



Prime Provider Performance Evaluations

2007 Design/Bridge Conference
Design Division – Consultant Contract Office

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Prime Provider Performance Evaluations

- Why We Need Performance Evaluations
- It's A Management Tool
- Recognize The Value
- When To Discuss / When To Evaluate
- The Form
 - Contract and Project Information
 - Evaluation and Scoring
- Summary

Why Do We Need Evaluations?

It's Required:

- 43 Texas Administrative Code, §9.38 (h)(1) The department will document demonstrated competence and qualifications by evaluating the prime provider and project manager's performance.

Emphasis Change

Management Tool

Vs.

Selection Tool

Management
Tool



It's A Management Tool

It's A Tool For:

- Performance Feedback
(Report Card)
- Improving Contract Management
(PM Communication)
- Improving Contract Product
(Save Time and Money)
- Assisting With Provider Selection
(Further Differentiation)

Tool: Performance Feedback

- It's a report card
 - It contains a list of measurable quality and outcome standards
 - It provides a measurement of the provider's skill and ability to meet those standards

Tool: Improving Contract Management

- It's the next higher level of project communication
- 1st level - is specific to getting the job done
 - Deliverables
 - Progress (% complete)
 - Schedule
 - Problems
 - Information needs
- 2nd level - is specific to how well is the job being done
 - This is an evaluation against a measurable standard
 - If a problem exists, corrective measures are discussed and implemented

Getting the Job Done

Getting the Job Done Well
(A Quality Job)

Tool: Improving Contract Product

- Emphasize the evaluation as management tool,
 - Start at the kickoff meeting
- Providing timely feedback on management issues, while there is time to address them, it
 - Saves time (schedule)
 - Reduces waste
 - Reduces frustrations
- Learning from mistakes
 - Look at the trends - improving or declining

A Quality Product doesn't happen by chance,
It's planned and it's checked before delivered

Tool: Assisting With Provider Selection

- Consider performance as a criterion in the selection process (It's required)

Recognized Value

- Consultant Project Managers
 - Want To Know TxDOT's Opinion Of Their Performance
 - Need To Know – Good or Bad – Accurate Or Not
 - Want To Fix Any Problems Real or Perceived
 - Can improve with feedback
- TxDOT Project Managers
 - Communication Tool
 - Want Problems Fixed
 - Knowledge Of Past Performance Is Helpful During Selection Process

When To Discuss?

- At the contract kickoff meeting
 - Provide the project manager with a copy of the evaluation form
 - Discuss expectations
 - Discuss the intended interval and timing of evaluations

When To Evaluate?

- At a minimum on an annual basis
- Should be conducted more frequently if problems exist
- Providers have consistently indicated that they would prefer to be evaluated at the completion of milestones

The Form CCO-15

Part A Contract and Project Information

CCO 15

Texas Department of Transportation Prime Provider Evaluation Form

Part A - Contract and Project Information: If the information requested does not apply, enter N/A Firm Name: <input style="width: 200px;" type="text"/> Sequence#(*) <input style="width: 50px;" type="text"/> Evaluation Date: <input style="width: 150px;" type="text"/> Project Manager's (PM) Name: <input style="width: 150px;" type="text"/> Sequence#(*) <input style="width: 50px;" type="text"/> Contract No.: <input style="width: 100px;" type="text"/> Contract Type: <input type="checkbox"/> Specific Deliverable (SD) <input type="checkbox"/> Indefinite Deliverable (ID) Contract Execution Date: <input style="width: 100px;" type="text"/>									
1. EVALUATION TYPE: The first evaluation determines scope for all subsequent evaluations. The database will not provide for overall and work authorization evaluation combinations. <input type="checkbox"/> Overall Contract Evaluation <input type="checkbox"/> Work Authorization (WA) Evaluation WA No: <input style="width: 50px;" type="text"/> <hr/> If Indefinite Deliverable/Work Authorization Evaluation: WA Manager's Name (if different from PM): <input style="width: 150px;" type="text"/> WA Manager's Sequence # (*): <input style="width: 100px;" type="text"/> (Evaluate separate WA manager only if management responsibilities for a specific project/work authorization have been delegated with TxDOT approval.) <input type="checkbox"/> Contract OR <input type="checkbox"/> WA Value Being Evaluated <input type="checkbox"/> \$0 to \$100,000 <input type="checkbox"/> \$100,001 to \$500,000 <input type="checkbox"/> \$500,001 to \$1Million <input type="checkbox"/> Over \$1 Million to \$5 Million <input type="checkbox"/> Over \$5 Million	3. PROJECT INFORMATION : CSJ: <input style="width: 100px;" type="text"/> County: <input style="width: 100px;" type="text"/> Highway: <input style="width: 100px;" type="text"/> Limits/Length/Physical Project Description: <div style="border: 1px solid black; height: 40px; width: 100%;"></div> (Ex: widening, reconstruction, new location ROW mapping, control, DTM, etc.)								
2. EVALUATION STAGE: <table style="width:100%; border: none;"> <tr> <td style="width: 50%;">In-Progress</td> <td style="width: 50%;">Completion</td> </tr> <tr> <td><input type="checkbox"/> Annual</td> <td><input type="checkbox"/> Contract</td> </tr> <tr> <td><input type="checkbox"/> Milestone</td> <td><input type="checkbox"/> Work Authorization</td> </tr> <tr> <td><input type="checkbox"/> Other: <input style="width: 100px;" type="text"/></td> <td></td> </tr> </table>	In-Progress	Completion	<input type="checkbox"/> Annual	<input type="checkbox"/> Contract	<input type="checkbox"/> Milestone	<input type="checkbox"/> Work Authorization	<input type="checkbox"/> Other: <input style="width: 100px;" type="text"/>		4. PRIMARY WORK TYPE: <input type="checkbox"/> PS&E OR <input type="checkbox"/> Preliminary Eng./Planning Construction \$ Range (only applicable to PE or PS&E) <input type="checkbox"/> Less than \$5 Million <input type="checkbox"/> Over \$5 to \$20 Million <input type="checkbox"/> Over \$20 to \$100 Million <input type="checkbox"/> Over \$100 Million <input type="checkbox"/> Surveying <input type="checkbox"/> Architecture <input type="checkbox"/> Commercial Lab <input type="checkbox"/> Traffic Engineering <input type="checkbox"/> Bridge Inspection <input type="checkbox"/> Hydraulics & Hydrology <input type="checkbox"/> Environmental <input type="checkbox"/> Utility Support <input type="checkbox"/> Other: <input style="width: 100px;" type="text"/>
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<input type="checkbox"/> Other: <input style="width: 100px;" type="text"/>									
(*) Sequence numbers required for data entry.									

IF ADDING A NEW EVALUATION TO AN EXISTING CONTRACT, SELECT THE CONTRACT BELOW:

Contract Selection ▼

Part A - Contract and Project Information: If the information requested does not apply, enter N/A.Firm Name: Sequence #: Evaluation Date: ▼ ▼ ▼Project Manager's (PM) Name: Sequence #: Contract No: - Seq No (001)Contract Type: Specific Deliverable (SD) Indefinite Deliverable (ID) Contract Execution Date: ▼ ▼ ▼**1. EVALUATION TYPE:** The first evaluation determines scope for all subsequent evaluations. The database will not provide for overall and work authorization evaluation combinations. Overall Contract Evaluation Work Authorization (WA) EvaluationWA No: **If Indefinite Deliverable Work Authorization Evaluation:****WA Manager's Name (if different from PM):** ▼

(Evaluate separate WA manager only if management responsibilities for a specific project/work authorization have been delegated with TxDOT approval.)

Contract / WA Amount: ▼2. EVALUATION STAGE: ▼**3. PROJECT INFORMATION:**CSJ: (optional, numeric digits only)County: ▼Highway: **Limits/Length/Physical Project Description:**

(Ex: widening, reconstruction, new location, ROW mapping, control, DTM, etc.)

4. PRIMARY WORK TYPE: ▼Other Primary Work Type:

Construction \$ Range: (only applicable to PE or PS&E)

 ▼

CCO 15

Texas Department of Transportation Prime Provider Evaluation Form

Part A - Contract and Project Information: If the information requested does not apply, enter N/A

Firm Name: <input type="text"/>	Sequence#(*) <input type="text"/>	Evaluation Date: <input type="text"/>
Project Manager's (PM) Name: <input type="text"/>	Sequence#(*) <input type="text"/>	Contract No.: <input type="text"/>
Contract Type: <input type="checkbox"/> Specific Deliverable (SD) <input type="checkbox"/> Indefinite Deliverable (ID)	Contract Execution Date: <input type="text"/>	

1. EVALUATION TYPE: The first evaluation determines scope for all subsequent evaluations. The database will not provide for overall and work authorization evaluation combinations.

- Overall Contract Evaluation
- Work Authorization (WA) Evaluation
WA No:

If Indefinite Deliverable/Work Authorization Evaluation:

WA Manager's Name (if different from PM):

WA Manager's Sequence # (*):

(Evaluate separate WA manager only if management responsibilities for a specific project/work authorization have been delegated with TxDOT approval.)

- Contract **OR** WA Value Being Evaluated
- \$0 to \$100,000
- \$100,001 to \$500,000
- \$500,001 to \$1Million
- Over \$1 Million to \$5 Million
- Over \$5 Million

2. EVALUATION STAGE:

- | | |
|--|---|
| In-Progress | Completion |
| <input type="checkbox"/> Annual | <input type="checkbox"/> Contract |
| <input type="checkbox"/> Milestone | <input type="checkbox"/> Work Authorization |
| <input type="checkbox"/> Other: <input type="text"/> | |

(*) Sequence numbers required for data entry.

3. PROJECT INFORMATION :

CSJ:

County:

Highway:

Limits/Length/Physical Project Description:

(Ex: widening, reconstruction, new location ROW mapping, control, DTM, etc.)

4. PRIMARY WORK TYPE:

- PS&E **OR** Preliminary Eng./Planning
- Construction \$ Range (only applicable to PE or PS&E)
- Less than \$5 Million
- Over \$5 to \$20 Million
- Over \$20 to \$100 Million
- Over \$100 Million
-
- Surveying Architecture
- Commercial Lab Traffic Engineering
- Bridge Inspection Hydraulics & Hydrology
- Environmental Utility Support
- Other:

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In-Progress		Completion	
<input type="checkbox"/> Annual	<input type="checkbox"/> Milestone	<input type="checkbox"/> Contract	<input type="checkbox"/> Work Authorization
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2. EVALUATION STAGE:

In-Progress	Completion
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Part A - Contract and Project Information: If the information requested does not apply, enter N/A									
Firm Name: <input style="width:90%;" type="text"/>	Sequence#(*) <input style="width:15%;" type="text"/> Evaluation Date: <input style="width:60%;" type="text"/>								
Project Manager's (PM) Name: <input style="width:90%;" type="text"/>	Sequence#(*) <input style="width:15%;" type="text"/> Contract No.: <input style="width:60%;" type="text"/>								
Contract Type: <input type="checkbox"/> Specific Deliverable (SD) <input type="checkbox"/> Indefinite Deliverable (ID)	Contract Execution Date: <input style="width:60%;" type="text"/>								
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| <input type="checkbox"/> Bridge Inspection | <input type="checkbox"/> Hydraulics & Hydrology |
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| <input type="checkbox"/> Other: <input type="text"/> | |

(*) Sequence numbers required for data entry.

CCO-15

Part B

Evaluation Criteria And Scoring

11 PM Evaluation Criteria

3 Firm Evaluation Criteria

Scoring System

Part B - Evaluation Criteria and Scoring

		A	B								A+B
Project Manager Evaluation		Base Score	-15	-12	-9	-6	-3	+0	+3	+6	Total
1	Accuracy and Completeness of Deliverables: Information and/or quantities are correct. Technical judgment was exercised. Quality assurance measures are implemented - apparent that deliverables are checked prior to submission. (Preliminary/final plans, draft/final reports, presentation materials, data, test results, etc.)	17	Significant errors; incomplete; technical issues; apparent that deliverables are not checked <input type="checkbox"/>	Between -9 and -15 <input type="checkbox"/>	Numerous corrections needed; partially incomplete; questionable that deliverables are checked <input type="checkbox"/>	More than reasonable corrections needed <input type="checkbox"/>	This Score Not Available	Satisfactory; corrections needed, reasonable, easily addressed in comparison to project complexity <input type="checkbox"/>	Few, if any, accuracy problems or edits required; saved TxDOT time <input type="checkbox"/>	Innovative approach implemented that saved time, money, or improved product quality <input type="checkbox"/>	0
TxDOT Remarks											
2	Deliverable Presentation and Format: Products are neat, organized, clear, and in conformance with applicable standards and requirements	14	This Score Not Available	Unorganized; TxDOT standards or format not used <input type="checkbox"/>	TxDOT standards randomly followed; deliverable presentation affects product usefulness <input type="checkbox"/>	Acceptable, but needs improvement <input type="checkbox"/>	This Score Not Available	Satisfactory Deliverables <input type="checkbox"/>	This Score Not Available	Excellent presentation; adds to overall quality of project <input type="checkbox"/>	0
TxDOT Remarks											
3	Schedule Management: Generally adheres to the schedule and meets major deadlines. Also, proactive in addressing issues potentially affecting schedule. (Missed deadlines attributed to slow or poorly timed TxDOT responses should not count against the provider.)	13	This Score Not Available	Missed deadlines significantly affected TxDOT project development schedule <input type="checkbox"/>	Missed deadlines affected TxDOT project development schedule <input type="checkbox"/>	Inconsistent; deadlines periodically missed without advance notification/coordination with TxDOT <input type="checkbox"/>	Deadlines periodically missed, but proactive in advance notification/coordination with TxDOT <input type="checkbox"/>	Deadlines met; Effective Schedule Management <input type="checkbox"/>	This Score Not Available	Compressed schedule met <input type="checkbox"/>	0
TxDOT Remarks											

Project Manager Criteria

1. Accuracy And Completeness Of Deliverables
2. Deliverable Presentation And Format
3. Schedule Management
4. Responsiveness to Review Comments
5. Level Of TxDOT Oversight
6. PM Responsiveness/Availability

Project Manager Criteria

7. Coordination And Communication
8. Reliability/Responsibility
9. Subconsultant Management
10. Scope Management – Supplemental Work
11. Contract Administration

Scoring System

- Project Manager Starts With 100 Points
- Not The Traditional 100 Point Scale
- A 100 Point System Unique To The Evaluation Process
- Points Are Deducted Or Added

Criteria Weighting

- Each Criteria Assigned a Base Score
- For PM – Highest Is 17, Lowest Is 4
- PM Base Scores Total 100

Part B - Evaluation Criteria and Scoring

		A			B			A+B			
Project Manager Evaluation		Base Score	-15	-12	-9	-6	-3	+0	+3	+6	Total
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2	Deliverable Presentation and Format: Products are neat, organized, clear, and in conformance with applicable standards and requirements	14	This Score Not Available	Unorganized; TxDOT standards or format not used	TxDOT standards randomly followed; deliverable presentation affects product usefulness	Acceptable, but needs improvement	This Score Not Available	Satisfactory Deliverables	This Score Not Available	Excellent presentation; adds to overall quality of project	0
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3	Schedule Management: Generally adheres to the schedule and meets major deadlines. Also, proactive in addressing issues potentially affecting schedule. (Missed deadlines attributed to slow or poorly timed TxDOT responses should not count against the provider.)	13	This Score Not Available	Missed deadlines significantly affected TxDOT project development schedule	Missed deadlines affected TxDOT project development schedule	Inconsistent; deadlines periodically missed without advance notification/coordination with TxDOT	Deadlines periodically missed, but proactive in advance notification/coordination with TxDOT	Deadlines met; Effective Schedule Management	This Score Not Available	Compressed schedule met	0
TxDOT Remarks											

Scoring

- For Performance Less Than Satisfactory
 - Points Are Subtracted In Increments Of Three
 - Not To Exceed The Base Score
- For Performance That Saves Money Or Adds Value
 - Points Can Be Added In Increments Of Three
 - Points Are Not Added Simply For Extra Credit
- Possible PM Score Range Is 13 To 127

Firm Criteria

1. Responsiveness
2. Resource Management
3. Invoicing

Part B - Evaluation Criteria and Scoring

		A	B							A+B	
Firm Evaluation		Base Score	-15	-12	-9	-6	-3	+0	+3	+6	Total
1	Responsiveness: Anticipates or responds timely to needs identified by TxDOT, such as adjusting resources in response to schedule demands, replacing project manager, task leaders, or other staff, if problems exist.	20	Not responsive; problems not addressed <input type="checkbox"/>	Between -9 and -15 <input type="checkbox"/>	Between -6 and -12 <input type="checkbox"/>	Some attempt made, but less than satisfactory <input type="checkbox"/>	This Score Not Available	Satisfactory; Firm Responsive <input type="checkbox"/>	Firm goes above and beyond normal practices in response to TxDOT needs <input type="checkbox"/>	This Score Not Available	0
TxDOT Remarks											
2	Resource Management: Personnel/expertise and/or equipment are appropriately allocated. Promptly/adequately addresses staffing issues, when necessary. Minimum reallocation of staff throughout project life except for instances beyond the provider's control (retirements, resignations, dismissals, unexpected/excessive delays imposed by TxDOT or others).	20	Personnel or equipment not appropriate; multiple changes in PM or key staff <input type="checkbox"/>	Between -9 and -15 <input type="checkbox"/>	Between -6 and -12 <input type="checkbox"/>	Less than satisfactory <input type="checkbox"/>	This Score Not Available	Satisfactory Resource Management <input type="checkbox"/>	Minimum reallocation of staff when significant uncontrollable delays occur <input type="checkbox"/>	This Score Not Available	0
TxDOT Remarks											
3	Invoicing: Neat, accurate, consistent, includes required back-up, prepared according to payment terms, and timely (according to contract terms).	10	This Score Not Available	This Score Not Available	Frequently late or consistently submitted with problems <input type="checkbox"/>	Less than satisfactory; periodically late; frequent problems <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>	Satisfactory On-Time; generally good form <input type="checkbox"/>	On-Time; exceptional form; saves TxDOT time <input type="checkbox"/>	This Score Not Available	0
TxDOT Remarks											
Firm Total		50									0

Firm Scoring

- Base Score Is 50
- Possible Firm Score Range Is 11 To 59

CCO-15

Signatures And Comments

TxDOT Comments:

Provider Comments:

NOTE: Attach additional pages for comments if needed.

This is to acknowledge that I prepared this evaluation and discussed it with the provider project manager.

TxDOT Project Manager Signature:

Print TxDOT Project Manager Name on the line above:
Date: _____

This evaluation shall be returned to TxDOT by: _____

This is to acknowledge that I have read this evaluation and discussed it with the TxDOT project manager. My signature does not necessarily mean that I agree with the evaluation.

Provider Project Manager Signature:

Print Provider Project Manager Name on the line above:
Date: _____

- Evaluation returned unsigned
- Evaluation not returned

Part B - Evaluation Criteria and Scoring

Project Manager Evaluation		A	B						A+B		
		Base Score	-15	-12	-9	-6	-3	+0	+3	+6	Total
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2	Deliverable Presentation and Format: Products are neat, organized, clear, and in conformance with applicable standards and requirements	14	This Score Not Available	Unorganized; TxDOT standards or format not used	TxDOT standards randomly followed; deliverable presentation affects product usefulness	Acceptable, but needs improvement	This Score Not Available	Satisfactory Deliverables	This Score Not Available	Excellent presentation; adds to overall quality of project	0
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Summary

Emphasis Change

Management Tool

Vs.

Selection Tool

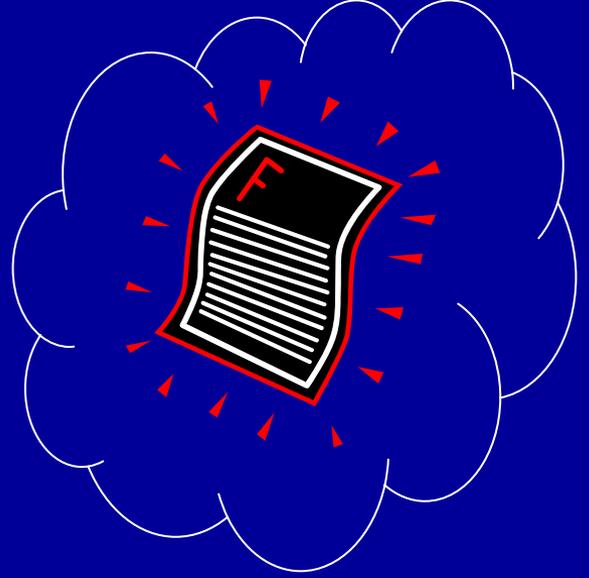
Management
Tool



The Emphasis is on Communication

- **At the Start:** State what is expected
 - Provide a copy of the evaluation form
- **At logical points:** Provide feedback
 - Can correct problems
 - Can head off bigger or compounded problems
- **At the end:** Provide feedback
 - The results should not be a surprise
 - Starting here doesn't provide opportunities to correct or head off problems

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OOO-16 Texas Department of Transportation Prime Provider Evaluation Form
Form OOO-16 Provider Evaluation (Rev. 8/2005)

Part A - Contract and Project Information: If the information represents more than one, enter NA

Gen Name: _____ Sequence: Evaluation Date: _____
 Contract Manager (PM) Name: _____ Sequence: Contract No.: _____
 Contract Type: Specific Deliverable (SD) Milestone Deliverable (MD) Contract Execution Date: _____

1. EVALUATION TYPE: This information is intended to be used for all subsequent evaluations. This database will not provide for manual and automatic evaluation combinations.

Overall Contract Evaluation: _____
 Work Authorization (WA) Evaluation: _____
 WA No.: _____

If Milestone Deliverable/Work Authorization Evaluation:
 WA Manager's Name (if different from PM): _____
 WA Manager's Sequence # (C): _____
 (Evaluate separate WA Manager only if management responsibility for a specific milestone deliverable has been assigned with OOOO approval)

Contract OR WA Value Being Evaluated

2. EVALUATION STAGE:

Progress: _____ Completion: _____
 Annual: _____ Contract: _____
 Milestone: _____ Work Authorization: _____
 Other: _____

3. PROJECT INFORMATION:

City: _____
 County: _____
 Highway: _____
 Limited length/Physical Project Description: _____

4. PRIMARY WORK TYPE:

PSISE OR Preliminary Eng. Planning
 Construction \$ Range (only applicable to PE or PSISE)
 Less than \$5 Million _____
 Over \$5 to \$20 Million _____
 Over \$20 to \$100 Million _____
 Over \$100 Million _____

Surveying _____ Architecture _____
 Professional Lab. _____ Traffic Engineering _____
 Bridge Inspection _____ Hydraulics & Hydrology _____
 Environmental _____ Liability Support _____
 Other: _____

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Questions?