

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

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 applicable for selection scoring at this time are:

- Bridge Design
- Bridge Rehabilitation
- Project Management for Project Delivery
- Roadway Design

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.