



Understanding the Response Process

2019 PEPS Conference

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Mindy Sawyer, P.E.

November 20, 2019

Presentation Topics



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Welcome to PEPS

• Do you know all our acronyms?

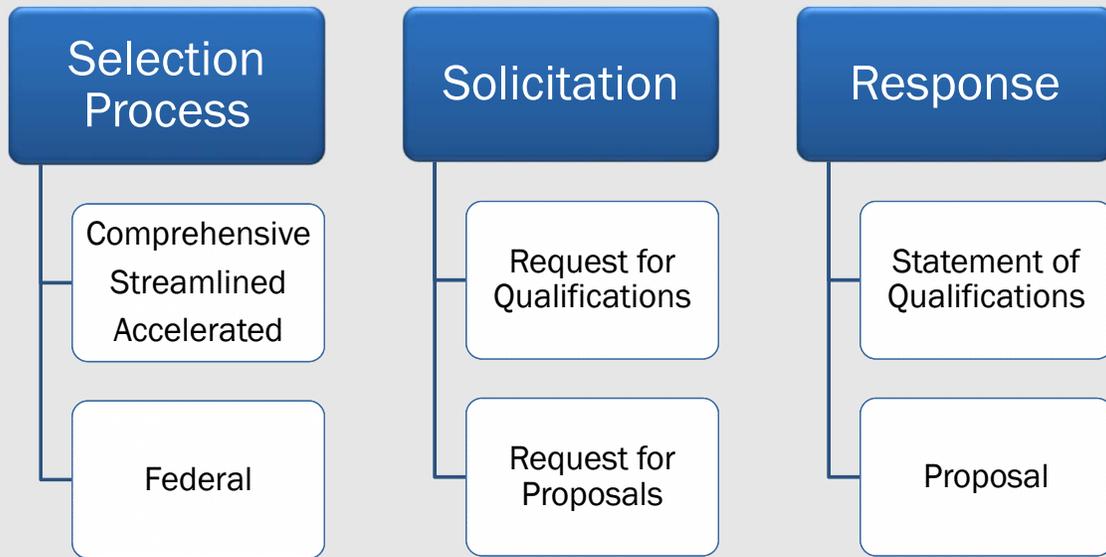
COE PEPS

SOQ DBE ID SOO SIG HUB DTC CST N.C. SD

Overview of the PEPS Solicitation

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PEPS Selection Process – Solicitation - Response



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Comparison of Processes



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The Response

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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

Statement of Qualifications (SOQ)

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

SOQ components (“attachments”) include:

Attachment 1: SOQ Cover Page	Attachment 2: Questions & Responses (Q&R) Template	Attachment 3: Project Team Composition (PTC) Form (Parts 1, 2 & 3)	Attachment 4: Funding Specific Document <ul style="list-style-type: none">• HUB Subcontracting Plan (non-federal funding)• Sub-provider Contact Information – DBE Goal (federal funding)	Attachment 5: Non-Listed Category (NLC) Qualifications Template (if required)	Attachment 6: Attachments specific to the project(s)
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Proposal Package

Provider response for the Federal selection process

Package components (“attachments”) include:

Attachment 1: Proposal Cover Page	Attachment 2: Proposal	Attachment 3: Project Team Composition (PTC) Form (Parts 1, 2 & 3)	Attachment 4: Sub-provider Contact Information – DBE Goal	Attachment 5: Non-Listed Category (NLC) Qualifications Template (if required)	Attachment 6: Attachments specific to the project(s)
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Cover Page

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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

TxDOT Receipt Deadline
Receive by: **MM/DD/YY**
Time: 1:00 PM (CT)

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 submittal packet.

Prime Provider (legal firm name): _____

Certification Statements



The consultant must complete each certification

Failure to certify each statement is non-responsive

CERTIFICATION	YES	NO	FOR TxDOT USE ONLY
The Prime Provider Firm 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 authorizations that may result from the contract, if awarded.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Prime Provider Firm certifies that the prime firm and all subprovider firms are registered, as required, with the Texas Secretary of State's office to do business in the State of Texas with the legal firm name as indicated on this form and on the Project Team Composition Form.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Prime Provider Firm 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.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Prime Provider Firm certifies that a Professional Engineer, Registered Architect or Professional Land Surveyor , registered or licensed in Texas, will sign and seal the work to be performed on the contract.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Prime Provider Firm certifies that it will perform at least 30 percent of the contracted work with its own work force.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
The Prime Provider Firm 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.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

Signatures



The Prime Provider Project Manager must sign and complete the form

Failure to sign the cover page is non-responsive

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: ★

Prime Provider's Project Manager Signature: John Hancock Date: ★

Prime Provider's Project Manager's TBPEL/TBAE License Number: ★

Prime Provider's Applicable TBPE/TBAE/TBPLS Firm Registration Number: ★

Project Manager's Email Address: ★

Project Manager's Address: ★

Project Manager's Phone Number: ★

Second Page



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.

List of Attachments	Notes:
Attachment 1: Proposal Cover Page	
Attachment 2: Proposal	
Attachment 3: Project Team Composition Form (Part 1, 2 & 3)	
Attachment 4: Subprovider Contact Information – DBE Goal	
Attachment 5: Non-Listed Category (NLC) Qualifications Template- Refer to the submittal instructions in the Request for Proposals.	

Q&R Template

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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: 601CT0000000XXX

Attachment 2: Question & Response Template

Instructions: - All firms must complete the sections below. Print completed forms and submit with the SOQ submittal packet.

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 600 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 28 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).

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

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Proposal

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Proposal Evaluation Criteria

Proposal Evaluation Criteria

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

	Evaluation Criteria	Proposal should include:	Weighting for Evaluation of Proposal
1	Technical Approach	Project understanding, innovative concepts or alternatives, quality control procedures, staffing	XX%
2	Project manager's relevant experience	Similar or related projects, project management	XX%
3	Key staff's relevant experience	Similar projects	XX%
	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).

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Proposal Content



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

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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

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PTC Form

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Project Team Composition (PTC) Form – Part 1

Project Team Composition
DBE Verification
Part 1 of 3
(Federal Process)

TxDOT Assigned Goal: DBE: 16.0% Solicitation Number: 601CT000008888

Is your firm (Prime Provider) a Certified DBE? Yes No

Prime Provider Project Mgr		Johnny Appleseed, P.E.		Administratively Qualified		% of work that prime provider and subproviders are responsible for				TxDOT Use Only:	
Firm Seq. No.	Acronym/Abbreviation*	Legal Firm Name**	Vendor ID Number	Yes	No	Prime	Non-DBE	DBE	Total	DBE TUCP Directory (Y/N)	DBE NAICS Code
11111	AAA	ARROWS AND APPLES INC.	111111111111111	X		55.50%	55.50%				
Subproviders											
22222	888	BROKEN BOW BRIDGES INC.	2222222222222	X			17.25%				
33333	CCC	COMMON CIVIL CO. INC.	3333333333333	X				20.50%			
44444	DDD	DYNAMIC DUO DESIGN INC.	4444444444444	X			2.50%				
55555	EEE	EXTRA ENVIRO ENGINEERS INC.	5555555555555	X			4.00%				
77777	FFF	FORM FOR FUNCTION INC.	7777777777777	X				0.25%			
Total of the 2 boxes (Non-DBE + DBE) must equal 100%						55.50%	79.25%	20.75%	100.00%		

* If Prime Provider is a certified DBE, the Prime's percentage counts towards the DBE goal.
 ** Three (3) character Acronym/Abbreviation must be filled out in order for the form to function correctly.
 *** If the firm name is not pre-populated after inputting the firm sequence number, please check your firm active status in CCIS. Firms pre-certified in one or more categories for engineering, surveying, or architectural services must complete the annual renewal process between January 3 and March 31 each year to maintain "Active" status.

Project Team Composition (PTC) Form – Part 2



Work Category No.	Category Name	E & D Related Services	Percentage Advertised	Firm Seq. No.	Firm Name	Emp. Seq. No.	Task Leader**	TxDOT USE Only: Precertification Date	
1.8.1	Public Involvement		9.00%	11111	AAA	11112	SCOTT, CRYSTAL	Task Leader Date*	Firm Status Active? (Y/N)



Project Team Composition Task Leader Precertification Part 2 of 3 (Federal Process)

15.3.1	Aerial Photogrammetry	<input type="checkbox"/>	0.50%	77777	FFF	77778	JONES, WARREN	5/28/1998	Y
15.3.3	Terrestrial LiDAR	<input checked="" type="checkbox"/>	0.50%	33333	CCC	33336	DOVER, RALPH	9/11/2018	Y
15.3.4	Mobile and Airborne LiDAR	<input type="checkbox"/>	0.50%	33333	CCC	33336	DOVER, RALPH	9/11/2018	Y
15.3.5	Horizontal & Vertical Control	<input checked="" type="checkbox"/>	5.00%	33333	CCC	33335	PENNINGTON, SHANE	4/29/2008	Y
18.2.1	Subsurface Utility Engineering	<input checked="" type="checkbox"/>	1.00%	33333	CCC	33337	MICHAELS, SHAWNA	3/11/2019	Y
18.3.1	Utility Adjustment Coordination	<input type="checkbox"/>	2.00%	11111	AAA	11135	AKERS, REESE	7/11/2019	Y
18.4.1	Utility Engineering	<input checked="" type="checkbox"/>	1.00%	11111	AAA	11135	AKERS, REESE	7/11/2019	Y
18.5.1	Utility Construction Management and Verification	<input checked="" type="checkbox"/>	2.00%	11111	AAA	11135	AKERS, REESE	7/11/2019	Y
18.6.1	Utility Management & Coordination Oversight	<input type="checkbox"/>	2.00%	11111	AAA	11135	AKERS, REESE	7/11/2019	Y
Total			100.00%						

*An Individual's predate must be no later than the solicitation closing date
 **Name must match TxDOT Precert Database to ensure TxDOT verification. Limit one employee name per category
Note: When the PTC form is created, it downloads information from CCIS and stores a snapshot, as of that date, of the firm name, task leader name and precertification, firm active status, and administrative qualification into the form. Any changes made after that date are not recognized by the form, since the information in the form is fixed in time. If your firm made a recent change and it is not reflected on the PTC, you may correct it by hand before submitting the SOQ package to PEPS. PEPS will verify the information submitted on the PTC form, including these changes with the CCIS system.

CCIS data as of 6/4/2019

Project Team Composition (PTC) Form – Part 3



Work Category No.	Category Name	E & D Related Services	Percentage Advertised	% Total	AAA	BBB	CCC	DDD	EEE	FFF
1.8.1	Public Involvement		9.00%	9.00%	4.00%	3.50%		1.50%		
18.6.1	Utility Management & Coordination Oversight		2.00%	2.00%	2.00%					
Total			100.00%	100.00%	55.50%	17.25%	20.50%	2.50%	4.00%	0.25%

Subprovider Contact Information

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Subprovider Contact Information



						
Solicitation Number:						
Prime Provider Name: (as shown on Proposal Cover Page):		DBE				
Is the Prime Provider a certified DBE? Yes/No						
<p>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.</p> <p>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.</p> <p>This form is setup to print on 8.5" x 11" paper. If additional rows are needed, you may add duplicate forms as needed.</p>						
Subprovider Contact Name	Subprovider Firm Name	Mail Address (complete address)	Email Address	Telephone No. (including area code)	Subprovider Certification Status: DBE, HUB DBE&HUB or N/A	Subprovider is Part of Contract Team: Yes/No

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.

HUB Subcontracting Plan (HSP)



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

HUB Subcontracting Plan (HSP)



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



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

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May Providers Ask Questions about the Solicitation?



Questions must be submitted in writing to the Procurement Engineer

The deadline for submitting questions is in the RFQ/RFP

Screening Checklists

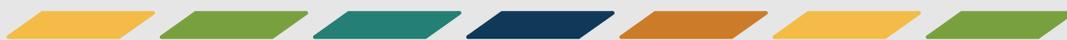
Martha Juch, P.E., CFM, D.WRE



SOQ Screening Checklist



Proposal Screening Checklist



Best Practices

(Don't be Disqualified)

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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



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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

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What's Next?

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Remember – only the content in the Q&R or Proposal is Scored!

SOQ Scoring	Proposal Scoring
Criteria is determined by the CST	Standardized criteria are used
Past Performance Evaluations - included in the scoring for both	



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What happens after the Responses are scored by the CST?

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Interview Format Options

Option 1 – Provider Presentation and Q&A Session



Option 2 – Provider Question & Answer 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*

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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!**

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Questions and Discussion



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Martha is a new
Grandma to baby
Benjamin Juch!

