



INDIANA DEPARTMENT OF TRANSPORTATION

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INDOT Consultant Performance Evaluation Guidelines

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Performance Evaluation Rating Criteria Standards

INDOT will evaluate the performance of a consultant’s work at the time of submittal of each deliverable and at other times as appropriate. The standard performance criteria and ratings are as follows:

Rating	Score	Standard Description
Exceeds	+2	Work performance substantially higher than standard and that results in added value to INDOT
Above Average	+1	Above standard work performance with no errors
Satisfactory	0	At standard work performance with no errors or only a few minor errors that can be easily corrected
Improvement Required	-1	Below standard work performance with many minor errors
Unsatisfactory	-2	Performance substantially below standard due to a major error or extensive minor errors

Attributes of the INDOT Performance Evaluation Process

- Evaluation scores are entered via online PSCS (Professional Services Contracting System) application by reviewers
- Firms can view their own data in real-time via ITAP (INDOT Technical Applications Pathway)
- Evaluations will be collected on the basis of Performance Types. Examples are:
 - Air Quality Analysis
 - Environmental Document
 - Project Management
 - Roadway Design
- New Performance Types can be created within the application as needed and the criteria for existing performance types can be edited
- Criteria and data is categorized as follows:
 - Quality
 - Schedule
 - Responsiveness
 - Budget
 - Constructability
- Score averages can be auto-applied to consultant selection scoresheets on the basis of performance types using editable date range rules for each type
- Multiple performance types may be selected for an RFP item with applicable percentage values that total 100%
- Data reports can be viewed by selection scorers via link in each scoresheet. Scorers are able to view reports of responsible persons, such as project managers, and are able to view reports of the lead consultant and subconsultants.

New Performance Evaluation Process Rules

- Resubmittals will not be evaluated
- All evaluations will be associated with a firm responsible for the deliverable and with a responsible person from the firm
- Scores associated with deliverables prepared by subconsultants will be credited to both the subconsultant and to the lead firm

Access to the PSCS Performance Evaluation Application via ITAP

1. Access:

- a. Click the following link: <http://www.in.gov/indot/>
- b. Click “[Doing Business with INDOT](#)” from the menu on the left.
- c. From the “[Consultants/Pre-Construction](#)” drop-down menu, click [Proposals and Contracts](#).
- d. Click the link entitled: [ITAP \(INDOT Technical Applications Pathway: RFP Submittals, Performance Evaluation System, etc.\)](#)

2. Users with an ITAP User ID and Password:

- a. Login to ITAP
- b. ITAP Home Screen: Click the link at the bottom of the screen, entitled “[Click here to request a new application](#)”.
- c. Click the “+” sign to the left of “[Professional Services Contracting System](#)”.
- d. Click on the words “[Performance Evaluation](#)”.
- e. “Submit” your request from the “[Application Details](#)” box, on the right-hand side of the screen.

3. Users without an ITAP User ID and Password:

- a. Access the ITAP screen, as noted in Step 1 above.
- b. Please click on the appropriate link at the bottom of the screen, directly below the login box.
- c. Once the User ID has been assigned and a Password selected, proceed with Step 2 above.

4. Training Videos List:

- a. The “Training Videos List” is one of the selections from the ITAP home page. The videos demonstrate the various ITAP functions and will be helpful to all users.

Using the PSCS Performance Evaluation Application

1. Reports

- a. For list of all evaluations, Select “Reports”, “Details Report”, then “All Performance Type”.
- b. For individual evaluations Select “Evaluations” then “My Evaluations” or perform search from home screen.
- c. For performance criteria, Select “Reports”, “Details Report”, then “All Performance Type” “Performance Criteria Report”, then pick the performance type.

2. Refresh the Screen

- a. Click on the word “Home” in the menu box on the left side of the screen.
- b. Click on the picture of the house/home, in the upper left-hand corner of the screen.

3. PSCE Performance Evaluation Application Help

- a. Click on the picture with the question mark (?) next to the envelop in the upper left-hand corner of the Performance Evaluation screen, just below the PSCS logo to open an online help document for the PSCS Performance Evaluation application.

4. Contact us:

- a. Please click the picture of the “envelope” in the upper left-hand corner of the Performance Evaluation screen, just below the PSCS logo. If you hover the mouse over the envelope you’ll see the phrase: “Contact PSCS Admin”.

Responsible Persons

Each evaluation is to be associated with a person in responsible charge of the evaluated services or deliverable. This may not be the person that performed the actual services, but should be the person with proper licensing and certifications who either performed the services or who performed oversight and will take responsibility for the end product. In the case of engineering plans that would be the person who will be signing the completed plans. Consultants who submit deliverables for review shall clearly indicate responsible persons within submittal documentation.

Examples of required certifications for specific performance types:

- Deliverables related to Bridge Design, Bridge Inspection, Bridge Rehabilitation, Hydraulics, Roadway Design, etc., must have Indiana Professional Engineers identified as responsible persons.
- Environmental Document deliverables must have responsible persons identified with Certification of completion of INDOT’s NEPA training and appropriate refresher courses.

Maintenance of Responsible Persons List

The available responsible persons list is to be maintained by the consultant’s primary contact for prequalification. When a reviewer is performing an evaluation and the consultant has identified a responsible person that is not available on the PSCS responsible person list the reviewer is allowed to add a name to the list and move forward with the evaluation. Names added to the list by reviewers will need to be verified by the primary contact and additional licensing and identification information will need to be added.

Performance Evaluation Appeal Process

When a responsible person or firm disagrees with a performance evaluation rating there are three opportunities for appeal.

1. The first option for appeal is to the reviewer who performed the evaluation. It is appropriate to contact the reviewer first if there is concern that a rating is in error based on statement of fact, e.g. something was missed. If a reviewer is convinced that a rating

was given in error the reviewer will need to request that the evaluation approver return the evaluation to review status or cancel the evaluation.

2. The second option for appeal is to the evaluation approver. It is appropriate to contact the approver if there is concern regarding reviewer interpretation of evaluation criteria or facts.
3. The last option for appeal is to the performance type owner. Appeals to performance type owners must be made in writing via email or letter and must provide a detailed argument and documentation justifying reconsideration of the evaluation scoring. Appeals to performance type owners must be copied to the applicable INDOT Project Manager.
 - E.g. Performance Type Owners:
 - Bridge Design – Director of Bridges
 - Environmental – Director of Environmental Services
 - Letting Documents – Director of Contract Administration
 - Roadway Design – Director of Highway Design
4. Appeal Deadline is thirty (30) days from Performance Evaluation Approval Date.
5. On approved evaluations, the evaluated person/firm may click **Evaluated Person/Firm Comments**



icon to enter or view comment details from the Evaluated Person or Firm. The Evaluated Person/Firm can enter comments by typing in the Comments text box and clicking Save. Click Cancel to return to the Search Results table without adding a comment. If saving a comment, an email will be sent to the Reviewer and Approver notifying them a comment has been added.

A comment may be made by the evaluated person as long as they are still with the firm on which the evaluation was performed, and by any member from the firm on which the evaluation was performed.

Application of Performance Data for Selection Scoring

Performance data will be applied for selection scoring as INDOT determines that performance type datasets include a sufficient number of evaluation records that are reasonably reflective of actual performance. Performance types to be applied for a specific item will be indicated in the RFP.

The standard rule for determining the applicable dataset will be evaluations completed within four years of the RFP letter of interest due date, but no more than the most recent 20 evaluations. When implementing new performance types INDOT may apply a starting date for the dataset to eliminate evaluations performed during a pilot period. E.g. The starting date for the Letting Documents performance type is 7/1/2013.

Performance data used in selection scoring for RFPs advertised through calendar year 2015 has been based on the historical record of the submitting firm and evaluation of deliverables completed by their subconsultants. Beginning with the January 2016 RFP historical performance data applied will be based on the historical record of the lead firm identified for each applicable prequalification worktype. E.g. submitting firm A identifies subfirm B as lead

for Environmental Document, the Environmental Document performance data applied will come from subfirm B. Data for performance types not directly associated with prequalification worktypes will come from the record of the submitting firm. E.g. Project Management for Project Delivery, Letting Documents.

Subconsultant Evaluations

An evaluation for a Subconsultant will only be given if the Sub-Consultant submits a request. This request must be submitted to the Manager of Highway Review or Manager of Bridge Design or other performance type owner during the performance of services.

For design evaluations the subconsultant must submit signed calculations and stamped plan sheets to be eligible. Evaluations will only be given for types of work that INDOT might let a standalone contract for, i.e., Road Reconstruction, Intersection Improvement, Bridge Replacement, Bridge Rehabilitation, Sign Replacement, etc. Types of work such as MOT, Erosion Control, Pavement markings, etc., would not be enough to justify an evaluation. Other types of work not listed here must have the approval of the Director of Highway Design or Director of Bridges to be declared eligible for an evaluation.

Performance type descriptions

Performance Type	Evaluator	Responsible Person to be Evaluated	What is to be Evaluated	When are Evaluations to Occur
Air Quality Analysis	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Archaeological Investigations	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Bridge Design	INDOT or Review Consultant Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Design Plans, Document or Report	At each document submittal
Bridge Inspection	INDOT	Consultant or INDOT Individual Responsible for Deliverable	Bridge Inspection Testing Analysis and Report	Upon activity completion for INDOT bridges

Performance Type	Evaluator	Responsible Person to be Evaluated	What is to be Evaluated	When are Evaluations to Occur
Bridge Rehabilitation	INDOT or Review Consultant Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Design Plans, Document or Report	At each document submittal
Construction Inspection	INDOT Area Construction Engineer	Project Engineer/Supervisor	Inspection Performance and Final Record	At Substantial Completion and at Final Record Complete
Enhancement Non-Trail Project	INDOT Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Design Plans, Document or Report	At each document submittal
Enhancement Trail Project	INDOT Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Design Plans, Document or Report	At each document submittal
Environmental Document	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Environmental Site Assessments (ESA)	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
General Consultant Services	INDOT Contract Owner	Consultant or INDOT Individual Responsible for Deliverable	Contract Services	Annually, at time of deliverable or at contract end
Geotechnical Engineering	INDOT Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Report and Services	At each document submittal

Performance Type	Evaluator	Responsible Person to be Evaluated	What is to be Evaluated	When are Evaluations to Occur
Historic/Architectural Investigations	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Hydraulics	INDOT Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Design Plans, Document or Report	At each document submittal
INDOT Project Manager Letting Documents	INDOT Contract Administration Reviewer	INDOT Project Manager	Letting Document Package	At receipt of letting documents
Karst Studies	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Letting Documents	INDOT Contract Administration Reviewer	Consultant or INDOT Individual Responsible for Letting Documents	Letting Document Package	During letting process
Mitigation	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Mitigation Monitoring Report	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Noise Abatement Plans	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal

Performance Type	Evaluator	Responsible Person to be Evaluated	What is to be Evaluated	When are Evaluations to Occur
Noise Analysis	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Permits: Rule 5, 401/404 Permits, DNR Construction in a Floodway, Other	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Project Management for Project Delivery	INDOT Project Manager Or INDOT Consultant Services Manager	Consultant Project Manager Or INDOT Project Manager	Delivery of a project in progress to construction letting	For INDOT projects at each major project milestone and annual/special times as deemed appropriate by the PM, for LPA projects only at Final Tracings
Project Management for Specialty Services	INDOT Specialty Services Reviewer	Consultant Project Manager	Delivery of services and deliverables associated with specialty contracts that do not include letting documents	At each document submittal
R/W Appraisal	INDOT Real Estate Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Real Estate Documents and Services	At each document submittal
R/W Appraisal Review	INDOT Real Estate Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Real Estate Documents and Services	At each document submittal

Performance Type	Evaluator	Responsible Person to be Evaluated	What is to be Evaluated	When are Evaluations to Occur
R/W Negotiation	INDOT Real Estate Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Real Estate Documents and Services	At each document submittal
R/W Plan Development	INDOT Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	R/W Plans and Documents	At each document submittal
R/W Relocation	INDOT Real Estate Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Real Estate Documents and Services	At each document submittal
Roadway Design	INDOT or Review Consultant Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Design Plans, Document or Report	At each document submittal
Section 106	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Threatened and Endangered Species	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal
Traffic - Signal, Sign & Lighting	INDOT Technical Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Design Plans, Document or Report	At each document submittal
Wetland Delineation/Waters Determination	INDOT Environmental Reviewer	Consultant or INDOT Individual Responsible for Deliverable	Environmental Report or Document	At each document submittal