Understanding the Response Process
2019 PEPS Conference
Martha Juch, P.E., CFM, D.WRE
Mindy Sawyer, P.E.

Presentation Topics
1. Welcome to PEPS
2. Overview of the PEPS Solicitation
3. The Response
4. Cover Page
5. Q&R Template
6. Proposal
7. PTC Form
8. Subprovider Contact Information
9. HUB Subcontracting Plan (HSP)
10. NLC Qualifications Template
11. Questions about the Solicitation
12. Screening Checklists
13. Best Practices (Don’t be Disqualified)
14. What’s Next
15. Wrap-Up
Welcome to PEPS
Mindy Sawyer, P.E.
Welcome to PEPS

- Do you know all our acronyms?

Overview of the PEPS Solicitation

Mindy Sawyer, P.E.
PEPS Selection Process – Solicitation - Response

Selection Process

- Comprehensive
- Streamlined
- Accelerated
- Federal

Solicitation

- Request for Qualifications
- Request for Proposals

Response

- Statement of Qualifications
- Proposal

Comparison of Processes

- Accelerated & Streamlined without Interviews
  - RFQ
  - SOQ
  - Selection

- Federal without Interviews
  - RFP
  - Proposal
  - Selection

- Streamlined with Interviews & Comprehensive (Non-Federal)
  - RFQ
  - SOQ
  - Short List
  - Interview
  - Selection

- Federal with Interviews and Federal Management
  - RFP
  - Proposal
  - Short List
  - Interview
  - Selection
The Response

Mindy Sawyer, P.E.

What is the Response?

The provider response tells TxDOT why they are the most qualified

- Statement of Qualifications (SOQ): Non-Federal Selection Processes
- Proposal: Federal Selection Process

PICK ME
Statement of Qualifications (SOQ)

Provider response for the Accelerated, Streamlined, and Comprehensive selection processes

SOQ components (“attachments”) include:

<table>
<thead>
<tr>
<th>Attachment</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attachment 1: SOQ Cover Page</td>
<td></td>
</tr>
<tr>
<td>Attachment 2: Questions &amp; Responses (Q&amp;R) Template</td>
<td></td>
</tr>
<tr>
<td>Attachment 3: Project Team Composition (PTC) Form (Parts 1, 2 &amp; 3)</td>
<td></td>
</tr>
<tr>
<td>Attachment 4: Funding Specific Document • HUB Subcontracting Plan (non-federal funding) • Sub-provider Contact Information – DBE Goal (federal funding)</td>
<td></td>
</tr>
<tr>
<td>Attachment 5: Non-Listed Category (NLC) Qualifications Template (if required)</td>
<td></td>
</tr>
<tr>
<td>Attachment 6: Attachments specific to the project(s)</td>
<td></td>
</tr>
</tbody>
</table>

Proposal Package

Provider response for the Federal selection process

Package components (“attachments”) include:

<table>
<thead>
<tr>
<th>Attachment</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attachment 1: Proposal Cover Page</td>
<td></td>
</tr>
<tr>
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</tr>
<tr>
<td>Attachment 6: Attachments specific to the project(s)</td>
<td></td>
</tr>
</tbody>
</table>
Information at the Top

Note the date and time the response is due to TxDOT. Failure to submit on-time is non-responsive.

The consultant will fill in the firm’s legal name.

Solicitation Number: 601CT0000000XXX
Proposal Cover Page Template

Instructions:
- Prime Provider must complete the sections below. Failure to complete all of the information, including the signature of the Project Manager, will result in the Proposal being considered non-responsive.
- Print completed form and submit with the Proposal submission packet.

Prime Provider (legal firm name):
## Certification Statements

The consultant must complete each certification.

- Failure to certify each statement is non-responsive.

### Certification Form

<table>
<thead>
<tr>
<th>Certification</th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>The <strong>Prime Provider Firm</strong> certifies that the prime firm and all subprovider firms performing engineering, architecture, or surveying services are registered or licensed with the appropriate State licensing Board (Texas Board of Professional Engineers and Land Surveyors, or Texas Board of Architectural Examiners), and will maintain active status while completing any work authorities that may result from the contract, if awarded.</td>
<td>✔️</td>
<td>☐</td>
</tr>
<tr>
<td>The <strong>Prime Provider Firm</strong> certifies that the individuals on the project team are currently employed by either the prime provider firm or a subprovider firm that has been identified as part of the team.</td>
<td>✔️</td>
<td>☐</td>
</tr>
<tr>
<td>The <strong>Prime Provider Firm</strong> certifies that neither the prime provider firm, nor any of the subprovider firms on the team, are prohibited from entering into a contract with TxDOT as a result of a financial interest as defined under Texas Govt Code Sec. 2261.252(b). (Reference the Conflict of Interest section of this Request for Proposals for additional information.)</td>
<td>✔️</td>
<td>☐</td>
</tr>
</tbody>
</table>

## Signatures

The Prime Provider Project Manager must sign and complete the form.

- Failure to sign the cover page is non-responsive.

### Signatures Form

CERTIFICATION: With the signature below, you acknowledge and agree with the certification statements on this form. (An electronic signature is acceptable.)

I certify that the information in this Proposal represents the knowledge and experience of me, my firm and subproviders (if any):

- Printed Name of Prime Provider’s Project Manager: John Hancock
- Prime Provider’s Project Manager’s Signature: ✔️
- Prime Provider’s Project Manager’s License Number: ✔️
- Prime Provider’s Applicable License/Registration Number: ✔️
- Project Manager’s Email Address: ✔️
- Project Manager’s Address: ✔️
- Project Manager’s Phone Number: ✔️
List of Attachments for the submittal

Failure to include all of the attachments is non-responsive

The Proposal submittal package must include one (1) PDF on a USB Flash or Jump Drive and one (1) duplicate original Proposal package on paper.

<table>
<thead>
<tr>
<th>List of Attachments</th>
<th>Notes:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attachment 1: Proposal Cover Page</td>
<td></td>
</tr>
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<td></td>
</tr>
<tr>
<td>Attachment 4: Subprovider Contact Information – DBE Goal</td>
<td></td>
</tr>
<tr>
<td>Attachment 5: Non-Listed Category (NLC) Qualifications Template - Refer to the submittal instructions in the Request for Proposals</td>
<td></td>
</tr>
</tbody>
</table>

Q&R Template

Martha Juch, P.E., CFM, D.WRE
Request for Qualifications (RFQ)

Questions and Responses (Q&R):
Firms must respond to the questions stated in the Q&R Template. Responses must be submitted on the Q&R Template. No other format will be accepted.
The project manager identified in the Questions & Response Template must match the project manager listed on the PTC form or the SOQ will be considered non-responsive. A Work Category task leader identified in the Questions & Response Template must match the task leader listed on the PTC form for the same Work Category or the SOQ will be considered non-responsive.
Responses are limited to space allotted in the Q&R Template. Content outside the space allotted in the Q&R Template will not be evaluated. Additional pages will not be accepted, except for the attachments listed under the section SOQ Submittal Format.
Any false statement provided by a firm may void the submitted response. TxDOT may take any additional action provided by law regarding false statements submitted as part of the solicitation.

Question and Response Template

Solicitation Number: 601C0000000XXX
Attachment 2: Question & Response Template

Provider Name: 

SCENARIO: For this scenario, assume you are tasked with the design of a rehabilitation project for a rural two-lane roadway classified as a minor collector. The terrain is level; there is a posted speed limit of 70 mph and the average daily traffic (ADT) is 800 vehicles per day. The roadway is not on the national highway system. Existing ADT has large heavy truck traffic. The pavement section is anticipated to be 15 inches in depth and roadway is to be widened from 20 feet to 20 feet.

Question 1: (10%) Detail your approach to the traffic control plan for this project. Provide a conceptual description along with justification for your plan.

Response limited #### characters with spaces.

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10
Developing a Great Response

The CST crafts questions that reflect the goals of the contract

The provider gives responses that are thorough and unique

Tip: Avoid wasting words on marketing – focus on answering the question

Proposal

Martha Juch, P.E., CFM, D.WRE
## Proposal Evaluation Criteria

The CST members will independently score Proposals based on the evaluation criteria and relative importance factors (weightings) provided below.

<table>
<thead>
<tr>
<th>Evaluation Criteria</th>
<th>Proposal should include:</th>
<th>Weighting for Evaluation of Proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Technical Approach</td>
<td>Project understanding, innovative concepts or alternatives, quality control procedures, staffing</td>
<td>XXX%</td>
</tr>
<tr>
<td>2 Project manager’s relevant experience</td>
<td>Similar or related projects, project management</td>
<td>XXX%</td>
</tr>
<tr>
<td>3 Key staff’s relevant experience</td>
<td>Similar projects</td>
<td>XXX%</td>
</tr>
</tbody>
</table>

| Past Performance Score               | 5 to 10%                                   |                                      |
| Total                                | 100%                                      |                                      |

The sum of the three criteria and Past Performance Score weightings used for the evaluation of the Proposal must equal 100%. The Proposal scores will be used to determine the short list (see Selection Procedure section in this RFP).

## Proposal Content

The prime provider firm must use the information in the following paragraph to produce a written narrative (Proposal). The project manager identified in the Proposal must match the project manager listed on the PTC form or the Proposal will be considered non-responsive. A Work Category task leader identified in the Proposal must match the task leader listed on the PTC form for the same Work Category or the Proposal will be considered non-responsive. In developing the narrative, the prime provider firm should focus on the technical approach, the experience of the prime provider project manager, and the key staff’s relevant experience (prime provider or subprovider) as they relate to the information in the following paragraph:
Developing a Great Proposal

The CST crafts a request for information related to the contract or discipline of work.

The provider prepares a written narrative that provides the requested information and tells TxDOT why they are the best for the contract.

Tip: Provide the requested information and focus on addressing each criteria.

Proposal Format

The format of the Proposal provides latitude for the provider.

The length of the Proposal is set in the RFP.

The Proposal must be legible when printed on 8 ½ by 11 inch paper.

Prime firm name, solicitation number, and page number should be included on each page.
PTC Form
Mindy Sawyer, P.E.
### Project Team Composition (PTC) Form – Part 2

#### Task Leader Precertification

**Part 2 of 3**

*Federal Process*

<table>
<thead>
<tr>
<th>Work Category No.</th>
<th>Category Name</th>
<th>E &amp; D Related Services</th>
<th>Related Percentage</th>
<th>Advertised Percentage</th>
<th>% Total</th>
<th>Firm Name</th>
<th>Emp. Seq. No.</th>
<th>Firm Leader</th>
<th>Task Leader Name</th>
<th>Task Leader Active?</th>
</tr>
</thead>
<tbody>
<tr>
<td>15.1</td>
<td>Item Management</td>
<td>0.50%</td>
<td>0.50%</td>
<td>0.50%</td>
<td>0.50%</td>
<td>AAA</td>
<td>77777</td>
<td>JONES, WARRI</td>
<td>JONES, WARRI</td>
<td>5291 WRTY</td>
</tr>
<tr>
<td>15.2</td>
<td>Item and Access (LRT)</td>
<td>0.50%</td>
<td>0.50%</td>
<td>0.50%</td>
<td>0.50%</td>
<td>CCC</td>
<td>33333</td>
<td>DAVENPORT, SHANE</td>
<td>DAVENPORT, SHANE</td>
<td>4200 WRTY</td>
</tr>
<tr>
<td>15.3</td>
<td>Utility Management and Coordination</td>
<td>0.50%</td>
<td>0.50%</td>
<td>0.50%</td>
<td>0.50%</td>
<td>AAA</td>
<td>11111</td>
<td>REED, REED</td>
<td>REED, REED</td>
<td>TH1102 WRTY</td>
</tr>
</tbody>
</table>

**Total** 100.00%

---

### Project Team Composition (PTC) Form – Part 3

#### Task Leader Precertification

**Part 2 of 3**

*Federal Process*

<table>
<thead>
<tr>
<th>Work Category No.</th>
<th>Category Name</th>
<th>E &amp; D Related Services</th>
<th>Related Percentage</th>
<th>Advertised Percentage</th>
<th>% Total</th>
<th>Firm Name</th>
<th>Emp. Seq. No.</th>
<th>Firm Leader</th>
<th>Task Leader Name</th>
<th>Task Leader Active?</th>
</tr>
</thead>
<tbody>
<tr>
<td>15.1</td>
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<td>0.50%</td>
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<td>0.50%</td>
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<td>Utility Management and Coordination</td>
<td>0.50%</td>
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<td>0.50%</td>
<td>AAA</td>
<td>11111</td>
<td>REED, REED</td>
<td>REED, REED</td>
<td>TH1102 WRTY</td>
</tr>
</tbody>
</table>

**Total** 100.00%
### Subprovider Contact Information

**Mindy Sawyer, P.E.**

<table>
<thead>
<tr>
<th>Solicitation Number:</th>
<th>Prime Provider Name: (as shown on Proposal Cover Page):</th>
<th>DBE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Is the Prime Provider a certified DBE? Yes/No</td>
<td></td>
</tr>
</tbody>
</table>

The Prime Provider shall indicate all Subprovider firms contacted for teaming efforts for this solicitation, regardless if they are selected to be part of the team on a contract for this solicitation.

This attachment is required for all solicitations with DBE goals. The subproviders indicated on this form as part of the team with a "Yes" under the column heading "Subprovider is Part of Contract Team" shall be consistent with those shown on the Project Team Composition (PTC) form.

This form is setup to print on 8.5” x 11” paper. If additional rows are needed, you may add duplicate forms as needed.

<table>
<thead>
<tr>
<th>Subprovider Contact Name</th>
<th>Subprovider Firm Name</th>
<th>Mail Address (complete address)</th>
<th>Email Address</th>
<th>Telephone No. (including area code)</th>
<th>Subprovider Certification Status: DBE, HUB, DBE&amp;HUB, or N/A</th>
<th>Subprovider is Part of Contract Team: Yes/No</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

2019 PEPS Conference | November 20, 2019
**Subprovider Contact Information**

- Identifies all firms contacted about the solicitation
- Required for all solicitations with DBE goals
- Subproviders indicated as part of the team must be consistent with the PTC form

**HUB Subcontracting Plan (HSP)**

*Mindy Sawyer, P.E.*
Quick Checklist

• Assists you in identifying the sections of the HSP form you will need to complete.

HUB Subcontracting Plan (HSP)

• Section 1 – Respondent and Requisition Information
• Section 2 – Respondent’s Subcontracting Intentions
• Section 3 – Self Performing Justification
• Section 4 – Affirmation

Good Faith Effort Methods

Method A (Attachment A) HSP Good Faith Effort
• Section A-1: Subcontracting Opportunity
• Section A-2: Subcontractor Selection

Method B (Attachment B) HSP Good Faith Effort
• Section B-1 Subcontracting Opportunity
• Section B-2 Mentor Protégé Program
• Section B-3 Notification Of Subcontracting Opportunity
• Section B-4 Subcontractor Selection

HUB Subcontracting Opportunity Notification Form

• Section A: Prime Contractor’s Information
• Section B: Contracting State Agency and Requisition Information
• Section C: Subcontracting Opportunity Response Due Date, Description, Requirements and Related Information
HUB Goal

Subprovider HUB commitment in the HSP becomes the HUB Goal in the contract

The Prime must use the subproviders as proposed in the HSP

NLC Qualifications Template

Mindy Sawyer, P.E.
Non-Listed Work Categories

- Used to solicit a Task Leader with a skill set unique to the contract
- Template will include a description of the work and the minimum qualifications required for the Task Leader
- Not used on every contract – NLCs must be developed by the CST and approved by the PEPS Division Director
- Provider must complete the template and show how their proposed Task Leader meets the minimum qualifications
- NLCs are screened “Meets” or “Does not Meet” – they are not scored

Questions about the Solicitation

Martha Juch, P.E., CFM, D.WRE
May Providers Ask Questions about the Solicitation?

YES!
Ask Questions!

Questions must be submitted in writing to the Procurement Engineer.
The deadline for submitting questions is in the RFQ/RFP.

Screening Checklists

*Martha Juch, P.E., CFM, D.WRE*
Screening Checklists

SOQ Screening Checklist

Proposal Screening Checklist

Best Practices (Don’t be Disqualified)
Martha Juch, P.E., CFM, D.WRE
Avoid the “Delivery DQ”

**Be On Time**
- Deadline is fixed
- Don’t be late!

**Deliver to Correct Location**
- PEPS PEPSI
  - Check the address
  - Don’t use abbreviations!

**Best Practice**
- Deliver it yourself
- Deliver it the day before

---

**Best Practices – Cover Sheet and Attachments**

- Complete the certification statements
- Sign the Cover Page
- Include all Attachments
- Check the pdf files and the hard copy for completeness. The pdf file is the copy of record.
- Review the screening checklist and avoid the DQ triggers!
Best Practices – Project Manager and Task Leaders

The Prime Provider Project Manager listed on the Cover Sheet, or in the Q&R or Proposal, must match the name on the PTC Form.

A Work Category Task Leader named in the Q&R or Proposal must be the same name listed for that work category on the PTC Form.

It is the prime provider’s responsibility to check the DBE and HUB status of each subprovider.

For federal procurements: the prime provider must check the AQ status of each subprovider.

What’s Next?

Martha Juch, P.E., CFM, D.WRE
Remember – only the content in the Q&R or Proposal is Scored!

<table>
<thead>
<tr>
<th>SOQ Scoring</th>
<th>Proposal Scoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Criteria is determined by the CST</td>
<td>Standardized criteria are used</td>
</tr>
<tr>
<td>Past Performance Evaluations - included in the scoring for both</td>
<td></td>
</tr>
</tbody>
</table>

What happens after the Responses are scored by the CST?

- **Accelerated & Streamlined without Interviews**
  - RFQ
  - SOQ
  - Selection

- **Federal without Interviews**
  - RFP
  - Proposal
  - Selection

- **Streamlined with Interviews & Comprehensive (Non-Federal)**
  - RFQ
  - SOQ
  - Short List
  - Interview
  - Selection

- **Federal with Interviews and Federal Management**
  - RFP
  - Proposal
  - Short List
  - Interview
  - Selection
Interview Format Options

Option 1 – Provider Presentation and Q&A Session

- CST selects the format based on the contract type
- Provider receives interview presentation content, format, and schedule in the Interview and Contract Guide a few weeks before the interview

Option 2 – Provider Question & Answer Session

Selection

- Firms are ranked according to their interview scores
- Top ranked firm(s) are selected
- Selected teams are posted on TxDOT.gov
- Providers may request a debrief
Best Response = Contract

You
Win!

Questions and Discussion
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Martha is a new Grandma to baby Benjamin Juch!