

**Arizona Department of Transportation
ENGINEERING CONSULTANTS SECTION (ECS)**

CONSULTANT EVALUATION PROGRAM GUIDELINES

Introduction & Purpose

The Consultant Evaluation Program is a program administered by ECS as a means for ADOT to monitor and evaluate the quality of work performed on engineering consultant contracts. A positive approach to the program assures that project schedule, cost, and quality of design and construction are attainable. This assures that potential problems that may impact other projects or the 5-Year Construction Program are identified and resolved in a timely manner.

All engineering consultant contracts shall be evaluated annually based on the Notice to Proceed (NTP) anniversary date by the ADOT staff assigned to the contract, including the ADOT PM, other Technical groups, ECS staff, etc., in accordance with applicable contract provisions. In addition to annual evaluations, a final consultant evaluation must be conducted at the end of all engineering consultant contracts.

Implementation Timeline

This evaluation program will be effective for all ECS contracts with a Notice to Proceed (NTP) date of July 1, 2010 or later. Annual evaluation using this program will be conducted on contracts which were NTPed before July 1, 2010, but the results will not affect consultant selection.

Uses for Consultant Evaluation

Consultant Evaluations will be used for the following purposes:

1. To identify consultant performance strengths and weakness, as well as help identify, document and resolve performance issues as needed.
2. As one factor or criterion in the selection process for subsequent contracts. Final evaluations for contracts executed after **July 1, 2010** will be used as part of the selection process. Up to 5 points may be deducted from a consultant score during the selection process for **final** evaluation ratings of less than 3 (average performance) on performance factors of evaluation for projects a firm has completed for the Department over a three year time period.

Evaluation history to be used for selection will include evaluation scores encompassing the most current three-year period at any given time. The three-year evaluation history will be maintained for firm contracts executed after July 1, 2010. For example, a firm's evaluation history in FY 2013 would include scores from FY 2011 through FY 2013, in FY 2014, the evaluation history would include FY 2012 through FY 2014.

ECS will deduct points from the scores of submitted Statements of Qualifications (SOQ) for each firm based on performance rating as follows:

Performance rating of 1 or 2 on 1-2 evaluation factors	-1 Point
Performance rating of 1 or 2 on 3-4 evaluation factors	-2 Point
Performance rating of 1 or 2 on 5-6 evaluation factors	-3 Point
Performance rating of 1 or 2 on 7-8 evaluation factors	-4 Point
Performance rating of 1 or 2 on 9 or more evaluation factors	-5 Point

3. As documentation to justify disqualification of a prime consultant or subconsultant from submitting Statement of Qualification (SOQ) proposals. In order for ECS to take action that could lead to consultant disqualification from submitting SOQs, the ADOT PM or staff shall complete a

Consultant Evaluation Form. When an evaluation form is used to document issues which could lead to consultant disqualification from submitting SOQ proposals (as outlined in Section 2.02 of the ECS Rules and Procedures), select “Other” as the Evaluation type in eCMS.

4. As documentation to justify the declaration of a breach of contract for a consultant’s failure to fulfill terms of the contract or to address problems identified by ADOT in the performance of the contract. In order for ECS to take action that could lead ADOT to declare a breach of contract, the ADOT PM or staff must complete a Consultant Evaluation Form. When an evaluation form is used to document issues which could lead to a breach of contract being declared (as outlined in Section 4.17 of the ECS Rules and Procedures), select “Other” as the Evaluation type in eCMS.

Procedure

ECS Contract Specialist will initiate the completion of consultant evaluation forms for contracts annually on their NTP anniversary date.

Since evaluations will be used as a factor in the consultant selection process, it is important for ADOT PMs, Resident Engineers or other applicable staff to complete evaluations in a timely manner.

Please adhere to the following general guidelines in completing the consultant evaluation electronically in eCMS.

1. Section I (Items 1-4) shall be completed by ECS staff in eCMS and forwarded to the ADOT PM through automatic email notification.
2. The ADOT PM shall confer with other ADOT Project Team members involved in the contract and complete Section II (Items 5-11) in eCMS. The ADOT PM shall complete the form within 21 calendar days from the receipt of notification.
3. Section II, Item 12 (Post-Design) will be forwarded to the ADOT Resident Engineer (RE) by the ADOT PM for completion, as applicable. The ADOT RE shall confer with the ADOT PM and other ADOT project team members involved in the project and shall complete the Section II, Item 12.
4. When totally completed, the ADOT PM shall discuss the evaluation with the consultant (telephonically or in-person) and “publish” it to the consultant through eCMS. The consultant shall complete Section III by indicating their agreement or disagreement with the ratings, type comments and ”publish” the evaluation back to ADOT through eCMS. ADOT PMs should encourage consultants to share the results of the subconsultant portion of the evaluation with their subconsultants.

General Guidelines

1. Each individual line item in the evaluation constitutes a performance factor.
2. ECS will assign negative points based on individual factor scores, not on an overall composite score.
3. Each individual performance factor and category on the form will be treated equally.
4. General comments are highly recommended to support scores in each major performance category.
5. Documentation and specific comments **must** be included to justify any performance factor receiving a score of 2 or less.
6. The ADOT PM, ECS and other applicable ADOT staff are encouraged to take appropriate steps to resolve performance issues with consultants, as they arise, in a timely manner, and to document these

issues in the eCMS Evaluation tab for that particular contract. This information will be used as a means of documenting issues for future evaluation ratings.

7. If performance issues arise, ADOT PMs and ECS Contract Managers should expeditiously inform consultants in writing that they are performing unsatisfactorily (using the Issues Resolution form located in eCMS) and provide them the opportunity to take corrective action to cure the deficiency before they are formally evaluated. The following steps must be taken if there are performance issues with a consultant, which could potentially lead to an evaluation score of less than 3 (average):
 - a) If communicating to resolve the matter with the consultant informally does not resolve the issue, the ADOT PM, ECS Contract Specialist, Manager or other appropriate ADOT employee shall notify the consultant, in writing, of the deficient performance, identify required solutions and establish a deadline to resolve issues. The Consultant Performance Issues Resolution Form in eCMS should be completed by the appropriate ADOT staff and forwarded to the consultant for further action, as needed.
 - b) If the consultant does not respond within ten (10) business days or other timeframe specified on the form and/or the matter is still unresolved after the deadline set for the cure, it is appropriate for the ADOT staff to rate the consultant a 2 or less on the applicable evaluation criteria on the consultant evaluation form.
8. Consultants should take the initiative to expeditiously contact the ADOT PM or ECS, if they are experiencing difficulties which could result in a score of less than 3 on a performance factor. The consultant should identify any problems, state proposed resolutions and specify dates they expect to resolve issues.
9. Subconsultant performance will affect the scores of the prime consultant as it relates to performance factors in item #9, "Utilization of Key Subconsultants." Therefore, it is important for prime consultants to closely oversee the work of their subconsultants.
10. Subconsultant scores in Item #10 will not affect the scores of prime consultants. ECS will maintain an evaluation history on all subconsultants.
11. If a prime consultant or subconsultant receives 10 or more scores of 2 or less on evaluations, within a two-year time period, these firms may be evaluated as candidates for disqualification from submitting SOQs by ECS, and may not be eligible for work as a prime consultant or subconsultant on ECS contracts for a minimum of one year. A list of consultants that are prequalified and disqualified from submitting SOQs will be posted on the ECS website. Individual consultant evaluation scores will not be posted.
12. New consultants with no ADOT contracts or evaluation history will be evaluated according to the criteria outlined in the SOQ Package, and will not be evaluated based on past performance.
13. Consultants' ratings will not be adversely affected if ADOT reduces the scope of work, or in some way delayed or impacted the ability of the consultant to reasonably meet a performance factor.
14. There is no formal escalation process for consultant evaluation issues at this time. However, if a consultant believes that they have been unfairly rated in an evaluation, they can indicate their points of disagreement on the evaluation form itself or submit a letter to ECS, which will be included as an official part of the evaluation file and may be evaluated by ECS as a mitigating factor.