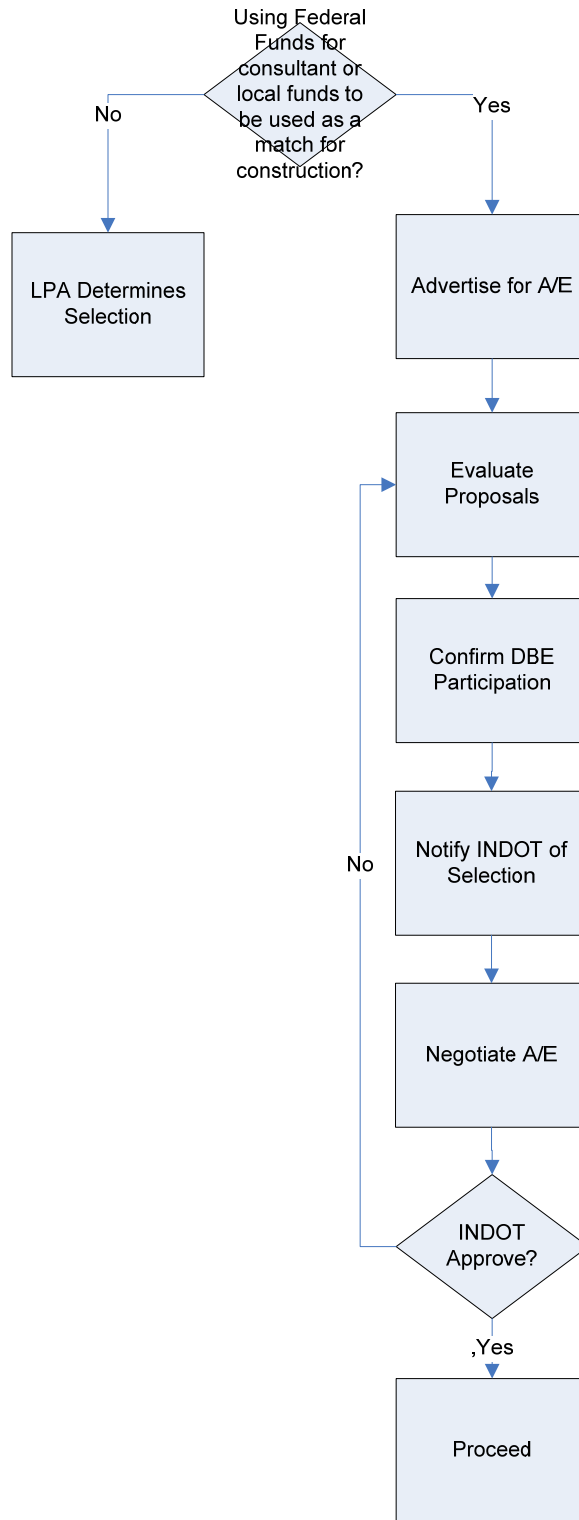
## Appendix E – Responsibility Chart

This chart defines the responsibilities of the LPA and INDOT

<b>Primary Task</b>	<b>INDOT</b>	<b>LPA</b>
Post Advertisement	INDOT shall assist as requested	X
Request DBE goal from INDOT	X	X
Receive Letters of Interest		X
Prescreen Letters of Interest <sup>1</sup>		X
Evaluate Letters of Interest based upon selected criteria		X
Select 3-4 firms for interviews for final selection		X
Select firm for negotiations		X
Confirm DBE Participation	X	
Enter into discussions regarding scope with selected firm	INDOT shall assist as requested	X
Enter into financial negotiations with selected firm. If an agreement cannot be reached, the LPA begins again with the second ranked firm.	INDOT shall assist as requested	X
Notify INDOT and proceed	X	X

<sup>1</sup> Optional step

# Appendix F – Draft High Level Process Flow



## Appendix G – Outreach Session Participants

Bill Williams

KD Benson

David Bottorf

John Beery

Steve Ruble

Bill Goffinet

Mike Harmless

John Weaver

Jeff Clanton

Mike Fitch

Pat Goodwin

Mark Doblou

Nancy Michael

Mark Ahearn

Fred Armstrong

Bill Haan

Mark Dobson

Brad Davis

Allen McFeaqrin

Greg Henneke

Kent Anderson

John Speidel

Andrew Fitzgerald

Jeanette Wilson

Corey Carr

Jim Turner

Brett N. Cating

Glen Morrow

Dick Hickman

Clara McCarty

Martha Kenley

Larry Loveall