

Contract Management Dept.: Contractor Performance Evaluation Process

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JUNE 25, 2013



Contractor Performance Evaluation

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Agenda:

- Performance Evaluation Evolution – Where Are We & How Did We Get Here?
- Process Objectives
- Contractor Evaluation Process Overview
- Review of New Contractor Performance Evaluation Criteria & Forms
- Implementation Schedule
- Q & A's

Performance Evaluation Evolution

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Timeframe	Activity
Jan. 2011 – April 2011	<ul style="list-style-type: none">• CMD compiled new evaluation with specific contract references• Solicited additional input from PMs, Div. Mgrs., Directors & Law Dept.
May 2011	<ul style="list-style-type: none">• Began discussions with Law Dept. on qualitative vs. quantitative scoring• CMD generated qualitative DRAFT, 16 criteria
July 2011	Determined probation, suspension, debarment (PSD) rules should be incorporated into process

Performance Evaluation Evolution (cont.)

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Timeframe	Activity
Aug. 2011	Law Dept. procedure/form review
Sep. 2011 – Feb. 2012	<ul style="list-style-type: none">• Format/procedural changes• CMD internal reviews• More Law Dept. reviews• Dec.: Purchasing review (scoring/PSD rules)
Mar. 2012	Development of non-scored Addendum form
Mar. 2012	Determined (Yes/No) scoring most appropriate – same as consultant evaluation

Performance Evaluation Evolution (cont.)

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Timeframe	Activity
May 2012	Rules Promulgation process underway
Jun. 2012	<ul style="list-style-type: none">• Vetting thru Law Dept. (Cindy Crosby)• CMD review with QSMD, recommended changes made
Jul. 2012	<ul style="list-style-type: none">• Review with CID Supvs., solicited feedback• Graduated scoring re-consideration: QBS process review with PWD
Sep. – Oct. 2012	<ul style="list-style-type: none">• Feedback provided• Some criteria integrated into main form
Oct. 12, 2012	Review and approval: PWD Director/Asst. Director
Nov. 2, 2012	Met with Purchasing to discuss Rules Promulgation process

Performance Evaluation Evolution (cont.)

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Timeframe	Activity
Nov. 2, 2012	Met with Purchasing to discuss Rules Promulgation process
Jan. – Mar. 2013	<ul style="list-style-type: none">• Initial Internal Rules posting• Comments /Feedback Reconciliation
Mar. – May 2013	<ul style="list-style-type: none">• Process Delay in development of City-wide Process Rules
May – Jun. 2013	<ul style="list-style-type: none">• Revision of Rules to accommodate City-wide procurement services• Internal re-posting expected by 6/28, external posting to follow

Process Objectives

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- Ensure evaluation process is relevant and applicable
- Gauge performance of *General Contractors* for consideration in future project award process – “***Unchartered Territory***”
- Link all performance criteria to the contract [Sec. 700 - General Conditions] and align with industry standards
- Incorporate Purchasing Probation, Suspension, Debarment rules into process
- Implement checkpoints/tracking mechanisms to ensure evaluations are complete and accurate
- Create and maintain database for historical record

Evaluation Process

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- Mandatory completion of evaluation at the end of construction phase by PM (gathers input from responsible parties, as appropriate)
- Forwards to CMD Process Owner
- Contractor Evaluation emailed to Contractor primary contact, given an opportunity to respond (request in-person review, Rebuttal meeting)
- Contractor must request meeting within 10 business days of email
- If requested in a timely manner, CMD Process Owner schedules meeting within 10 business days of Contractor's written request

Evaluation Process (cont.)

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- Issue resolution:
 - If issue is resolved and score adjustment required, written notification will be issued to Contractor, meeting attendees, records updated
 - If no scoring adjustment required, official email finalizing evaluation
 - Staff may request additional information from Contractor or other City staff
 - If issue is not resolved, Contractor may request Appeal Hearing
- CMD Process Owner schedules Appeal Hearing within 5 business days of receipt of Notice of Appeal
- Final decision is generally made within 10 business days of the Appeal Hearing

Evaluation Process (cont.)

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- Probation, Suspension, Debarment Rules are integrated into process – City of Austin, Purchasing Department
- Evaluation scores to be used in contract award decision for a period of five (5) years, from contract award date, **then archived and retained in db**
- Effective communication of evaluation process at Pre-Bid and Pre-Con meetings

Evaluation Criteria – Construction Phase

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Item	Evaluation Measure	Max. Score Available (pts.)
1	Quality of Work Performed	1
2	Timeliness of Performance	1
3	Wage Compliance & Required Job Postings	1
4	Compliance w/ MBE/WBE Procurement Program	1
5	Compliance w/ Laws and Regulations	1
6	Safety and Protection	1
	Total	6
	<i>Note: All evaluation measures are subject to P/S/D action.</i>	

Item 1 – Quality of Work Performed

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- **Evaluation Measure/ Criteria**

- The Contractor performed and completed the work in a good and workmanlike manner in accordance with the contract documents
- Changes in the Work were performed under applicable provisions of the Contract Documents
- Contractor maintained a record copy of all Drawings, Specifications, Addenda, Change Orders, Change Directives, Field Orders and written interpretations and clarifications in good order and annotated to show all changes made during construction. Upon substantial completion of the Work, these record documents, samples, and shop drawings were promptly delivered to the Owner's Representative

- **Max. Available Score**

- 1 pt.

Item 2 – Timeliness of Performance

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- **Evaluation Measure/ Criteria**
 - The Contractor successfully completed the Work within the Contract Time and by the Contract completion date
 - Contractor successfully coordinated the preparation and processing of submittals with performance of construction activities; and transmitted each submittal sufficiently in advance of performance of related construction activities to avoid delay

- **Max. Available Score**
 - 1 pt.

Item 3 – Wage Compliance & Required Job Postings

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- **Evaluation Measure/ Criteria**
 - The Contractor paid workers no less than the wage rates established in Section 00830 and maintained weekly payroll reports as evidence thereof, in accordance with the requirements of Chapter 2258 of the Texas Government Code
 - The Contractor posted all required postings and notices in English and Spanish at one or more conspicuous locations on the job site

- **Max. Available Score**
 - 1 pt.

Item 4 – Compliance with MBE/WBE Program

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- **Evaluation Measure/ Criteria**
 - The Contractor complied with the City of Austin’s MBE/WBE Procurement Program requirements: including, but not limited to utilization of subcontractors identified to perform work and adherence to requirements associated with post-award changes, approved substitutions, and terminations

- **Max. Available Score**
 - 1 pt.

Item 5 – Compliance with Laws and Regulations

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- Evaluation Measure/ Criteria
 - ***GENERAL***
 - ***ENVIRONMENTAL***
 - ***TRAFFIC CONTROL***
 - ***LIMITS OF CONSTRUCTION (LOC)***
 - ***TX. HISTORICAL COMMISSION***
 - ***TX. PROMPT PAY LAW***

- Max. Available Score
 - 1 pt.

Item 6 – Safety and Protection

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- **Evaluation Measure/ Criteria**

- The Contractor took all necessary precautions for the safety of and provided the necessary protection to prevent damage, injury or loss
- The Contractor initiated, maintained and supervised all safety precautions and programs in connection with the Work
- Contractor complied with all applicable laws and regulations of any public body having jurisdiction for safety of persons or property or to protect them from damage, injury or loss: and erected and maintained all necessary safeguards for such safety and protection

- **Max. Available Score**

- 1 pt.

Evaluation Summary & Worksheet (Construction)

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[G:\New Contractor Perf. Eval\2013 \(not Implemented as of Jun2013\)\Contractor Evaluation 0513 Excel10.xlsx](#)

Implementation Schedule & Timeline

CMD Performance Evaluation Implementation Schedule (revised:06/19/13)

Process Delay for Development of City-Wide Process Rules w/Purchasing, re-vetting thru Law Dept.

Rules Promulgation

11/01 - 12/14	12/14 - 01/15	01/15 - 02/15	05/27 - 06/28	07/01 - 07/12	07/12 - 07/31
Evaluation Drafting	Internal Stakeholder Feedback	Reconcile Comments	External Stakeholder Feedback	Reconcile Comments	Training
			6/24 Consultant - External Stakeholder Meeting		
			6/25 Contractor - External Stakeholder Meeting		
				PROJECTED IMPLEMENTATION	7/31/2013

Rules Promulgation (revised)

11/01 - 12/14	12/14 - 01/15	01/15 - 02/15	05/27 - 08/09	08/12 - 08/16	08/19 - 08/30
Evaluation Drafting	Internal Stakeholder Feedback	Reconcile Comments	Internal Rules Re-posting External Rules Posting External Stakeholder Feedback	Reconcile Comments	Training
			6/24 Consultant - External Stakeholder Meeting		
			6/25 Contractor - External Stakeholder Meeting		
				PROJECTED IMPLEMENTATION (revised)	8/30/2013

Q & A

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Questions??



Answers

Follow-up Questions

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Please direct follow-up questions to:

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