



# Disqualifications

## 2019 PEPS Conference

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November 21, 2019

### Presentation Topics



- 1 • Unofficial Top Four Reasons for Disqualifications
- 2 • Top Ten Reasons for Disqualifications
- 3 • Notification of Disqualifications
- 4 • How to Challenge Disqualifications
- 5 • What Happens Next?
- 6 • Why Me?
- 7 • How Not to Get Disqualified
- 8 • SOQ Checklist Process
- 9 • How to Recover from a Disqualification
- 10 • Lessons Learned

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November 21, 2019 2

## Top Four Unofficial Reasons for Disqualifications



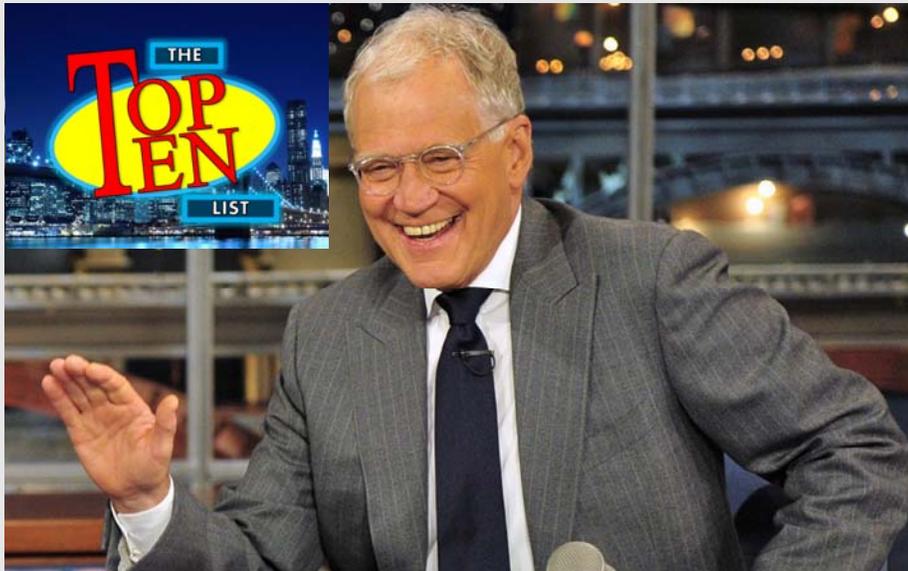
My dog ate my proposal

I thought my shredder was a printer

I was abducted by aliens when delivering my proposal to TxDOT

The PEPS Service Center Manager just does not like me

## Top Ten Reasons for Disqualifications



## Top Ten Reasons for Disqualifications



10. Miscellaneous

9. Administrative Qualifications

8. Pre-certifications

7. Missing USB

6. Missing Documents

## Top Ten Reasons for Disqualifications



5. PTC form

4. PTC does not match NLC

3. HUB goal / form

2. NLC

1. Delivery service did not get proposal to TxDOT on time

**Dear Wile E. Coyote Engineering Services, Inc.**

Subject: **Non-Responsive Statement of Qualifications or Proposal, Solicitation No. 601CT0000000000**

Thank you for your interest in the Texas Department of Transportation (TxDOT), Professional Services contract process through your submission of a Statement of Qualifications (SOQ) or Proposal for the above-referenced solicitation. This email is to notify you that your firm's SOQ or Proposal was considered non-responsive to the requirements specified in this solicitation due to issues in the area(s) shown below, and your SOQ or Proposal was not evaluated further.

Prime Provider	Subprovider
<input type="checkbox"/> Precertification	<input type="checkbox"/> Precertification
<input type="checkbox"/> Non-listed work category	<input type="checkbox"/> Non-listed work category
<input type="checkbox"/> HUB or DBE issues	<input type="checkbox"/> HUB or DBE issues
<input type="checkbox"/> Administrative Qualification	<input type="checkbox"/> Administrative Qualification
<input type="checkbox"/> Missing documents or following instructions	<input type="checkbox"/> Missing documents or following instructions
<input type="checkbox"/> Project Team Composition Form (PTC)	<input type="checkbox"/> Project Team Composition Form (PTC)
<input type="checkbox"/> Firm precluded per RFQ or RFP Preclusion Document	<input type="checkbox"/> Firm precluded per RFQ or RFP Preclusion Document
<input checked="" type="checkbox"/> <b>Late Submittal</b>	<input type="checkbox"/> Other

**Road Runner Delivery Services, submitted Wile E. Coyote's proposal past the 1:00 PM deadline.**

This information is being provided to inform you of the flaw encountered in your submittal, should you be pursuing other opportunities in the procurement wave. You may request a debriefing by sending an email to [ProcurementEngineer@txdot.gov](mailto:ProcurementEngineer@txdot.gov)

Should you wish to challenge this decision, you will need to file a formal protest to TxDOT's executive director James Bass, which consists of a physical letter (not email) detailing the specifics of the situation within **six** days of this Non-Responsive email notification (11/21/19) delivered by US Mail, overnight delivery, or hand delivered to: 125 E 11<sup>th</sup> Street, Austin TX 78701. Please include Joseph Jancuska ([Joseph.Jancuska@txdot.gov](mailto:Joseph.Jancuska@txdot.gov)), PEPS-Dallas Service Center Manager and Martin Rodin ([Martin.Rodin@txdot.gov](mailto:Martin.Rodin@txdot.gov)), PEPS Division Director in your response

Your continued interest in professional services contracts with TxDOT is important to us. We encourage you to visit TxDOT's webpage for future opportunities at: <http://www.txdot.gov/business/consultants/architectural-engineering-surveying.html>



Wile E. Coyote Engineering Services, Inc.  
1257 Looney Tunes Way  
Hollywood, CA 90028

November 21, 2019

James Bass  
Executive Director  
Texas Department of Transportation  
125 East 11<sup>th</sup> Street  
Austin, TX 78701

Subject: Formal Protest of Non-Responsive Notification

Dear Mr. Bass:

Wile E. Coyote Engineering Services, Inc. received notification that our Proposal was considered non-responsive because Road Runner Delivery Services, submitted past the 1:00 PM deadline.

We respectfully request that you reconsider your decision to disqualify our firm, because Road Runner Delivery Services submitted prior to the deadline.

Sincerely,

Wile E. Coyote



### We will evaluate the SOQ or proposal

- If you do not score appropriately on the SOQ/Proposal, the next option will be a debrief
- If a single step procurement and score is high enough, you will be awarded a contract
- If the procurement is two-steps and score is high enough, you will be shortlisted for an interview



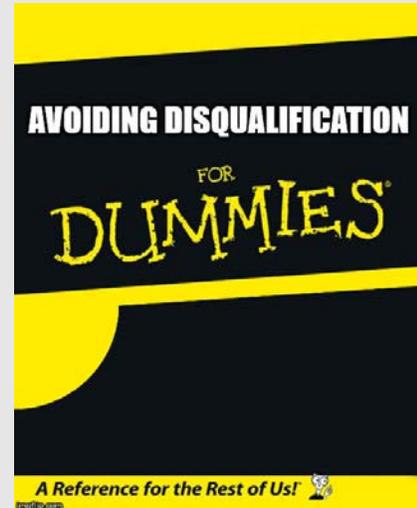
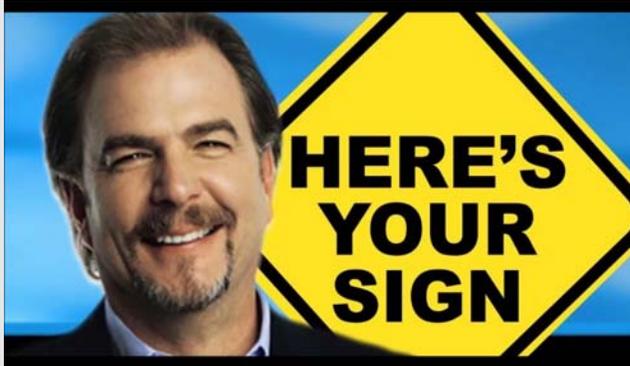
**A. Marc Sandhu, PE**

*Vice President*



- 10 Years Experience
- Small Firm
- Personally led **over 50 SOQs** presented to TxDOT
- **Unfortunately...DQ'ed from 5 solicitations**

## Why Me?



## SOQ Process



- READ the Entire SOQ!
- Detailed Notes (for Internal Use)
- Review Your Firm's TxDOT Checklist
  - Make SOQ-specific edits
- Develop **Detailed** Proposal Development Schedule
- Develop Teaming Matrix
- Complete Forms Early!



## SOQ Process



- One person can't do it all!
- Delegate Specific Tasks with Completion Date
  - PTC Form
  - HUB Paperwork
  - Cover Sheet with Signatures
  - Q&R Template
- Check for addenda!



## SOQ Process



### TxDOT SOQ Checklist

	Checked By:
<b>SOQ Cover Page – Attachment 1</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Used Correct Version of Form (footers/addendums)</li> <li><input type="checkbox"/> Firm Name at Top</li> <li><input type="checkbox"/> All Boxes Checked Appropriately</li> <li><input type="checkbox"/> Project Manager's Name Match PTC Form</li> <li><input type="checkbox"/> Project Manager Signed / Dated</li> <li><input type="checkbox"/> Firm's TBPE/TBAE/TBPLS Registration Number Correct (Eng. SOQ = F-819, Survey SOQ = 10131900)</li> <li><input type="checkbox"/> PM's Email Correct</li> <li><input type="checkbox"/> PM's Address Correct</li> <li><input type="checkbox"/> PM's Phone Number</li> <li><input type="checkbox"/> NO Page Two Included</li> </ul>	
<b>Question &amp; Response Template – Attachment 2</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Firm Name at Beginning of Each Question (Matched Spelling on PTC)</li> <li><input type="checkbox"/> Correct Answer in Corresponding Question</li> <li><input type="checkbox"/> Formatting Correct for Each Question</li> <li><input type="checkbox"/> All Questions Included &amp; Complete</li> <li><input type="checkbox"/> Page Breaks</li> <li><input type="checkbox"/> Bullets Clear &amp; Visible</li> </ul>	
<b>PTC Form – Attachment 3</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Correct Version of Form</li> <li><input type="checkbox"/> Capitalize Section Headings</li> </ul>	



Teaming Matrix Example

TxDOT Pursuit - Utility Engineering										
Solicitation: 601CT0000003556										
							HUB	HUB	HUB	HUB
Number	Category	%	ARS	KCI	MCI	CRA	LTI	LSE	CAI	LTRA
15.2.1	Design & Construction Survey	5	3					1		1
18.2.1	Subsurface Utility Engineering	93	40	15	12	1		11	5	9
NLC-1	3-D Modeling & Visualization	2					2			
	<b>TOTAL</b>	<b>100</b>	<b>43</b>	<b>15</b>	<b>12</b>	<b>1</b>	<b>2</b>	<b>12</b>	<b>5</b>	<b>10</b>
	<i>(Total Check)</i>	<i>100</i>								
	<i>HUB TOTAL (must be greater than 23.7%)</i>	<i>29</i>								



- I know you love your subs, but...
- Must backcheck pre-certifications
- Request RECENT pre-cert lists
- Check Professional Licensure (PE, RPLS, etc.) for categories that require it

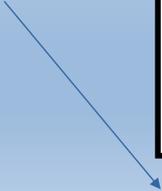


**Renewal Status**    **JANUARY 8, 2019 ( ACTIVE )**  
**Firm Name**        **ARS ENGINEERS, INC.**  
**Mailing Address**    12801 N. CENTRAL EXPRESSWAY, SUITE 1250  
                              DALLAS, TX 75243  
**Firm Phone**        (214)739-3152

**Areas of Certification**

1.3.1	Subarea/Corridor Planning
1.5.1	Feasibility Studies
1.6.1	Major Investment Studies
3.2.1	Route Studies & Schematic Design
4.2.1	Roadway Design
7.1.1	Traffic Engineering Studies
8.1.1	Signing, Pavement Marking, And Channelization
8.6.1	Rail-Highway Design
10.1.1	Hydrologic Studies
10.2.1	Roadway Hydraulic Design
15.1.1	Right of Way Surveys
15.2.1	Design Survey
15.2.2	Construction Survey
15.3.2	Terrestrial Photogrammetry
15.3.5	Horizontal and Vertical Control
18.2.1	Subsurface Utility Engineering
18.3.1	Utility Adjustment Coordination
18.4.1	Utility Engineering
18.5.1	Utility Construction Management and Verification
18.6.1	Utility Management & Coordination Oversight

Check here



<https://www.dot.state.tx.us/des/precert/precrt1.htm>

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**Lessons Learned**



**What Can Get you DQ'ed?**

- Different PM on signature page than listed on other parts of PTC form
- Required Page Not Included
- Necessary Percentages Not Met
- HUB Form Issues

**How Do Firms Typically Find Themselves DQ'ed?**

- Rushing through proposal process
- Not hand-delivering
- Not following QA/QC plan



### What if We Get DQ'ed?

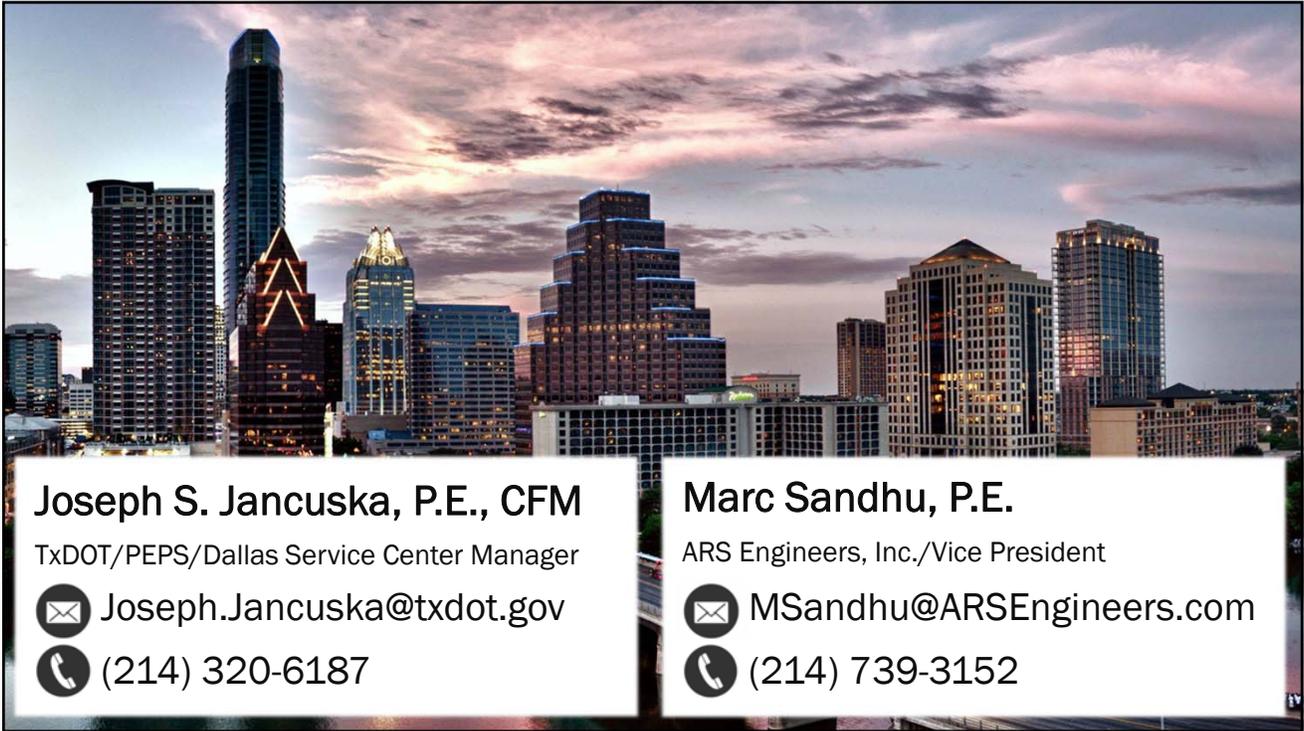
- Protest When Appropriate
- Don't Play the Blame Game
- Use as a Means of **Improvement**
- Take Time to Debrief Internally
  - What Went Wrong?
  - How Can We Correct?
  - What Do We Need to Change?



*"Failure is the opportunity to begin again, only this time more wisely."*

- Henry Ford





**Joseph S. Jancuska, P.E., CFM**

TxDOT/PEPS/Dallas Service Center Manager

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☎ (214) 320-6187

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☎ (214) 739-3152