



INDIANA DEPARTMENT OF TRANSPORTATION

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
- Consultants 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 Sub-Consultants.
- Resubmittals will not be evaluated

- All evaluations will be associated with a Consultant responsible for the deliverable and with a responsible person from the Consultant
- Scores associated with deliverables prepared by Sub-Consultants will be credited to both the Sub-Consultant and to the lead Consultant
- Reviewers should only be evaluating the Performance Type that pertains to the submittal or deliverable that you are responsible for reviewing. For example, Project Managers will do evaluations for Performance Type: Project Management for Project Delivery.
- Reviewers should not be approving their own evaluations. Evaluations need to be approved by your supervisor. Right-of-Way evaluations are the only exception and if a negative score is given, then your supervisor must approve the evaluation.
- It is recommended that the reviewer provide comments on evaluations that are given a score above or below satisfactory.

Access to the PSCS Performance Evaluation Application via ITAP

1. Access:

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

2. Users with an ITAP User ID and Password:

- Login to ITAP
- ITAP Home Screen: Click the link at the bottom of the screen, entitled “[Click here to request a new application](#)”.
- Click the “+” sign to the left of “[Professional Services Contracting System](#)”.
- Click on the words “[Performance Evaluation](#)”.
- “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:

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

4. Training Videos List:

- 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 the blank space for “All Performance Types”.
- b. For individual evaluations Select “Evaluations” then “My Evaluations” or perform a search from the home screen.
- c. For performance criteria, Select “Reports”, “Performance Criteria Report”, then pick the performance type and phase.


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. PSCS Performance Evaluation Application Help

- a. Click on the picture with the question mark (?) next to the envelope 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. 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 will see the phrase: “Contact PSCS Performance Evaluation support.”

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 Consultant Comment Process

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

1. The first option for Consultant Comment 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 Consultant Comment 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 Consultant Comment is to the performance type owner. Consultant Comments 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. Consultant Comments 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. Consultant Comment Deadline is thirty (30) days from Performance Evaluation Approval Date.
 5. On approved evaluations, the evaluated person/Consultant may click **Evaluated Person/Consultant**

Comments  icon to enter or view comment details from the Evaluated Person or Consultant. The Evaluated Person/Consultant 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.

The evaluated person currently employed with the Consultant or any employee from the evaluated Consultant can make a comment. Only one comment can be made from the Consultant.

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 thru calendar year 2015 has been based on the historical record of the submitting Consultant and evaluation of deliverables completed by their Sub-Consultants. Beginning with the January 2016 RFP historical performance data applied will be based on the historical record of the lead Consultant identified for each applicable prequalification worktype. E.g. submitting Consultant A identifies Sub-Consultant B as lead for Environmental Document, the Environmental Document performance data applied will come from Sub-Consultant B. Data for performance types not directly associated with prequalification worktypes will come from the record of the submitting Consultant. E.g. Project Management for Project Delivery, Letting Documents.

Substandard performance notifications will be emailed quarterly to consulting firms identified as underperformers on the INDOT Performance Evaluation Executive Statistics Report. The notification will include a copy of the Details Report for that time period and performance type. Consulting firms should review the information provided and coordinate with INDOT's performance type owner within 10 days, if they have not already done so, to develop a corrective action plan. Substantially substandard performance ratings may affect future prequalification decisions for the applicable worktypes. INDOT reserves the right to deny prequalification and to revoke, suspend, or otherwise alter the terms of a consultant's prequalification based on poor performance or other appropriate grounds under the procedures set forth in Section I of the prequalification manual.

Sub-Consultant Evaluations

An evaluation for a Sub-Consultant 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 owners during the performance of services.

For design evaluations the Sub-Consultant 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 |
| 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 |

| Performance Type | Evaluator | Responsible Person to be Evaluated | What is to be Evaluated | When are Evaluations to Occur |
|---|--|--|----------------------------------|---|
| 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 |
| 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 |

| Performance Type | Evaluator | Responsible Person to be Evaluated | What is to be Evaluated | When are Evaluations to Occur |
|---|--|--|----------------------------------|--------------------------------------|
| 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 |
| 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 |

| Performance Type | Evaluator | Responsible Person to be Evaluated | What is to be Evaluated | When are Evaluations to Occur |
|---|--|---|---|---|
| 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. PM evaluations will be performed for applicable project submittal stages for lead consultants or subconsultants responsible for submitting construction contract PS&E documents to INDOT. One evaluation will be performed per consultant, per applicable submittal phase, per construction contract. |

| Performance Type | Evaluator | Responsible Person to be Evaluated | What is to be Evaluated | When are Evaluations to Occur |
|---|---|--|---|--------------------------------------|
| 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 |
| 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 |

| Performance Type | Evaluator | Responsible Person to be Evaluated | What is to be Evaluated | When are Evaluations to Occur |
|--|------------------------------|--|----------------------------------|--------------------------------------|
| 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 |