



Consultant/Contractor Performance Evaluation Program Enhancements Training

A Capital Contracting Office Presentation



Agenda

- Program Overview
- Challenges
- Review Process
- Program Enhancements



Why Do We Have a Consultant/Contractor Performance Evaluation (CPE) Program?



PURPOSE:

To provide a uniform method of evaluating, tracking and reporting vendor performance to support high quality City projects.

2003 Resolution

2014 Administrative Rule R161-13.37



- Outlines requirements for a Citywide vendor performance evaluation program;
- Determined that Vendor performance should be maintained for historical record
- Past performance is to be used in future solicitation award decisions.



CPE Process



- Performance evaluation includes Consultant staff and indirectly the subs/suppliers who perform on the project.
- City Team – managing department, sponsor/user department, SMBR and other relevant parties such as QMD when applicable.
- If unsatisfied with their score, a vendor may request an in-person review/rebuttal meeting and a subsequent Appeal Hearing.

Project Team

PM consults with the project team, completes the performance evaluation, and provides to the program administrator in CCO.

CCO

Program administrator reviews the evaluation for completeness and adherence to the evaluation guidelines and contract requirements; maintains the record and the data for reporting; and emails a copy of the CPE to the vendor.

Evaluation Use

Evaluations for work performed during the past 5 years is taken into consideration in the award of future contracts.

How CPEs Are Used – Evaluated Procurements

- Performance history is used in the evaluation process for Qualifications-Based Selection (QBS) processes.
- Item 8 on the evaluation matrix
- A consultant can receive up to 10 points for this item in what is typically a 100-point scale
- If the Consultant has no previous work with the City, the industry average is used (Engineering projects-average by discipline)

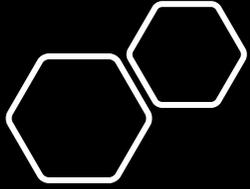


How CPEs Are Used - Example

Rotation List Matrix

Project Manager: Christine Whitney

Firm (or Joint Venture)	Item 1	Item 2	Item 3a	Item 3b	Item 4		Item 5	Item 6	Item 7	Item 8	TOTAL POINTS	RANK
	[Yes or No]	[Yes or No]	[10]	[15]	[20]		[15]	[20]	[10]	[10]		
	MBE/WBE Procurement Program	Turned in all Required Documents	Team's Structure	Team's Approach	Project Manager Project Professional Experience		Prime Firm's Comparable Project Experience	Major Scopes of Work Comparable Project Experience	Team's Experience with Austin Issues	COA Experience with Prime		
					PMgr [12]	PProf [8]						
Intera, Inc	Y	Y	9.50	14.05	11.60	7.60	14.70	18.60	9.10	8.38	93.53	1
Weston Solutions, Inc.	Y	Y	9.70	13.20	11.70	7.80	14.35	18.45	9.25	8.33	92.78	2
Aptim Corp.dba Aptim Environmental and Infrastructure, LLC	Y	Y	9.25	13.75	11.60	7.75	13.35	18.60	9.40	8.53	92.23	3
Freese and Nichols, Inc.	Y	Y	9.20	14.00	11.85	7.60	13.40	18.60	8.70	8.50	91.85	4
Kleinfelder, Inc.	Y	Y	9.70	13.65	11.30	7.50	12.50	18.80	8.80	8.33	90.58	5
Tetra Tech Inc	Y	Y	9.15	12.55	11.60	7.55	13.15	18.80	9.15	8.37	90.32	6
TRC Environmental Corporation	Y	Y	9.30	13.10	11.20	7.70	13.05	18.40	8.95	8.35	90.05	7
Terracon Consultants, Inc	Y	Y	8.95	12.90	11.55	7.95	13.35	18.30	8.15	8.24	89.39	8



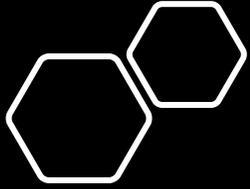
Consultant Evaluation Criteria

1. Schedule/Timeliness of Performance
2. Budget/Cost Control
3. Invoicing and Payments
4. MBE/WBE/DBE Procurement Program
5. Regulatory Compliance and Permitting
6. Adequacy and Availability of Workforce
7. Project and Contract Management
8. Communications, Cooperation & Business Relations
9. Quality (weighted more heavily due to its importance)

How CPEs Are Used – Invitation for Bid

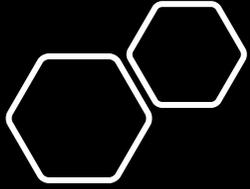
- Invitation for Bid (Low Bid)-Past performance is reviewed during the assessment of the bidder's experience.
- Contractor's evaluation score is not part of the bid tab
- Evaluations are kept for historical record.
- City may reject future bids based on sustained poor performance.





Contractor Evaluation Criteria

1. Quality
2. Schedule
3. Wage Compliance and Required Job Postings
4. Compliance with MBE/WBE/DBE Procurement Program
5. Invoicing & Payments
6. Regulatory Compliance & Permitting
7. Safety & Protection
8. Construction Training Program
9. Project & Contract Management
10. Communication, Cooperation, & Business Relations



MBE/WBE/DBE Procurement Program

MBE/WBE/DBE Procurement Program

-The Consultant/Contractor complied with approved MBE/WBE/DBE compliance goals, request for Changes, and M/W/DBE close-out requirements.

*Note-The Project Manager is to consult with SMBR in order to rate the vendor appropriately.

Performance Evaluation Rating Definitions

Needs Improvement (1 pt.) Criterion 9 (2 pts.)	Successful (2.5 pts.) Criterion 9 (5 pts.)	Exceptional (3 pts.) Criterion 9 (6 pts.)
Performance does not meet contractual requirements and recovery did not occur in a timely or cost-effective manner	Performance meets contractual requirements.	Performance exceeds contract requirements to the City's benefit.
Serious problems exist and corrective actions have been ineffective	May have had minor problems; however, satisfactory corrective action was taken.	May have identified cost savings; provided innovative options or efficiencies; added value.
Major errors, extensive minor errors, and/or recurring problems	Problems were not repetitive.	Consistently exceeded City expectations and always provided exceptional results.
Performance indicates little or no effort extended to satisfy the minimum contract requirements		

Challenges to CPE Program Effectiveness



Not receiving CPEs as required by the program



Reporting challenges



Lack of documentation to support “Needs Improvement” and “Exceptional” ratings



Misunderstanding of parties’ roles/responsibilities in CPE process



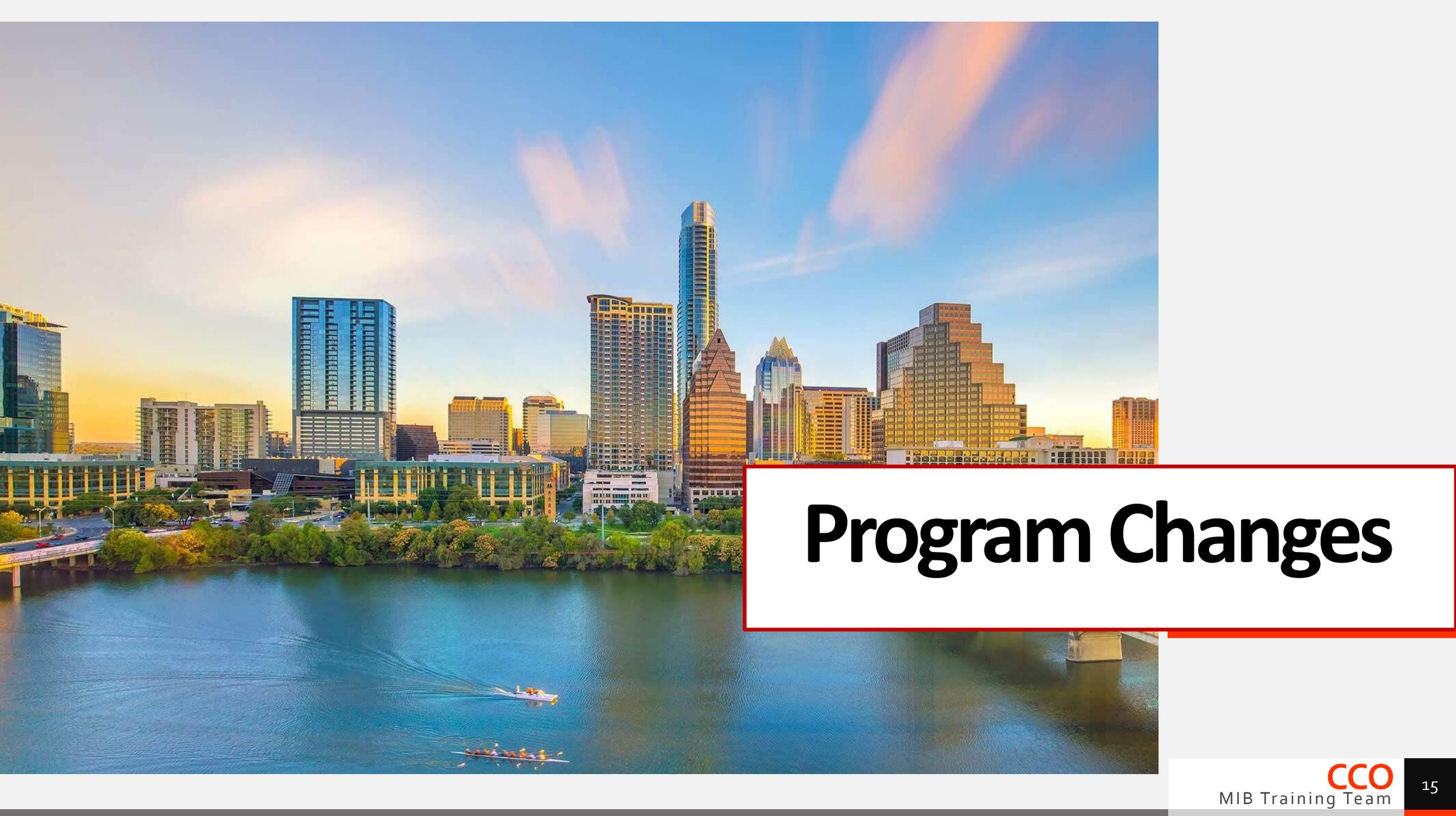
Program Review

Purpose of the review was to:

- Improve the effectiveness of the program and
- Increase program compliance

CPE Review - Project Team

- Work sessions were held with CIP Partners from October 2020 – January 2021
 - Project Managers and Supervisors across the CIP Departments
(APL, ATD, AW, PARD, PWD, WPD)
- Discussion to provide feedback/ideas on key areas of focus



Program Changes

New Interim Progress Report Form!

- Tool for PMs to document performance/progress issues during life of project
- Serves as documentation of issues communicated to consultants/contractors when submitting final evaluation/CPE and/or to document exceptional performance
- Historical documentation if project transitions to another PM or transition from phase to phase

CPE Program Enhancement: Interim Progress Report



CAPITAL CONTRACTING OFFICE
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Consultant Performance Evaluation – Interim Progress Report

Date: _____

SECTION I. Project Information

Project Name: _____ Solicitation Number: _____ Subproject ID: _____
 Contract Number: _____ CT/MA Number: _____ DO Number: _____
 Rotation List Name: _____ Phase: _____ (If Other: _____) Industry: _____
 Engineering Discipline: MEP SUE Services Environmental Structural Transportation Drainage Geotechnical
 Construction Management Program Management General Civil Tunneling W&WWW Pipeline W&WWW Facilities

SECTION II. Consultant's Information

Company's Full Legal Name:		

Program Manager (PM) Name:	PM's Phone Number:	PM's Email Address:
_____	_____	_____
Principal Name:	Principal's Phone Number:	Principal's Email Address:
_____	_____	_____

SECTION III. Evaluation

EVALUATION CRITERIA			
	1 pt.	2 pt.	3 pt.
- Needs Improvement (1 Point) = Does not meet contractual, technical, or professional requirements. - Successful Performance (2.5 Points) = Meets contractual requirements. - Exceptional Performance (3 Points) = Exceeds contract requirements to the City's benefit. Detailed Performance Evaluation Guidelines can be found at: http://www.austintexas.gov/department/consultant-performance-evaluation			
1. Schedule / Timeliness of Performance – The Consultant submitted a baseline schedule and met milestones. Deliverables were submitted to the Owner in accordance with the agreed upon schedule(s). Consultant alerted the City to possible schedule problems well in advance of delays. The Consultant provided responses to RFI's/emails/request for proposals, etc., in a timely manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Revised Forms

- **Revised Consultant & Contractor Performance Evaluation forms** which include descriptions of successful performance for each criterion.
- **For Contractor Performance Evaluation:** Construction Training Program (CTP) criterion replaces Adequacy and Availability of the Workforce criterion.
- **For Consultant Performance Evaluation:** Quality and Deliverables criteria for have been combined into one criterion that is weighted more heavily.
- **CPE Submission On eCAPRIS :** Electronic CPE Form workflow and approval in eCAPRIS
 - All Sign-offs done electronically
 - Programmed safe-guards
 - Upload Documents
 - Digital PDF CPEs for each contract

Accountability

Reporting & SSPR Use

- Bi-annual CPE Compliance reports will be provided to departments in March and September.
- PWD is incorporating compliance with the CPE program into all PWD Project Manager's SSPRs (part of existing priority). This requirement is currently in place for some.

Training & Onboarding

CPE Program Training

- Online training for PMs and CCO staff
 - Assist with onboarding new staff
 - Define roles and responsibilities of parties



Thank You

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