Driving Indiana’s Economic Growth

Architectural and Engineering Firm Selection Process for LPAs
QBS Regulations & Policies

- Title 40 USC, Chapter 10, Subchapter VI “Brooks Act”
- Title 49 USC, Subtitle A, Part 18, Subpart C, Section 18.36 – “Uniform Administration Requirements for Grants and Cooperative Agreements to State and Local Governments” “Common Rule”
- Title 23, Chapter 1, Subchapter 1, Section 112 “Letting of Contracts”
- 23 CFR Part 172 – “Administration of Engineering and Design Related Services Contracts” (Revised 06/12/02)
- FHWA Revised Guidance, Issued on 10/23/02.
QBS – Applicability

- Applies to Design Work that is Federally funded or State/Local funded as Match for Federal funds as follows:
  - Program Management
  - Construction Management
  - Feasibility Studies
  - Preliminary Engineering
  - Design
  - Engineering
  - Surveying
  - Mapping
  - Architectural Related Services
QBS – INDOT Responsibilities

- INDOT must develop Written Procedures that will be reviewed and approved by FHWA.
- INDOT shall **ENSURE** that sub-recipients comply with **ALL** Federal Requirements.
  - SAFETEA-LU Section 1904 makes INDOT responsible for Ensuring that:
    - LPAs have adequate Project Delivery Systems for projects.
    - LPAs have sufficient Accounting Controls to properly manage Federal Funds.
- INDOT may require LPAs to follow the approved INDOT procedures or allow LPAs to develop written procedures, however, INDOT must review and approve LPA procedures, monitor and ensure compliance, including rescinding funds if necessary.
QBS – Required Elements

- Written Procedures must Include:
  - How the project Scope of Work is developed
  - How the Evaluation Factors are developed
  - How costs for services are estimated
  - Ensure that a public advertisement occurs that ensures that In-State and Out-of-State consultants are given fair opportunity to compete
  - Ensure that proposals are evaluated and Ranked in order of priority (1, 2, 3)
QBS – Required Elements

- Ensure that an audit from another Cognizant Agency is accepted (Federal or State Agency), or one is conducted.
- Ensure that negotiations commence with the highest qualified firm in an attempt to reach an agreed upon fair and reasonable price.
- Ensure that if the Agency is unable to reach agreement, negotiations with #1 firm will be terminated and negotiations will commence with the #2 firms, etc.
QBS – Required Elements

- Ensure that the consultant’s work is monitored and evaluated when the work is completed.
- Ensure that the Disadvantaged Business Enterprise (DBE) program provisions are applied to INDOT & LPA Contracts.
- Ensure that preferences are not included, such as:
  - In-State preferences (Buy-Indiana)
  - Locality preferences
  - Indiana M/WBE Programs
- Ensure that costs are not allowed as a criterion during the evaluation phase of the selection process.
QBS – When Required?

- Federal Funds to be used as reimbursement for PE, R/W, CE
- 100% local funds for PE and/or R/W services to be used as credit
- Not required if PE, R/W or CE 100% local funds (even if FHWA funds in CN)
INDOT Prequalification

- Legal & financial prequalification required for all consultants and subconsultants
  - Registered with Sec’y of State
  - Verification of Liability Insurance
  - Acceptable / auditable accounting system

- Technical prequalification required for 47 defined work categories
INDOT Prequalification Info

- Doing Business with INDOT – Consultants
- Prequalification requirements
- Prequalified firms list
What is a DBE?

- Disadvantaged Business Enterprise
  - Federal Program, 49 CFR Part 26
- Firms owned by socially and economically disadvantaged individuals
- Indiana’s program administered by INDOT’s Economic Opportunity Division
Finding LPA Resource Info
Finding LPA Resource Info
Local Public Agencies Webpage

- Information
- Local Program Agency Project List
  - Local Federal Aid Projects by County June 6, 2007 *
  - Local Federal Aid Projects by County June 6, 2007 (printable-by-county version)
- Local Public Assistance PDP *
- Funding Information
- Local Public Agency Planning
- Local Public Agency Project Development
- Consultant Selection, LPA RFP
- Force Account (Local Forces) Information
- Local Public Agency Contract Information
LPA Consultant Selection

- **Consultant Selection**
- LPA RFP's Currently Advertised
- LPA RFP's Archive
  - Approval Letter from FHWA dated March 30, 2007
- Request for Proposal Template (RFP Template) (Updated June 28, 2007)
- LPA Consultant Selection Rating Sheet
- LPA Consultant Selection Scoring Tabulation Sheet
- LPA Consultant Selection Scoring Tabulation Sheet (optional form totaling by rank)
- RFP PowerPoint Presentation
- DBE Information *
  - DBE Contact Information: mkenley@indot.in.gov
Advertisement

- Template on LPA Selection webpage
- Project description and scope
- Qualification requirements
  - If INDOT prequalification not specified consultant financial review may be req’d
- Selection Criteria
Advertisement, cont’d

- Due Date
- Point of Contact
- DBE Goal
  - Economic Opportunity Division must be contacted to set goals
- Posting of advertisement
Evaluation and Ranking

- Evaluation must be done using advertised scoring forms
  - Excel template on webpage
- Typically 3 to 5 Scorers
- Performance data available from INDOT
- Scores tabulated and ranked
  - Excel tabulation templates on webpage
Verification of Procedure Compliance

- LPA documentation to INDOT for approval
  - Scoring and ranking documentation
  - Consultant DBE affirmative action certification
- INDOT verifies QBS ranking procedure followed and DBE requirements met
### Selection Evaluation Form

**Selection Rating for RFP:** ______________________________

**Consultant Name:**

**Services Description:**

#### Evaluation Criteria to be Rated by Scorers

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

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

- **Title:**
- **Date:**

*If a custom form is to be used the location score component may be no more than 5% of the total range of possible scores.*
## Selection Tabulation Form

**RFP Scoring Tabulation for RFP:** 07-01  
**Item No.:** 1  
**Item Title:** SR 29 Road Reconstruction  
**No. of Firms Recommended to be selected:** 1

<table>
<thead>
<tr>
<th>#</th>
<th>Consultant Names</th>
<th>Rank</th>
<th>Paste Here Name 1</th>
<th>Paste Here Name 2</th>
<th>Paste Here Name 3</th>
<th>Paste Here Name 4</th>
<th>Paste Here Name 5</th>
<th>Rank Scores Total</th>
<th>Ranking</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>A Engineers, Inc.</td>
<td>1</td>
<td>80</td>
<td>1</td>
<td>70</td>
<td>2</td>
<td>80</td>
<td>1</td>
<td>5</td>
</tr>
<tr>
<td>2</td>
<td>E Architects &amp; Engineers, Inc.</td>
<td>2</td>
<td>80</td>
<td>1</td>
<td>70</td>
<td>2</td>
<td>70</td>
<td>2</td>
<td>7</td>
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<tr>
<td>3</td>
<td>C and Associates, Inc.</td>
<td>3</td>
<td>70</td>
<td>3</td>
<td>80</td>
<td>1</td>
<td>60</td>
<td>2</td>
<td>9</td>
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<tr>
<td>4</td>
<td>B Consultants, Inc.</td>
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<td>4</td>
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<td>5</td>
<td>50</td>
<td>4</td>
<td>17</td>
</tr>
<tr>
<td>5</td>
<td>D Consulting Engineers, Inc.</td>
<td>5</td>
<td>30</td>
<td>5</td>
<td>50</td>
<td>4</td>
<td>40</td>
<td>5</td>
<td>18</td>
</tr>
</tbody>
</table>

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**Scoring Team Leader Signature:**  
**Title:**  
**Date:**  

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[Contract Administration]