



Arizona Department of Transportation
Engineering Consultants Section
205 S. 17th Ave. Phoenix, Arizona 85007.3213
Phone 602.712.7525 Fax 602.712.7424

Jane Dee Hull
Governor

January 12, 2001

Victor Mendez
Deputy Director

Mary E Peters
Director

INFORMATION BULLETIN NO. 01-01

TO: ADOT Staff
Consultants

FROM: Engineering Consultants Section

SUBJECT: Consultant Evaluation Program

The ADOT Consultant Evaluation Program is an important tool for measuring the performance of consultants. It provides valuable information to the consultant and is used in the consultant selection process. Recently the program was revised to include and define restrictions that may be imposed upon consultants and subconsultants that receive unsatisfactory performance ratings (a rating of 1 or 2).

Please find the updated copy of the Consultant Evaluation Program. Information Bulletin 01-01 replaces Information Bulletin 99-01.

If you have any questions regarding this bulletin, please call Engineering Consultants Section at (602) 712-7525.

ENGINEERING CONSULTANTS SECTION
CONSULTANT EVALUATION PROGRAM
FOR DESIGN PROJECTS

The Consultant Evaluation Program is a vehicle to open lines of communication between the Project Manager, the Consultant, any Subconsultants and other ADOT staff.

A positive approach to the Consultant Evaluation Program assures that:

1. project schedule, cost, and quality of design and construction are attainable, and
2. potential problems that may impact other projects or the 5 Year Construction Program are identified and resolved in a timely manner.

The Consultant and their subconsultants are evaluated at major milestones during the life of the contract. These evaluations provide indications of how the project is progressing and what steps have been taken to assure effective and efficient practices during construction. Engineering Consultants Section is responsible for the Evaluation Program. They will review evaluations to determine if any trends, particularly negative ones, are developing.

The Consultant Evaluation Program may include visits to the office of the Consultant by ECS Management. At such visits, questions relating to the contract evaluation are addressed and problems are identified.

The following is provided for your use in the evaluation of a design consultant:

1. Phasing and Evaluation Schedule. This is a description of the project milestones for the particular type of project (design, construction administration, etc.) and a recommended schedule of filing dates.
2. Sample Transmittal Letter.
3. Copies of the evaluation forms were developed by the ADOT Evaluation Committee.

PHASING AND EVALUATION SCHEDULE
FOR DESIGN PROJECTS

On consultant design contracts, the project design milestones are after the Stage II (30%), Stage III (60%), and Final (100%) design submittals. Contract Constructibility will also be evaluated by District personnel. Evaluations at these milestones provide indications of how the design is progressing and what steps have been taken to assure effective and efficient practices during construction. The evaluations should be completed after all major issues of a design submittal have been resolved. When this schedule is followed the evaluation document is an extension of the design submittal review process.

It is recommended that the letter of transmittal to the design consultant from the Project Manager be similar in content to the attached sample transmittal.

RECOMMENDED EVALUATION FILING DATES

Stage II Design Submittal (30%)	5 DAYS after all major design submittal review issues have been resolved
Stage III Design Submittal (60%)	5 DAYS after all major design submittal review issues have been resolved
Final Design Submittal (100%)	5 DAYS after all major design submittal review issues have been resolved
Contract Constructibility (Partnering Close-out form will be used)	5 DAYS after construction is complete and project has been accepted.

Notes: 1. A design submittal evaluation should not be more than six weeks after the design submittal date.

EVALUATION MEASUREMENTS/COMMENTS

The following measurement standards for performance evaluation factors may be used:

"5" rating is for outstanding performance which exceeds the Scope of Services. Examples are design and/or construction cost savings, substantial time savings, unprecedented level of community involvement, error free plan submittals, etc. The award of this rating will be infrequent, as Consultants are selected on their qualifications and are expected to produce the best product possible.

"3" rating is for performance which has met the Department's expectations based on the Scope of Services. Examples are within scope, budget, and on time; acceptable communication and coordination; minimal changes to plan submittals, etc.

"1" rating is for unsatisfactory performance which has not met the Department's expectations based on the Scope of Services. Examples are not meeting schedules, exceeding the design and/or construction budgets, major revisions required on plan submittals, poor communication and coordination, etc.

NOTE: Additional comments are required in the space provided for the ratings.

SAMPLE TRANSMITTAL LETTER
PROJECT MANAGER TO CONSULTANT

Mr. (Consultant Name)
(Consultant Title)
(Firm Name)
(Address1)
(Address2)

RE: CONSULTANT PERFORMANCE EVALUATION, (Contract No. XX-XX)
(Project Location)
(Project Name)

Mr. (Consultant Name):

Enclosed is a copy of the evaluation which (ADOT Section/Group) has made of your firm's performance during the (Appropriate Phase) of our contract. Subsequent evaluations will be at other appropriate phases of the contract, culminating in a final evaluation at the project completion.

This evaluation was prepared by (Responsible Party Name & Title) who was your direct contact liaison, along with appropriate staff as required.

The purpose of these periodic evaluations is to point out in a timely manner what (ADOT Section/Group) considers as either strong or weak points of your performance on the contract. The goal is to achieve design plans and contract documents which meet ADOT's standards and procedures, which will ultimately lead to the successful construction of the project.

While informal meetings and discussions have occurred we would be pleased to discuss this with you further, if you so desire. A copy of the evaluation has been sent to the Contract Manager, ADOT Engineering Consultants Section, for information. Any written responses you may desire to submit concerning this evaluation should be directed to us, with a copy to the Contract Manager.

Sincerely,

(Project Manager's Name)
(Project Manager's Title)

c: Contract Manager (2 copies)

Enclosure

ARIZONA DEPARTMENT OF TRANSPORTATION
INTERMODAL TRANSPORTATION DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

STAGE II DESIGN PHASE

Contract No.: _____ - _____

TRACS No.: _____

Fed. Aid ID No.: _____

Project name: _____

Project description: _____

Consultant firm: _____

Consultant Project Manager: _____

ADOT Project Manager _____

Milestone dates for Stage II Design Phase:

Approved submittal date: _____

Actual submittal date: _____

Comments on submittal
returned to consultant: _____

Date of this evaluation: _____

I. ENGINEERING DESIGN PERFORMANCE

A. Project Management

PERFORMANCE RATING

1. Communications	5	4	3	2	1
2. Responsiveness	5	4	3	2	1
3. Schedule Adherence	5	4	3	2	1
4. Cooperation	5	4	3	2	1
5. Attitude	5	4	3	2	1

Additional
comments: _____

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

B. Required Submittals/Activities

PERFORMANCE RATING

1. Environmental report	5	4	3	2	1
2. Prelim. drainage report	5	4	3	2	1
3. Bridge structure selection report	5	4	3	2	1
4. Traffic analysis and report	5	4	3	2	1
5. Geotechnical report	5	4	3	2	1
6. Stage II materials design memorandum	5	4	3	2	1
7. Survey and mapping	5	4	3	2	1
8. Stage II cost estimate	5	4	3	2	1
9. Permit application(s)	5	4	3	2	1
10. Public meeting(s)	5	4	3	2	1

Additional comments: _____

C. Stage II Design
(30 % Complete)

PERFORMANCE RATING

1. Horizontal & Vertical Alignment	5	4	3	2	1
2. Stage II R/W requirements	5	4	3	2	1
3. Utility Identifications	5	4	3	2	1
4. Intersection and interchange layouts	5	4	3	2	1
5. Typical roadway sections	5	4	3	2	1
6. Cross-sections	5	4	3	2	1

Additional comments: _____

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

Subconsultant firm(s) & Area of Responsibility:

PERFORMANCE RATING

- 1. _____
- 2. _____
- 3. _____
- 4. _____

5 4 3 2 1
 5 4 3 2 1
 5 4 3 2 1
 5 4 3 2 1

Comments: _____

II. OVERALL RATING OF PRIME CONSULTANT FOR THE STAGE II PHASE

5	4	3	2	1
---	---	---	---	---

Overall comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____
 ADOT Project Manager Date

EVALUATION APPROVAL

_____ on _____
 ADOT Group Manager Date

Copies of this evaluation were submitted to Contract Manager, ADOT
 Engineering Consultants Section on _____
 Date

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory
--

ARIZONA DEPARTMENT OF TRANSPORTATION
INTERMODAL TRANSPORTATION DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

STAGE III DESIGN PHASE

Contract No.: _____ - _____

TRACS No.: _____

Fed. Aid ID No.: _____

Project name: _____

Project description: _____

Consultant firm: _____

Consultant Project Manager: _____

ADOT Project Manager: _____

Milestone dates for Stage III Design Phase:

Approved submittal date: _____

Actual submittal date: _____

Comments on submittal
returned to consultant: _____

Date of this evaluation: _____

I. ENGINEERING DESIGN PERFORMANCE

A. Project Management

PERFORMANCE RATING

1. Communications	5	4	3	2	1
2. Responsiveness	5	4	3	2	1
3. Incorporation of Previous Review Comments	5	4	3	2	1
4. Schedule Adherence	5	4	3	2	1
5. Cooperation	5	4	3	2	1
6. Attitude	5	4	3	2	1

Additional
comments: _____

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

B. Required Submittals/Activities

PERFORMANCE RATING

1. Prelim. permit applications	5	4	3	2	1
2. R/W requirements	5	4	3	2	1
3. Environmental reports	5	4	3	2	1
4. Design notes & computations	5	4	3	2	1
5. Progress meetings/minutes	5	4	3	2	1
6. Draft special provisions	5	4	3	2	1
7. Prelim. quantity take-off	5	4	3	2	1
8. Stage III cost estimate	5	4	3	2	1
9. Value engineering	5	4	3	2	1
10. Final drainage report	5	4	3	2	1
11. Field review	5	4	3	2	1

Additional comments: _____

C. Stage III Design Submittal
(60% Complete)

PERFORMANCE RATING

1. Incorporation of previous review comments	5	4	3	2	1
2. Final materials design memorandum	5	4	3	2	1
3. Typical roadway sections	5	4	3	2	1
4. Plan and profile sheets	5	4	3	2	1
5. Drainage plans	5	4	3	2	1

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

C. Stage III Design Submittal (Continued)

6. Environmental permit applications	5	4	3	2	1
7. Intersection and interchange layouts	5	4	3	2	1
8. Major structure plans	5	4	3	2	1
9. Stage III traffic control plans	5	4	3	2	1
10. Landscape plans	5	4	3	2	1
11. Traffic signing and signal plans	5	4	3	2	1
12. Pavement marking plans	5	4	3	2	1
13. Lighting plans	5	4	3	2	1
14. Cross sections	5	4	3	2	1
15. NPDES (Erosion Control Plan)	5	4	3	2	1
16. Utility relocation plans	5	4	3	2	1
17. Constructability	5	4	3	2	1

Additional comments: _____

Subconsultant firm(s) & Area of Responsibility:

PERFORMANCE RATING

1. _____	5	4	3	2	1
2. _____	5	4	3	2	1
3. _____	5	4	3	2	1
4. _____	5	4	3	2	1

Comments: _____

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory
--

II. OVERALL RATING OF PRIME CONSULTANT FOR THE STAGE III PHASE

5	4	3	2	1
---	---	---	---	---

Overall comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____
ADOT Project Manager Date

EVALUATION APPROVAL

_____ On _____
ADOT Group Manager Date

Copies of this evaluation were submitted to Contract Manager, ADOT
Engineering Consultants Section on _____
Date

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

ARIZONA DEPARTMENT OF TRANSPORTATION
INTERMODAL TRANSPORTATION DIVISION

PERFORMANCE EVALUATION OF DESIGN CONSULTANT

FINAL DESIGN PHASE

Contract No.: _____ - _____

TRACS No.: _____

Fed. Aid ID No.: _____

Project name: _____

Project description: _____

Consultant firm: _____

Consultant Project Manager: _____

ADOT Project Manager: _____

Milestone dates for Stage III Design Phase:

Approved submittal date: _____

Actual submittal date: _____

Comments on submittal
returned to consultant: _____

Date of this evaluation: _____

A. ADMINISTRATIVE PERFORMANCE COMMENTS

1. Assigned project team _____
2. Contract costs _____
3. Progress reports _____
4. Changes in subconsultants
or key project staff _____
5. Partnering _____

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

A. ADMINISTRATIVE PERFORMANCE (Continued)

6. TQM _____

7. Coordination between disciplines, phases, and outside parties _____

Additional comments: _____

B. PROJECT MANAGEMENT

PERFORMANCE RATING

1. Communications 5 4 3 2 1

2. Responsiveness 5 4 3 2 1

3. Incorporation of Previous Review Comments 5 4 3 2 1

4. Schedule Adherence 5 4 3 2 1

5. Cooperation 5 4 3 2 1

6. Attitude 5 4 3 2 1

Additional Comments: _____

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

C. ENGINEERING DESIGN PERFORMANCE

a.	Incorporation of previous review comments	5	4	3	2	1
b.	Complete set of sealed contract document originals	5	4	3	2	1
c.	Complete reproducible set of special provisions/bidding schedule	5	4	3	2	1
d.	Complete set of R/W plans	5	4	3	2	1
e.	Final and complete quantity summaries/cost estimate	5	4	3	2	1
f.	Final design calculations	5	4	3	2	1
g.	Final survey computations and field books	5	4	3	2	1
h.	Environmental permits support documentation	5	4	3	2	1

Additional comments: _____

Subconsultant firm(s) & Area of Responsibility:

PERFORMANCE RATING

1. _____	5	4	3	2	1
2. _____	5	4	3	2	1
3. _____	5	4	3	2	1
4. _____	5	4	3	2	1

Comments: _____

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

D. OVERALL RATING OF PRIME CONSULTANT FOR THE FINAL PHASE

5	4	3	2	1
---	---	---	---	---

Overall comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____
ADOT Project Manager Date

EVALUATION APPROVAL

_____ on _____
ADOT Group Manager Date

Copies of this evaluation were submitted to Contract Manager, ADOT
Engineering Consultants Section on _____
Date

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

ARIZONA DEPARTMENT OF TRANSPORTATION

OFFICE MEMO

(DATE)

TO: _____
ADOT PROJECT MANAGER

FROM: Contract Manager
Engineering Consultants Section

RE: CONSULTANT EVALUATION PROGRAM

Please find attached information in regards to the evaluation of consultants for contracts administered through Engineering Consultants Section, as well as, copies of the MANDATORY CONSULTANT EVALUATIONS which you are to complete as follows:

1. Complete the Consultant Evaluation Forms periodically as required by the project for the prime consultant and any subconsultants involved in that time frame. It is recommended that a miscellaneous project be evaluated every six months. Miscellaneous projects are on-call, supplemental services, location studies, research. etc.
2. Make three copies of the evaluation. Transmit the original to the Consultant. The transmittal letter should be on agency letterhead, filling in the blanks as appropriate (see sample).
3. Send one copy each to the Contract Manager and the Contract Specialist in Engineering Consultants Section and keep one copy for your own contract/project files.

If you have any questions or wish to set up an appointment to discuss this, please contact me at (602) 255-7525. Thank you for your cooperation and assistance.

Attachment

ENGINEERING CONSULTANTS SECTION
CONSULTANT EVALUATION PROGRAM
FOR MISCELLANEOUS PROJECTS
(On-Call, Environmental Services, Construction Administration)
(Supplemental Services, Location Studies, Research, etc.)

The Consultant Evaluation Program is a vehicle to open lines of communication between the Project Manager, the Consultant, any Subconsultants and other ADOT staff.

A positive approach to the Consultant Evaluation Program assures that:

1. project schedule, cost, and quality of design and construction are attainable, and
2. potential problems that may impact other projects or the 5 Year Construction Program are identified and resolved in a timely manner.

The Consultant and their subconsultants are evaluated at major milestones during the life of the contract. These evaluations provide indications of how the project is progressing and what steps have been taken to assure effective and efficient practices. Engineering Consultants Section (ECS) is responsible for the Evaluation Program. ECS will review evaluations to determine if any trends, particularly negative ones, are developing.

The Consultant Evaluation Program may include visits to the office of the Consultant by ECS Management. At such visits, questions relating to the contract evaluation are addressed and problems are identified.

The following is provided for your use in the evaluation of a miscellaneous project:

1. Phasing and Evaluation Schedule. This is a description of the project milestones for the particular type of project (on-call, supplemental services, research, construction administration, etc.) and a recommended schedule of filing dates.
2. Sample Transmittal Letter.
3. Copies of the evaluation forms were developed by the ADOT Evaluation Committee.
4. Copies of restriction guidelines.

PHASING AND EVALUATION SCHEDULE
FOR MISCELLANEOUS PROJECTS

For on-call, supplemental services, location studies, research, etc., the period of evaluation of the consultant is left to the discretion of the Project Manager. Where projects are numerous and of short duration, the Project Manager may choose to evaluate the consultant every six months; where the consultant will be working on a small number of longer duration projects, the Project Manager may choose to evaluate the consultant after each project is completed.

It is recommended that the consultant is evaluated every six months and that the letter of transmittal to the consultant from the Project Manager be similar in content to the attached sample transmittal.

RECOMMENDED EVALUATION FILING DATES

Periodic Evaluation *	Left to the discretion of the Project Manager.
Contract Renewal *	Must be submitted with the Project Manager's request to extend the contract.
Contract Completion *	After contract is complete.

* Note: Indicate on the form provided the type of evaluation.

EVALUATION MEASUREMENTS/COMMENTS

The following measurement standards for performance evaluation factors may be used:

"5" rating is for outstanding performance which exceeds the Scope of Services. Examples are design and/or construction cost savings, substantial time savings, unprecedented level of community involvement, error free plan submittals, etc. The award of this rating will be infrequent, as Consultants are selected on their qualifications and are expected to produce the best product possible.

"3" rating is for performance which has met the Department's expectations based on the Scope of Services. Examples are within scope, budget, and on time; acceptable communication and coordination; minimal changes to plan submittals, etc.

"1" rating is for unsatisfactory performance which has not met the Department's expectations based on the Scope of Services. Examples are not meeting schedules, exceeding the design and/or construction budgets, major revisions required on plan submittals, poor communication and coordination, etc.

NOTE: Additional comments are required in the space provided for the ratings.

**SAMPLE TRANSMITTAL LETTER
PROJECT MANAGER TO CONSULTANT
(FOR MISCELLANEOUS PROJECTS)**

Mr. (Consultant Name)
(Consultant Title)
(Firm Name)
(Address1)
(Address2)

RE:CONSULTANT PERFORMANCE EVALUATION, (Contract No. XX-XX)
(Project Location)
(Project Name)

Mr. (Consultant Name):

Enclosed is a copy of the evaluation which (ADOT Section/Group) has made of your firm's performance during the (Appropriate Phase) of our contract. Subsequent evaluations will be at other appropriate phases of the contract, culminating in a final evaluation at the contract completion.

This evaluation was prepared by (Responsible Party Name & Title) who was your direct contact liaison, along with appropriate staff as required.

The purpose of these periodic evaluations is to point out in a timely manner what (ADOT Section/Group) considers as either strong or weak points of your performance on the contract. The goal is to achieve design plans and/or contract documents which meet ADOT's standards and procedures, which will ultimately lead to the successful construction of the project.

While informal meetings and discussions have occurred we would be pleased to discuss this with you further, if you so desire. A copy of the evaluation has been sent to the Contract Manager, ADOT Engineering Consultants Section, for information. Any written responses you may desire to submit concerning this evaluation should be directed to us, with a copy to the Contract Manager.

Sincerely,

(Project Manager's Name)
(Project Manager's Title)

c: Contract Manager (2 copies)

Enclosure

A. PROJECT MANAGEMENT (Continued)

5.	Cooperation	5	4	3	2	1
6.	Attitude	5	4	3	2	1

Additional Comments: _____

B. TASK ACTIVITIES:

1. Submittals: _____

2. Areas of Strength: _____

3. Areas for Improvement: _____

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

Subconsultant firm(s) & Area of Responsibility:

PERFORMANCE RATING

1. _____

5 4 3 2 1

2. _____

5 4 3 2 1

3. _____

5 4 3 2 1

4. _____

5 4 3 2 1

Comments: _____

C. OVERALL RATING OF PRIME CONSULTANT OF THIS EVALUATION:

5 4 3 2 1

Overall comments: _____

EVALUATION COMPLETION

Prepared By:

_____ of _____ on _____
ADOT Project Manager Date

EVALUATION APPROVAL

Approved by:

_____ on _____
ADOT Group Manager Date

Copies of this evaluation were submitted to Contract Manager, ADOT
Engineering Consultants Section on _____
Date

A rating of "5" = Outstanding, A rating of "3" = Average, A rating of "1" = Unsatisfactory

CONSULTANT EVALUATION RESTRICTION GUIDELINES

PURPOSE

The purpose of this policy is to define the restrictions that may be imposed upon consultants that receive an overall unsatisfactory performance rating.

PROCEDURE

Before any restrictions are placed on the Consultant for an unsatisfactory overall performance rating, the following will apply:

1. The ADOT Project Manager will submit the consultant evaluation to the appropriate Group Manager.
2. The ADOT Project Manager and Group Manager will meet with the Consultant regarding their performance rating. After a discussion with the Consultant and if the project schedule allows, ample time may be given to implement a plan of action to correct the deficiency. The final performance evaluation will be made by the Group Manager.
3. If the overall unsatisfactory performance rating is warranted, the Group Manager will forward the evaluation to the Consultant and a copy to Engineering Consultants Section for processing.
4. Engineering Consultants Section will forward a copy to the appropriate Deputy State Engineer and coordinate the process.
5. The Deputy State Engineer will meet with the Principal of the firm prior to making a recommendation to the State Engineer for imposition of any restrictions. They will determine whether the issues involve the subconsultant and if they should become involved in the process.
6. The Deputy State Engineer's recommendation for any restrictions will be forwarded to the State Engineer for final approval.
7. The State Engineer, Deputy State Engineer, Group Manager and Contract Administrator will meet to determine the course of action. The State Engineer will make final decisions whether restrictions are placed on the Consultant firm.
8. Engineering Consultants Section will apply and monitor any restrictions imposed by the Department.

RESTRICTIONS:

The following restrictions may be applied for contracts in process:

If an overall unsatisfactory progress performance rating is received on a specific contract, the Consultant will not be allowed to submit on any future ADOT projects (as a prime or subconsultant) until such time as a satisfactory performance rating is received on that contract. The Consultant must submit a plan of action to correct the deficiency before a satisfactory performance rating will be considered or the restrictions are rescinded. If an unsatisfactory performance rating is received during the selection process for a contract for which the Consultant is competing, their proposal can be rejected.

If an unsatisfactory performance rating is received after the completion of a contract, the Consultant will not be allowed to submit a proposal for any ADOT project for a period of three months from the final evaluation by the State Engineer. If an unsatisfactory performance rating is received during the selection process for a contract for which the Consultant is competing , their proposal may be rejected.

APPEAL PROCESS:

The Consultant may appeal the overall unsatisfactory performance rating to the State Engineer through the appropriate Deputy State Engineer. After the review of the appeal, the decision of the State Engineer is **final** and no further administrative appeals will be accepted. All appeals and responses must be in writing.