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;
### CONSULTANT PERFORMANCE EVALUATION

**Kentucky Transportation Cabinet**
**Department of Highways**
**Division of Design**

**Contract Data**

- **Contract Number (CH)**: [Blank]
- **Type of Work**:
  - Study
  - Design
  - Other (Specify)
- **Type of Contract**: [Blank]
- **Fixed Price**: [Blank]
- **Other**
- **Amount of Original Contract**: [Blank]
- **Total Amount of Modifications**: [Blank]
- **Total Amount of Contract**: [Blank]

**Date Contract Awarded**

**Completed Completion Date**

**Actual Completion Date**

### Type and Event of Subconsultants

<table>
<thead>
<tr>
<th>Type and Event of Subconsultants</th>
<th>Rating</th>
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<tbody>
<tr>
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### Ratings

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
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<tbody>
<tr>
<td>5</td>
<td>Exceptional</td>
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<tr>
<td>4</td>
<td>Excellent</td>
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<tr>
<td>3</td>
<td>Good</td>
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<tr>
<td>2</td>
<td>Satisfactory</td>
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<tr>
<td>1</td>
<td>Unsatisfactory</td>
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</table>

### Rating of 100 Points

- **Rating**
- **Signature**
- **Date**

**Comments**

**Reviewed By**

**Reviewed**

**Approved By**

**Approved**

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**Contractor's Name**

**Contractor's Address**

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**County**

**Road No.**

**Project No.**

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**Consultant's Name**

**Consultant's Address**

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**Contractor's Signature**

**Contractor's Date**

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**Consultant's Signature**

**Consultant's Date**

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**Contractor's Comments**

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**Consultant's Comments**

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<tbody>
<tr>
<td></td>
<td>a. Inspected,</td>
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<td>All Requests</td>
<td>Met All Control</td>
<td>3. Right-of-Way and Utility Plans</td>
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<tr>
<td></td>
<td>Meeting</td>
<td></td>
<td>Quickly</td>
<td>Dates on Tight Schedule</td>
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<tr>
<td></td>
<td>Attended All</td>
<td></td>
<td>Most</td>
<td>All Requests</td>
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<td></td>
<td>Attended Most</td>
<td></td>
<td>Requested</td>
<td>Quickly Resolved</td>
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<td></td>
<td>Attended Few</td>
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<td>Resolved</td>
<td>Met All Dates</td>
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<td></td>
<td>Attended None</td>
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<td>Time</td>
<td>Normal Schedule</td>
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</table>

### RATINGS

**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

Design

R/W

Utilities

LET TO CONSTRUCTION
WHAT IS THE CONSULTANT’S OBLIGATION

- Contract
  - Negotiation
    - Pre-Design Conference Minutes
The Departments Project Manager assigned to this project is [insert name].

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

<table>
<thead>
<tr>
<th>Phase</th>
<th>FY</th>
</tr>
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<tbody>
<tr>
<td>Final Design</td>
<td>20xx</td>
</tr>
<tr>
<td>Right of Way</td>
<td>20xx</td>
</tr>
<tr>
<td>Utilities</td>
<td>20xx</td>
</tr>
<tr>
<td>Construction</td>
<td>20xx</td>
</tr>
</tbody>
</table>

**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.
<table>
<thead>
<tr>
<th>Item #</th>
<th>Phase I</th>
<th>Phase II</th>
<th>Contract Plans</th>
<th>Project</th>
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<tbody>
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</table>
LOOK AT AN EXAMPLE
DESIGN/CONSTRUCTION

- The Plans are the link between Design and Construction.
### CONTRACTOR'S PERFORMANCE REPORT

**Name of Contractor:**

**Contractor's Address:**

**City:**

**State:**

**Zip Code:**

**Project ID No.:**

**Completion Date:**

**Type of Work:**

**Cost:**

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

<table>
<thead>
<tr>
<th>EVALUATION ITEMS</th>
<th>Resident Engineer</th>
<th>Chief District Engineer</th>
<th>INPUT POINTS Resident Engineer</th>
<th>INPUT POINTS Chief District Engineer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Quality of Work (including performance of subcontractor(s))</td>
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<tr>
<td>2. Quality of Work (excluding performance of subcontractor(s))</td>
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<td>3. Meetings of Contract Dates (including approved extensions)</td>
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<tr>
<td>4. Job Closeout Activities (pavement, clean-up, punchwork, etc.)</td>
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<tr>
<td>5. Coordination and Cooperation with DOH and Other Government Agencies</td>
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<tr>
<td>6. Coordination and Cooperation with Other Contractor(s), Subs.(s) and Utilities</td>
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<tr>
<td>7. Coordination and Cooperation with General Public (motorists and property owners)</td>
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<tr>
<td>8. Public Safety and Traffic Control</td>
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<tr>
<td>9. Workforce Safety Practices</td>
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<tr>
<td>10. Compliance with Environmental Requirements</td>
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**PART 2 - Contractor Project Management and Administration**

1. Project Supervisory Personnel
2. Project Technical Staff
3. Project Craft Workforce
4. Project Organization (office office support and organization)
5. Project Substitutes
6. Equipment
7. Job Site Housekeeping

**NOTE:** Zero (0) points equals Not Applicable.

Sum of Points

Maximum Possible Points

Final Rating

**District:**

**Crew:**

**Project Engineer:**

**Date:**