



Provider Evaluations

2019 PEPS Conference

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November 20, 2019

Presentation Topics

- 1 • General Information on Evaluations
- 2 • Evaluation Statistics and Scores
- 3 • How Evaluations are used from a District Perspective
- 4 • What Consultants Need to Know

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General Information, Statistics, and Scores

Charles Davidson

General Information



Why do provider
evaluations?

- We have to – required by rule (43 TAC §9.41(d))
- We want to – used as a management tool

What do we do
with them?

- Management tool – use it to communicate our level of satisfaction on performance
- Selection tool – past scores are used to compute the ESA, which is used during selection

Using the evaluation scores during selection



- 1 TxDOT began using PS-CAMS evaluation scores for selection with Wave 4 (August 2019)
- 2 From Wave 4 FY 2019 going forward, evaluation scores from CCIS will no longer be used.
- 3 PS-CAMS evaluation scores will be used during the SOQ or proposal evaluation stage
- 4 Evaluation Score Average (ESA) = (PM score * 80%) + (Firm score * 20%)
- 5 If a firm or PM doesn't have a score in PS-CAMS, then the median score will be used for the "missing" score

Evaluation Statistics

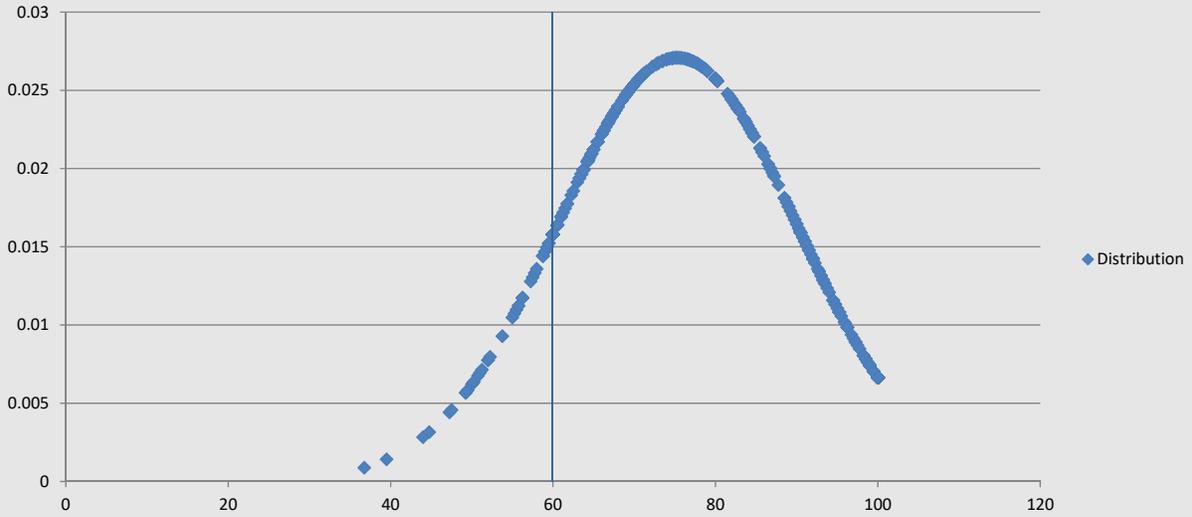
2017 CCIS	Number of Data Points Used	Score	ESA	PS-CAMS Equivalent
PM 5-year average	1639	98.43	7.87	78.7
Firm 5-year average	1639	49.5	1.98	19.8
Total (perfect score 150)		147.93	9.85	98.5

2018 PS-CAMS	Number of Data Points Used	Score	ESA	Data as of November 1, 2019
PM average	2328	75.50	60.40	
Firm average	2328	73.95	14.79	
Total			75.19	

PM Score Distributions



Distribution PM Scores



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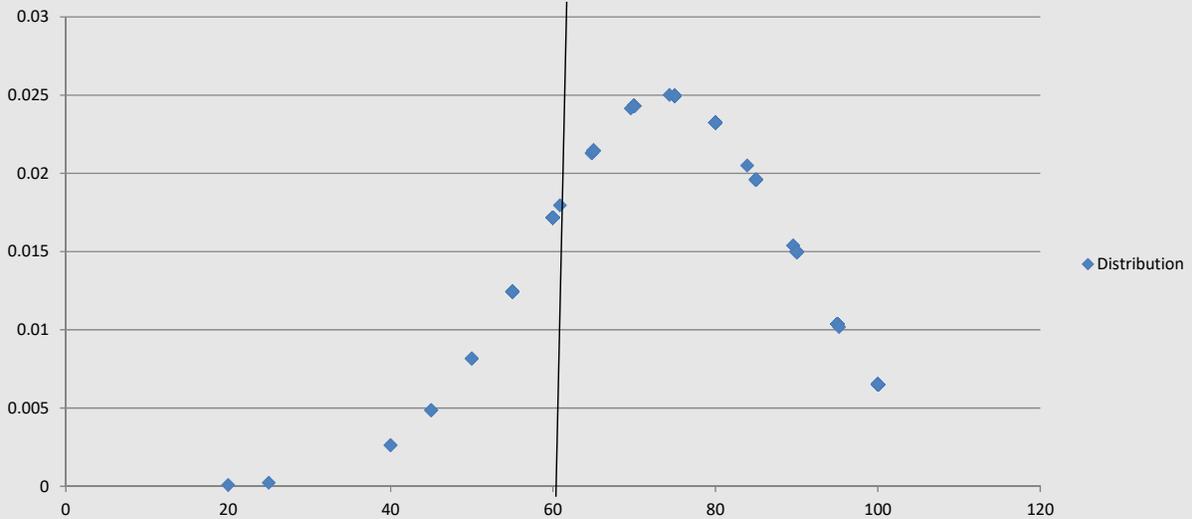
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Firm Score Distributions



Distribution Firm Scores



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Contract Evaluations

- For multiple work authorizations on the same contract with the same TxDOT PM

Work Authorization Evaluations

- For a work authorizations with different TxDOT PMs



Evaluations are for the consultant contract PM

You may have multiple WA consultant PMs for the same contract

The contract PM is responsible for the all the WAs

The Evaluation Score Average (ESA) will be used to determine the Selection Score during the selection process.

ESA Range	Selection Score
$80 \leq \text{ESA}$	5
$60 \leq \text{ESA} < 80$	4
$40 \leq \text{ESA} < 60$	3
$20 \leq \text{ESA} < 40$	2

Note: There are no ESA scores lower than 20, because the minimum score is 20.

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Using the evaluation scores for provider selection



Equivalent Evaluation Score	Selection Score
All 4s or all 5s	5
All 3s	4
All 2s	3
All 1s	2

Note: There are no ESA scores lower than 20, because the minimum score is 20.

Appealing the results of a provider evaluation

Title 43 TAC §9.41 (f) defines the process

TxDOT PM & Provider PM try to resolve the scoring dispute

If the PMs can't resolve the issue, then the TxDOT District Engineer or Division Director tries to resolve the dispute

If resolution is still not reached, the issue is escalated to the PEPS Division Director (PEPS DD).

PEPS DD will gather information, talk to staff of TxDOT and firm, and then provide the final decision to the firm in writing.

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To resolve the appeal, the PEPS DD may decide to:



Void the evaluation



Request a re-evaluation or adjustment



Affirm the original evaluation

Note: The decision of the PEPS DD is final.

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How Evaluations are Used from a District Perspective

Chris H'luz

Provider evaluations process



The evaluation process begins after contract or work authorization execution

The TxDOT PM will schedule a kick-off meeting to discuss Provider PM (PPM) expectations and walk through the evaluation criteria scores

- TxDOT PM and PPM will prepare for meeting in advance, i.e. formulate questions, go-bys

TxDOT PM will prepare an agenda and follow-up with meeting minutes

When should evaluations be prepared by TxDOT?



It depends on the type of contract or work authorization, but typically resembles the following:

- Minimum requirement 1 annually
- Milestones, i.e. 30%, 60%, 90%, or other deliverables
- PM changes, TxDOT, or Consultant
- Performance issues



Summary table of provider evaluations



SUMMARY OF PROVIDER EVALUATIONS
JANUARY 2019 - MARCH 2019

Eval No.	WA#	TxDOT PM	FIRM	PPM	PPM SCORE % /11	FIRM SCORE % /21	MILESTONE/STAGE	SIGNATURE OF APPROVAL	COMMENTS
1									
	Project Name:								
2									
	Project Name:								
3									
	Project Name:								
4									
	Project Name:								
5									
	Project Name:								
6									
	Project Name:								
7									
	Project Name:								
8									
	Project Name:								
9									
	Project Name:								
10									
	Project Name:								

Description of Score
 (1) PPM Score based on Percentage of Cumulative Total of Weighted Score of External PPM Criteria 1-9 / Total Available Weight Score
 (2) Firm Score based on Percentage of Cumulative Total of Weighted Score of Firm Criteria 1-3 / Total Available Weight Score

% FIRM Score	% PPM Score	Notes
100% / 21.0	100% / 11.0	Maximum
80% / 17.0	80% / 8.0	Meets
50% / 10.5	50% / 5.0	Minimum

9/30/2019

9 Criteria for Project Managers

		Relative Weighting	1 Unsatisfactory	2 ▲	3 Satisfactory	4 ◆	5 Excellent
Project Manager Evaluation							
1	1. Quantity of Deliverables						
	a. Accuracy - Information and quantities are correct	7.5	Deliverables contained significant errors, apparent that QA/QC was not completed.		A reasonable level of corrections were required		Deliverables were submitted in excellent form. Few, if any, corrections were required <u>saving TxDOT time</u>
	b. Completeness - Deliverables included all required elements	5	Deliverables were incomplete and/or unorganized causing delays		Requested deliverables were submitted		All requested deliverables were included and well organized
2	2. Timeliness of submittals - Deliverables/reports submitted on time	7.5	Deliverables and reports were consistently late, schedule delays were common		Deliverables were received on time (e.g. CEI inspection reports consistently submitted within the recommended time frames). Overall project development progress met expectations		Deliverables and reports were submitted ahead of schedule, exceeding expectations

Prime Provider Evaluation Criteria
(for information only)

	Relative Weighting	1 Unsatisfactory	2 ▲	3 Satisfactory	4 ◆	5 Excellent
3. Contract administration						
a. Budget - Costs billed are consistent with progress of work to date, budget is well managed	1	PM did not manage nor did the PM identify or readily communicate issues with budget impacts.		Satisfactory budget management		Contract budget was well managed. PM quickly identified and communicated issues with budget impacts, and provided solutions to mitigate impacts
b. Schedule - Adherence to schedule and ability to meet deadlines	1	PM frequently missed deadlines and significantly impacted the schedule		Deadlines were met and the schedule was managed effectively		PM met or exceeded all major deadlines and was proactive in addressing issues that had potential schedule impacts
c. Invoices - Invoices are accurate, timely, consistent, and prepared according to the payment type and contract terms	1	Invoices were frequently late and submitted with problems		Invoices were submitted in a timely manner and in good form		Invoices were always submitted on time and in excellent form. Revisions not typically required
4. Responsiveness & availability of the PM - PM anticipates and identifies needs of TxDOT and makes necessary adjustments	7.5	PM was rarely available when requested. Frequent prompting by TxDOT required, slow to respond to calls, emails, and missed or was late to scheduled meetings.		Satisfactory; PM was typically available and responsive to issues, calls, and emails		PM was available and promptly responded to calls, emails, and meeting requests; anticipated needs.

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Prime Provider Evaluation Criteria
(for information only)

	Relative Weighting	1 Unsatisfactory	2 ▲	3 Satisfactory	4 ◆	5 Excellent
5. Resolution of issues - Issues are quickly resolved without TxDOT help	2.5	Contact is constantly required by TxDOT to get issues resolved. (e.g. PM fails to identify issues, which results in a supplemental)		Issues are typically resolved in a timely manner		All issues are resolved quickly. PM often anticipates needs and takes initiative to get issues resolved
6. Communication and coordination - Issues are communicated promptly and professionally	2.5	Communication and coordination was not prompt, often unclear, misleading, or unprofessional		Communication and coordination were good		Communication was clear and effective and always handled in a professional manner. Issues were communicated promptly with all of the appropriate parties
7. Management of subproviders - PM took responsibility for subs work and managed any issues	2.5	Subs were not well managed. Delays or problems often resulted, issues and disagreements were obvious		Subs were managed well with minimal interference to production		Subs were very well managed. PM took responsibility for all products and no sub issues were apparent to TxDOT
8. Adequate use and prompt payment of HUB/DBE firms - HUB/DBE firms were utilized according to requirements	1	Firm needed to be prompted to use HUB/DBE firms, did not meet goals, or did not promptly pay		Firm utilized HUB/DBE firms and met goals		Firm utilized HUB/DBE subproviders with every assignment possible and exceeded goals
9. PM performance - Based on their performance, would you want to work with this PM again?	1	Definitely not		Yes		Definitely yes

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3 Criteria for Firm

Texas Department of Transportation						Prime Provider Evaluation Criteria (for information only)				
	Relative Weighting	1 Unsatisfactory	2 ▲	3 Satisfactory	4 ◆	5 Excellent				
Firm Evaluation										
1	1. Firm Responsiveness - Identifies TxDOT needs making necessary adjustments, (e.g. adjusting resources to meet demands, replacing PM due to problems)	10	Firm was not responsive and did not address issues		Firm was responsive; Satisfactory	Above and beyond the normal; Firm was responsive to needs and proactive in addressing issues				
2	2. Firm Invoicing - Invoices are accurate, timely, consistent, and prepared according to the payment type and contract terms	5	Invoices were frequently inaccurate, inconsistent, or late		Invoices were accurate, consistent, and timely	Firm exceeded expectations by consistently submitting invoices on time and in excellent form. Revisions rarely required				
3	3. Firm Resource Management - Personnel, expertise, and equipment are appropriately allocated for the project.	5	Personnel or equipment not appropriately managed. Changes were frequent, resulted in disruption to production (e.g. unwarranted PM replacement), or caused delays to others (e.g. construction contractor)		Firm managed resources adequately. Resource adjustments were handled with limited impacts	Firm exceeded expectations. Very minimal resource adjustments were required or were handled with minimal impact to production or causing delays to others				

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Example of documentation for low score evaluation

Low Score Documentation Summary - EXAMPLE:

TxDOT PM: Ruben Carrasco, P.E.

MAIN ISSUE: Submittals are turned in late and it takes several attempts to get responses from John D. In two occasions, John D. committed to submit information by specific dates and failed to meet the agreed deadlines. This resulted in project schedule delays.

- **July 30, 2018** – TxDOT PM called John D. to inquire about the submittal. (no answer)
- **August 15, 2018** – TxDOT PM emailed John D. The revisions were not submitted. TxDOT PM indicated that the timeliness of submittals criteria will be affected in the next Prime Provider Evaluation.
- **August 16, 2018** – John D. submits the revisions. However, it contains considerable errors.

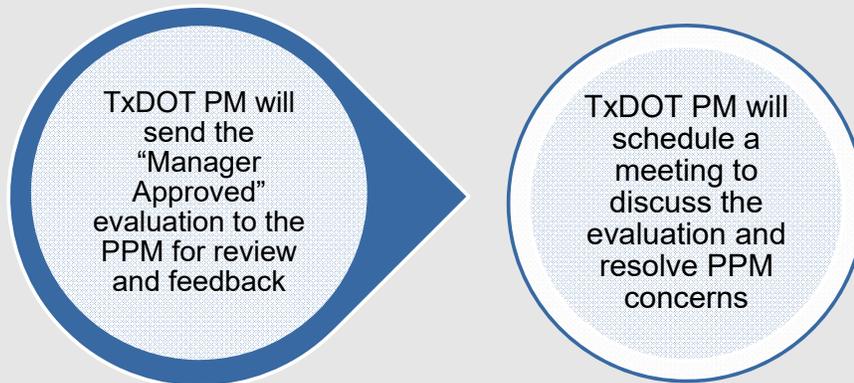
TxDOT PM lets the PPM know the delays will be reflected in the provider evaluation – NO SURPRISES!

- the
- July
- Aug
- TxD
- was
- pro
- ma
- Aug
- indi
- Evaluation.

- **August 16, 2018** – John D. submits the revisions. However, it contains considerable errors.

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Evaluation submittal to the consultant



PPM documentation is important to resolve disagreements

Suggested tips for a successful evaluation

- Communicate expectations at kick-off
- Communicate regularly with courtesy calls or e-mails
- Utilize progress reports to notify PM of concerns and risks
- Request go-bys and District-specific practices
- Manage project, manage subproviders, manage the contract and bring solutions to the table
- PPM should be actively visible in the project management role

What Consultants Need to Know

Jim Langston

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Who performs your evaluation?

The PM at TxDOT you have been working with



This person can change in the course of a long project



Their review may need approval by their administration



Each District may perform them at different times
(Milestones, annual, project completion, etc.)

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What Affects Your Evaluation?



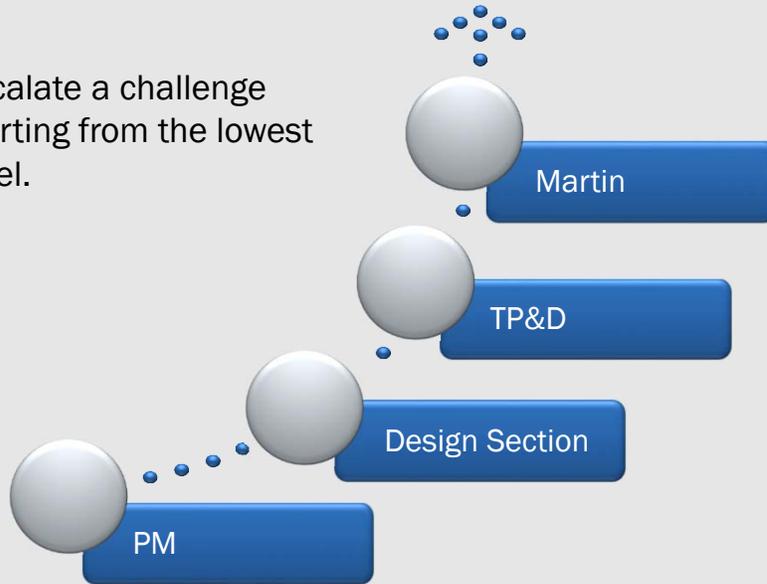
Why is Your Evaluation Important?



- It is a scoring item in procurements and it affects your personal ability to be selected for new work.
- It follows you if you change companies.
- It may be scored differently by District (is 60 good or not?)
- 20% of it stays with your company

What if you disagree with your evaluation?

Escalate a challenge starting from the lowest level.



There is a process, but it doesn't involve James Bass. . .

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Suggestions on how to approach your evaluation



Discuss expectations at the beginning of a project

Remember that communication is your friend

Be proactive and responsive towards conflict resolution

Do a good job and make your PM look good

Have your higher level staff check up on your performance

Questions and Discussion



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