



TRANSPORTATION CABINET

Frankfort, Kentucky 40622
www.transportation.ky.gov/

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DESIGN MEMORANDUM NO. 02-10

TO: Chief District Engineers
Design Engineers
Active Consultants

FROM: Jeff D. Jasper, P.E.
Director
Division of Highway Design 

DATE: May 28, 2010

SUBJECT: Implementation of Revised Consultant Evaluation Process

In the winter of 2009, a committee was created to develop an improved consultant evaluation process. The committee consisted of 6 members, 3 being KYTC project managers and 3 leaders from the consultant industry. The goal of the committee was to create an evaluation process that would capture relevant, beneficial information; provide accurate ratings with little subjectivity; and be user friendly. It was determined that the evaluation process should correspond to work flow and allow a dialog between the KYTC project manager and the consultant on issues of expectations and accountability. The committee also defined the evaluation process as a means to monitor performance, provide timely feedback and create a history of performance.

In order for the evaluation process to provide timely feedback and capture relevant and accurate information, an evaluation will be performed at critical milestones during the project development process and pertain to highway design tasks and activities required to reach that milestone. The milestones selected to trigger an evaluation is Preliminary Line and Grade Inspection, Joint Inspection and Project Letting. These evaluations are called Phase I Evaluation,

FEDERAL REQUIREMENT

- ✘ Part 172 – Administration of Engineering and Design related Service Contracts

- ✘ 23 CFR 172.9 Approvals
 - + 5) In monitoring the consultant's work and in preparing a consultant's performance evaluation when completed;

KENTUCKY TRANSPORTATION CABINET
DEPARTMENT OF HIGHWAYS
DIVISION OF DESIGN

TC E1 0E
REV 10/01

CONSULTANT PERFORMANCE EVALUATION

Name and Address of Contractor _____ County _____
Road Name: _____
Project No. _____

Contract Number (CH): _____ Type of Work: Study Design Other (Specify) _____ Type of Contract: Fixed Price Other _____

Amount of Original Contract _____ Total Amount of Modifications _____ Total Amount of Contract _____

Date Contract Awarded: _____ Contracted Completion Date Including Extensions: _____ Actual Completion Date of Contract: _____

Type and Extent of Subconsultants: _____

		RATINGS					
		4	3	2	1	WT	
A. Project Management	1. Top Management	a. Inpected, Meeting	Attended All	Attended Most	Attended Few	Attended None	1
		b. Involvement	Seemed Aware of All Aspects	Responsive to Most Questions	Relied Heavily on Project Engineer	Uninvolved	2
		c. Leadership	Aware of Department Guidelines	Some Department Guidance Required	Frequent Department Supervision Required	Uninvolved	2
	2. Project Engineer	a. Preparedness	Clearly Presented All Considerations	Furnished Most Data, Minor Oversight	Provided Alternatives After - no Initial Decision	Seemed to Have Given Little Thought to Alternatives	2
		b. Capacity	All Requests Quickly Resolved	Some Department Guidance Required	Frequent Department Supervision Required	Department Level Throughout Project	2
	3. Coordination	a. Responsiveness	All Requests Quickly Resolved	Most Requests Resolved in Reasonable Time	Too Much Time to Resolve Some Issues	Frequent Lists Requested Resolved Issues	2
		b. Schedule	Met All Critical Dates on Tight Schedule	Met All Dates, Normal Schedule	Dates Slipped Marginally Due to Constraints	Dates Slipped Significantly Due to Constraints	2
	B. Plan Quality and Accuracy	1. Preliminary Plans and Goals	All Concerns Clearly Presented	Minor Changes Not Originally Presented	Some Changes Required Re-Review	Inadequate Presented on Concept Re-Review	2
		2. Final Inspection	Plans Adequate, For Review Minimum Revisions	Plans Adequate, Few Major Revisions	Incomplete Plans, Many Comments As A Result	Inadequate Presentation Caused Re-Review	2
3. Right-of-Way and Utility Plans		Plans Complete, No Revisions Due To Consultant	Plans Adequate, Minor Consultant Oversight	Plans Required Some Major Revisions	Plans Incomplete, Request Significant Revisions	3	
4. Gravel and Drain Plans		Hearty For Calling As Planned	Plans Adequate, Minor Revisions Required	Plans Required Some Major Revisions	Plans Incomplete, Request Significant Revisions	3	
5. Drainage Plans		Calculations and Plans Clearly Presented	Consultant Needed Minor Help To Complete Work	Consultant Required Frequent Help To Complete Work	Incomplete Required Re-Submittal	2	

RATING = _____ OF 100 POINTS

Rated By: _____ Signature _____ Date _____
Type Name and Title _____
Right-of-Way Rated By: _____ Signature _____ Date _____
Type Name and Title _____
Comments: _____

RATINGS

			4	3	2	1	WT
A. Project Management	1. Top Management	a. Inspected, Meeting	Attended All <input type="checkbox"/>	Attended Most <input type="checkbox"/>	Attended Few <input type="checkbox"/>	Attended None <input type="checkbox"/>	1
		b. Involvement	Seemed Aware of All Aspects <input type="checkbox"/>	Responsive to Most Questions <input type="checkbox"/>	Relied Heavily on Project Engineer <input type="checkbox"/>	Uninvolved <input type="checkbox"/>	2
		c. Leadership	Aware of Department Guidelines <input type="checkbox"/>	Some Department Guidance Required <input type="checkbox"/>	Frequent Department Supervision Required <input type="checkbox"/>	Uninvolved <input type="checkbox"/>	2
	2. Project Engineer	a. Preparedness	Clearly Presented All Considerations <input type="checkbox"/>	Presented Most Data, Minor Oversights <input type="checkbox"/>	Presented Alternatives With Few Facts For Decisions <input type="checkbox"/>	Seemed to Have Given Little Thought to Alternatives <input type="checkbox"/>	2
		b. Capacity	All Requests Quickly Resolved <input type="checkbox"/>	Some Department Guidance Required <input type="checkbox"/>	Frequent Department Supervision Required <input type="checkbox"/>	Department Lead Throughout Project <input type="checkbox"/>	2
	3. Coordination	a. Responsiveness	All Requests Quickly Resolved <input type="checkbox"/>	Most Request Resolved in Reasonable Time <input type="checkbox"/>	Too Much Time to Resolve Some Issues <input type="checkbox"/>	Frequent Calls Required to Resolve Issues <input type="checkbox"/>	2
		b. Schedule	Met All Control Dates on Tight Schedule <input type="checkbox"/>	Met All Dates, Normal Schedule <input type="checkbox"/>	Dates Slipped Minimally Due to Consultants <input type="checkbox"/>	Dates Slipped Significantly Due to Consultants <input type="checkbox"/>	2
	B. Plan Quality and Accuracy	1. Preliminary Line and Grade		All Concerns Clearly Presented <input type="checkbox"/>	Minor Changes Not Originally Presented <input type="checkbox"/>	Some Concerns Required Re-Review <input type="checkbox"/>	Inadequate Presentation Caused Re-Review <input type="checkbox"/>
2. Final Inspection		Plans Adequate, For Review Minimum Revisions <input type="checkbox"/>	Plans Adequate, Few Major Revisions <input type="checkbox"/>	Incomplete Plans, Many Comments As A Result <input type="checkbox"/>	Inadequate Presentation Caused Re-Review <input type="checkbox"/>	2	
3. Right-of-Way and Utility Plans		Plans Complete, No Revisions Due To Consultant <input type="checkbox"/>	Plans Adequate, Minor Consultant Oversights <input type="checkbox"/>	Plans Required Some Major Revisions <input type="checkbox"/>	Plans Incomplete, Required Significant Revisions <input type="checkbox"/>	3	
4. Grade and Drain Plans		Ready For Letting As Planned <input type="checkbox"/>	Plans Adequate, Minor Revisions Required <input type="checkbox"/>	Plans Required Some Major Revisions <input type="checkbox"/>	Plans Incomplete, Required Significant Revisions <input type="checkbox"/>	3	
5. Drainage Plans		Calculations and Plans Clearly Presented <input type="checkbox"/>	Consultant Needed Minor Help to Complete Work <input type="checkbox"/>	Consultant Required Frequent Help To Complete Work <input type="checkbox"/>	Incomplete Required Re-Submittal <input type="checkbox"/>	2	
RATING = _____ OF 100 POINTS							

IS IT PROVIDING A BENEFIT?

- ✘ Accurate.
- ✘ Monitor Performance.
- ✘ Provide timely feedback.
- ✘ Recognize relevant information.
- ✘ Display strengths and weaknesses.
- ✘ Establish expectations.
- ✘ Determine accountability.
- ✘ Reward Innovation and hard work.

EVALUATE THE EVALUATION

Strength

- × Comprehensive.
- × Simple.
- × Two categories.
- × Defined ratings.

Weakness

- × General.
- × Only done at the end of project.
 - ★ Does not monitor performance during the process.
 - ★ Lacks timely feedback.
 - ★ Evaluator? Changes -Recall or lost information (Accuracy)
- × Not agile or adaptable.
- × Emphasizes Plans.

COMMITTEE

- ✘ 6 Members

- + 3 KYTC Project Managers

- ✘ Chuck Allen
 - ✘ Darrin Eldridge
 - ✘ Joe Plunk

- + 3 Consultant Representatives

- ✘ Chuck Craycraft
 - ✘ Steve Slade
 - ✘ Ken Sperry

Jeff Jasper – Director of Highway Design (The Boss)

Brad Eldridge – TEBM Location (Keeper of the Data)

Mike Hill -Director of Professional Services (Procurement)

BUILDING A NEW PROCESS

× Objectives

- × Provide accurate, informative and beneficial feedback
- × Capture relevant data
- × Simple and user friendly
- × Consistency and less subjectivity
- × Monitor performance during project development
 - + Ensure the correct people are doing the evaluation
 - + Provide timely feedback
- × Establish a history of performance

CONSIDERATIONS

× When?

- + Annually – too many variables, would not reflect meaningful data
- + When requested or problems

× What?

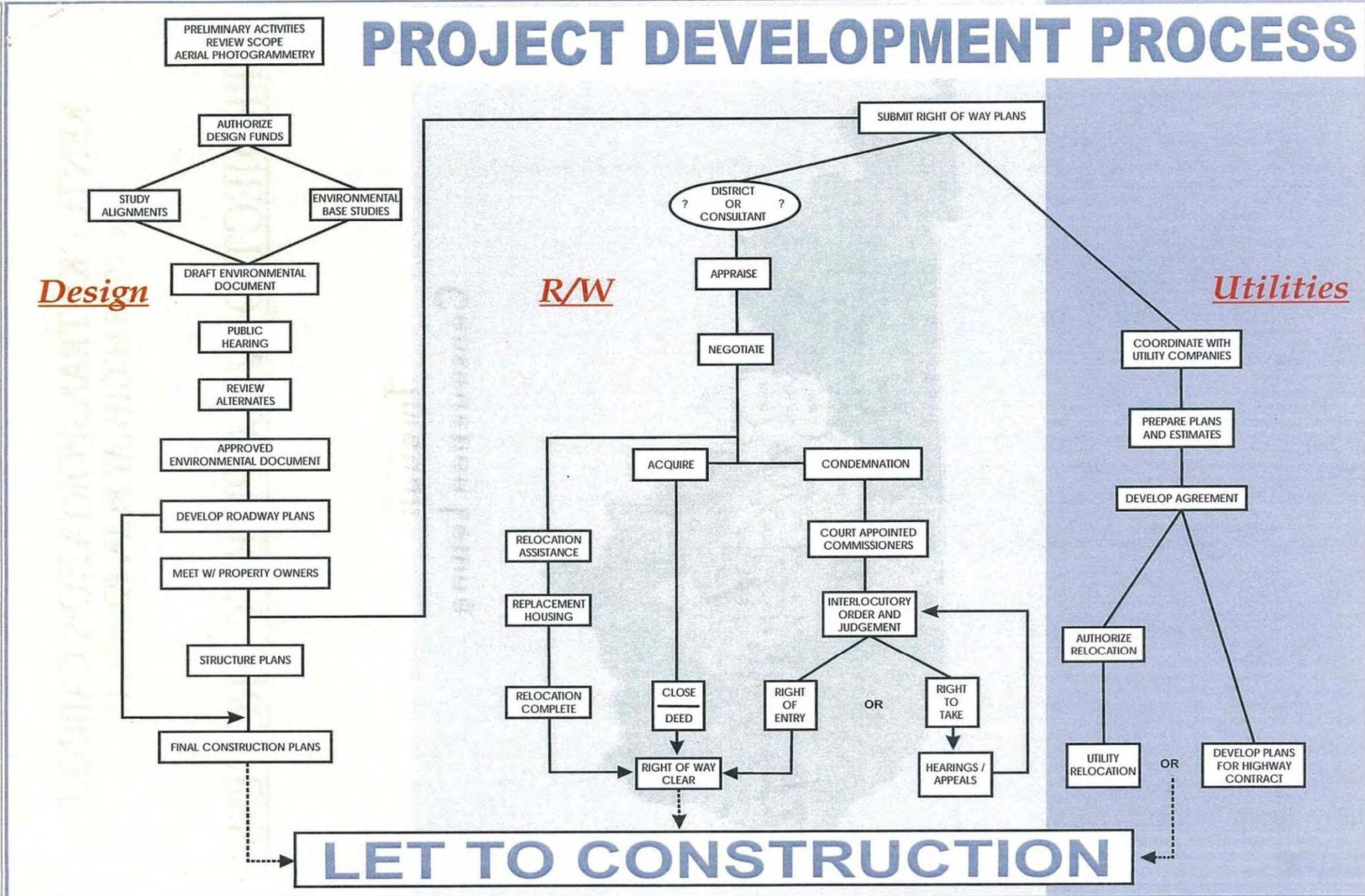
- + Activities or Tasks that need evaluated

× Benefit to the Project?

- + Create a dialogue between the manager and consultant on expectations and results.
- + Provide history for a future manager.

EVALUATION CORRESPONDING TO WORK FLOW

PROJECT DEVELOPMENT PROCESS



WHAT IS THE CONSULTANT'S OBLIGATION

- × Contract
 - + Negotiation
 - × Pre-Design Conference Minutes

(12) The Departments Project Manager assigned to this project is **insert name**.

(13) The current schedule for this project, as described in the 2002 Six Year Plan is as follows:

<u>Phase</u>	<u>FY</u>
Final Design	20xx
Right of Way	20xx
Utilities	20xx
Construction	20xx

Milestones

The consultant shall provide milestone dates for the following activities:

- 1) Phase I Design (Preliminary)
 - a) Alternate Alignments ready for a Project Team Meeting -
 - b) Hold Public Hearing -
 - c) Hold PL&G Inspection -
 - d) Submit DES -
 - e) Submit Electronic Plans -

- 2) Environmental Services
 - a) Submittal of Environmental Base Studies -
 - b) Approval of Environmental Base Studies -
 - c) Submittal of Draft EA to KTC -
 - d) Approval of EA by FHWA -
 - e) Receipt of FONSI by KTC -
 - f) FHWA Approval of FONSI or EIS -

- 3) Phase II Design (Final)
 - a) Submission of Critical Cross Sections to Geotechnical for obtaining backslopes -
 - b) Drainage Inspection -
 - c) Advanced Situation Folders -
 - d) Final Plans-in-Hand Inspection -
 - e) Right of Way Plans Submittal -
 - f) Submittal of Review Plans -
 - g) Final Roadway Plans Submittal -
 - h) Final Structure Plans Submittal -

Other milestones may be added to this list as deemed necessary by the Department or Consultant.

Milestone dates are based on receiving Notice to Proceed by **insert date** and aerial photogrammetry and digitization by **insert date**.

PROJECT MANAGER OBJECTIVES

- × Preferred Alternate
- × Plan Set
- × Letting

3 EVALUATIONS DURING A PROJECT

✘ Phase I Evaluation

- + Selection of Preferred Alternate
- + Trigger – Submit with PL&G minutes

✘ Phase II Evaluation

- + Development of a Plan Set
- + Trigger – Submit with Joint Inspection Minutes

✘ Contract Plans Evaluation

- + Final Product (*R/W Plans & Contract Plans*)
- + Trigger – Submit when project is Awarded.

THE FORMAT

× Phase I – 12 to 18 months

- + Conceptual
- + Consultant Selection to Preferred Alternate
- + Solid trigger in PL&G

× Phase II – 12 to 18 months

- + *Production*
- + *PL&G to Joint Inspection*
- + *Solid Trigger in Joint Inspection*

× Contract Plans – 12 to 18 months

- + *Production*
- + *Includes R/W Plan Submittal to Letting*
- + *Trigger is when project is awarded*

QUESTIONS

- ✘ PHASE I is solid. *Conceptual.*
- ✘ Differences between PHASE II and CONTRACT PLANS evaluations. *Production.*
- ✘ CONTRACT PLANS and trigger. *Project Awarded.*

EVALUATIONS FOCUS

- ✘ 2 Categories for Each Evaluation

- + Project Management

- ✘ Professionalism and Ability

- ✘ *Knowledge*

- ✘ *Communication*

- ✘ *Timely/Efficient*

- ✘ *Resources*

- + Project Development

- ✘ Grading the Product

- ✘ *Appropriate Alternates/Solutions*

- ✘ *Completeness of Plans/Reports*

- ✘ *Accuracy/Omissions*

WITH THE FORMAT ESTABLISHED.

- ✘ Determine what items and tasks to be evaluated.
- ✘ This is where the committee really made an impact.

PHASE I EVALUATION

× Project Management

- + Project Knowledge - *measures project understanding and policy awareness*
- + Communication - *measures both content and responsiveness*
- + Leadership/Resources - *experienced leadership and ability of staff*
- + Flexibility/Schedule - *measure of adaptability and accountability*
- + Project Approach - *measure of efficiency*

× Project Development

- + Existing Data - *accurate and complete*
- + Preliminary Engineering - *alternates should address project objectives*
- + Reports/Presentation - *presented clearly, accurately and distributed appropriately*
- + R/W and Utility Considerations - *consider impacts and expense*
- + Environmental Concerns - *consider obligations, impacts and expense*
- + Drainage - *complete and accurate investigation*
- + Public Involvement/Stake holder Coordination - *work with entities involved*

+ Determining the appropriate Solution

PHASE II EVALUATION

× Project Management

- + Project Knowledge - *measures project understanding and policy awareness*
- + Communication - *measures both content and responsiveness*
- + Leadership/Resources - *experienced leadership and ability of staff*
- + Flexibility/Schedule - *measure of adaptability and accountability*
- + Project Approach - *measure of efficiency*

× Project Development

- + Development of Preferred Alternate - *developed to offer optimum benefit*
- + Quantities/Summaries - *accountable for all items required for construction*
- + R/W, Utility and Environmental Considerations - *strongly considered*
- + Maintenance of Traffic - *provide adequate and appropriate R/W and design*
- + Drainage Folders/Plans - *accurate and thorough analysis and reports*
- + Completeness of Plans/Reports/Presentations - *professionally developed*

+ Building the Plan Set

CONTRACT PLANS EVALUATION

✘ Project Management

- + Knowledge of Project Details and Policy – *understand details and policy*
- + Communication – *measures both content and responsiveness*
- + Leadership/Resources – *experienced leadership and ability of staff*
- + Flexibility/Schedule – *measure of adaptability and accountability*
- + Project Approach – *measure of efficiency*

✘ Project Development

- + Plan Quality – *plans are accurate and well developed*
- + Quantities, Summaries, Specifications, and General Notes – *application/use*
- + Maintenance of Traffic/Phasing – *well thought out and clearly conveyed in plans*
- + R/W Plan Submittal – *complete and accurate*
- + R/W Revisions – *completed in timely manner and well documented*
- + Environmental Concerns/Permitting/Erosion Control – *incorporated in plans*
- + Drainage Folder/Drainage Summaries – *accurate and summarized clearly*
- + Electronic Project Files Delivered – *must meet standards*

- + **Accurately and clearly conveying project details to a 3rd Party**

RATING SYSTEM

- ✘ Ratings are 5 to 1 for each item.
 - + 5 outstanding
 - + 3 adequate
 - + 1 poor
- ✘ Each rating is defined. *Reduce subjectivity.*
- ✘ N/A is an option. *Improve adaptability.*

BENEFITS OF THE NEW PROCESS

- ✘ Provides solid accurate results.
- ✘ Keeps both parties focused and monitoring key issues in the project development process.
- ✘ Depicts strengths and weaknesses.
- ✘ Emphasizes the project discussions and decisions and reflects on the total Project.
- ✘ Create confident evaluators.

BUILDING THE FORM

- × Simple
- × Professional
- × Easily Accessed
- × Electronic delivery
- × Stored in a useful manner

INFORMATION TECHNOLOGY

✘ Forms

- + Access

- + File names

- + Pdf's

✘ Library

- + Store data

- + Create reports

SUBMITTAL AND DELIVERY

- × District
- × Central

- × TEBM Location creates a formal package that is e-mailed to consultant.

COMBINING THE OLD AND NEW

- ✘ Keep the evaluations for 10 years.
- ✘ Reporting System being developed.

CONSULTANT NAME

Item #	Phase I	Phase II	Contract Plans	Project
3-991.00	85	92	83	87
10-457.00	94	82	78	85
3-8002.00	100	85	76	87
5-123.00	N/A	N/A	N/A	90
4-4567.03	N/A	N/A	N/A	88

LOOK AT AN EXAMPLE

DESIGN/CONSTRUCTION

- ✘ The Plans are the link between Design and Construction.

CONTRACTOR'S PERFORMANCE REPORT

Prime Contractor Subcontractor

Name of Contractor: _____ PCN: _____

Contractor's Address: _____ Phone No.: _____

City: _____ State: _____ Zip Code: _____

Project ID No.: _____ Completion Date: _____

Type of Work: _____ Cost: _____

Evaluation of Contractor Performance On This Project By The Resident Engineer: Rating Section

Rating Scale of 1-5.
 Categories weighted.

EVALUATION ITEMS	Resident Engineer <input type="checkbox"/>	INPUT POINTS Resident Engineer	INPUT POINTS Chief District Engineer
	Chief District Engineer <input type="checkbox"/>		
PART 1 - Contractor Work Performance			
1. Quality of Work (including performance of subcontractor(s))			
2. Quality of Work (excluding performance of subcontractor(s))			
3. Meetings of Contract Dates (including approved extensions)			
4. Job Closeout Activities (punch list, clean-up, paperwork, etc.)			
5. Coordination and Cooperation with DOH and Other Government Agencies			
6. Coordination and Cooperation with Other Contractor(s), Sub(s) and Utilities			
7. Coordination and Cooperation with General Public (motorists and property owners)			
8. Public Safety and Traffic Control			
9. Workforce Safety Practices			
10. Compliance with Environmental Requirements			
PART 2 - Contractor Project Management and Administration			
1. Project Supervisory Personnel			
2. Project Technical Staff			
3. Project Craft Workforce			
4. Project Organization (home office support and organization)			
5. Project Submittals			
6. Equipment			
7. Jobsite Housekeeping			

NOTE: Zero (0) points equals Not Applicable.

Sum of Points	_____
Maximum Possible Points	_____
Final Rating	_____

District: _____ Crew: _____

Project Engineer: _____ Date: _____