

VIRGINIA DEPARTMENT OF TRANSPORTATION



**INNOVATIVE PROJECT DELIVERY
DIVISION**

GUIDELINES FOR EVALUATION OF DESIGN-BUILD PROPOSALS

Revised February 13, 2009

TABLE OF CONTENTS

- KEY TERMS2
- Introduction and Purpose of the Procedures4
- 1.0 Security of Documents.....4
- 2.0 Attendees at Evaluation Team Meetings5
- 3.0 Evaluation Guidelines Certification.....5
- 4.0 Evaluation Procedures5
- 5.0 Scoring Range Application.....7

KEY TERMS

Design-Builder means any company, firm, partnership, corporation, association, joint venture, or other entity permitted by law to practice engineering, architecture, and construction contracting in the Commonwealth of Virginia. The Design-Builder shall have the capability, in all respects, to perform fully the contract requirements and has the business integrity and reliability which will assure good faith performance. The Design-Builder shall be pre-qualified by VDOT Scheduling and Contract Division unless otherwise noted in the solicitation.

Engineer means the Department's Chief Engineer, who acts directly or through his duly authorized representative. The representative acts within the scope of the particular duties assigned to him or the authority given to him.

Evaluation Team means the team appointed by the IPD Division Director to review and evaluate the Proposals. The Proposal Evaluation Team Members will be limited to VDOT staff. Neither the IPD Director nor any of the Assistant IPD Directors will serve as Evaluation Team Members.

Price Proposal means quantitative data summarizing the cost to complete the project that correlates with the data provided in the Offeror's Technical Proposal.

Project Manager - Innovative Project Delivery Division (PM-IPD) means VDOT's designee for supervising procurement of a Design-Build contract. This individual will be responsible for contract development, solicitation, and award.

Project Manager - District (PM-D) means VDOT's designee for managing all phases of project development and administering the Design-Build contract. The PM-D is responsible for the scope, schedule and budget of the project.

Project Team means the team responsible for the development of design-build solicitations for the project from the conception through award of a contract. A Project Team member may also be a technical resource individual who provides expertise in their professional discipline. The PM-IPD will provide each pertinent division and district administrator with a preliminary scope and request him or her (through memo from Director of IPD) to designate an appropriate individual to serve on the Project Team. The primary district representative should be the pertinent responsible Engineer in charge or the anticipated PM-D.

Proposal means either the Statement of Qualification, Technical Proposal, or Price Proposal, and collectively means the combined the Qualification Statement/Technical/Price Proposal.

Proposal Evaluation Team means the team appointed by the Director of IPD to review and evaluate the Request for Qualifications/Request for Proposals. The Proposal Evaluation Team members will be limited to VDOT staff. The team members should include the PM-D and two or more qualified personnel from the participating Divisions pertinent to the project. The Proposal Evaluation Team may be a smaller group that has a thorough

understanding of the project and VDOT's requirements. The PM-IPD will serve as Team Leader and is responsible for coordinating with Administrative Services Division and/or Scheduling and Contract Division to ensure conformance with procurement laws. In addition, the Proposal Evaluation Team may use non-voting technical resource individuals who can provide expertise in related professional areas including, but not limited to: Contract Management, Engineering, Construction, or any other area that requires specialized knowledge and expertise.

Request for Proposal (RFP) means all documents, whether attached or incorporated by reference, utilized for soliciting proposals. The RFP is the only solicitation in a single-phase selection process. The RFP is the second phase in a two-phase selection process where VDOT issues a written request to those Offerors, which have been short-listed to submit both technical and price proposals.

Request for Qualifications (RFQ) means all documents, whether attached or incorporated by reference, utilized for soliciting interested persons to apply for prequalification. The RFQ is the first phase of a two-phase selection process for the purpose of inviting interested Offerors to submit qualifications for a project.

Short-list used in a two-phase selection process, means the narrowing of the field of Offerors through ranking of the most highly ranked, qualified Offerors who have responded to an RFQ with the intent to advance to the next stage, soliciting an RFP. Only short-listed firms will be invited to submit a Technical and Price Proposal in response to an RFP.

Solicitation(s) A Request for Qualifications (RFQ), or a Request for Proposals (RFP) issued to obtain bids and/or proposals for the purpose of entering into a contract.

Statement of Qualifications (SOQ) means the responsive documents submitted by an Offeror to an RFQ.

Technical Advisor - An individual from the one of the Department's key professional disciplines that is involved throughout the Contract development process. A Technical Advisor is not a member of the Evaluation Team, however this individual assists the Evaluation Team with reviewing and commenting on SOQs and Technical Proposals. A Technical Advisor does not participate in the actual evaluation. There may be more than one Technical Advisor.

Technical Proposal means a responsive offer, submitted to a Request for Proposal (RFP), by a potential bidder, to perform the work, and furnish the materials and labor in accordance with the standards, specifications, and technical requirements set forth in the RFP

VDOT or "Department" means the Virginia Department of Transportation or any duly authorized representative thereof.

Introduction and Purpose of the Procedures

This document (the “Evaluation Guidelines”) provides an overview of the methodology and procedures for evaluation of Proposals received by the Virginia Department of Transportation (VDOT) in response to Solicitations for design-build projects.

The purpose of these Evaluation Guidelines is to ensure the impartial and equitable evaluation of each Offeror’s Proposal, for the purposes of Short-listing and selecting the highest ranking Offeror(s).

1.0 Security of Documents

The security of Proposal documents begins when the Administrative Services Division (ASD) receives an Offeror’s Proposal. The ASD representative will date and time stamp all Proposals at the time they are received by VDOT, and will insure timely receipt and compliance with delivery requirements as described in each solicitation. The ASD representative will forward all Proposals which are in compliance with the delivery requirements to the PM- IPD.

Each member of the Evaluation Team will be issued a copy of each Proposal, which will be individually numbered to track the custody of each Proposal throughout the evaluation process. The PM-IPD will use a tracking log to monitor which individuals have been assigned a specifically numbered Proposal. Each Evaluation Team Member will be responsible for maintaining the confidentiality of Proposals, work papers, and evaluation materials. Further, each Evaluation Team Member will sign a Confidentiality Agreement regarding the security of the evaluation and selection processes when assigned as a member of an Evaluation Team.

When working with the Proposals and other evaluation materials, each member of the Evaluation Team will keep all of the evaluation materials under their direct control, and always secure their numbered copy of Proposals from others not associated with the Evaluation Team. At all other times, all evaluation materials will be stored in a safe and secure location.

Only the PM-IPD has the authority to release or publicly disclose information pertaining to the contents of Proposals, deliberations by the Technical Evaluation Team or Technical Advisors, the Short-list notification to the Chief Engineer, or other information relating to any aspect of the evaluation process.

Anyone possessing copies of Proposals or evaluation materials will:

- Direct all inquiries for release of information to the PM-IPD.
- Handle any information designated as “proprietary” with particular care.

All Proposals submitted and all documentation developed by the Evaluation Team shall be kept confidential and stored in accordance with the above procedures. All Proposals and all evaluation documentation will be secured at the end of each working day and/or at all other times that such material is not under the direct control of any authorized personnel. At the conclusion of the evaluation process, all members of the Evaluation Team shall return all copies of Proposals, work papers, and evaluation materials to the PM-IPD and shall not retain any work papers, or any part of the Proposals, without first obtaining authorization from the PM-IPD.

2.0 Attendees at Evaluation Team Meetings

The Evaluation Team, authorized Technical Advisors, and PM-IPD will attend all evaluation team meetings. Any information discussed during Evaluation Team meetings shall be kept confidential.

A Civil Rights representative may be invited to the Proposal distribution meeting. A Federal Highway Administration (FHWA) representative may be invited to the Proposal distribution meeting if the project has been identified as a Federal Oversight project. The PM-IPD has the discretion to invite these individuals or others to the Proposal distribution meeting as needed.

An ASD representative will attend the scoring/ranking meeting. A Civil Rights representative may be invited to the scoring/ranking meeting. A Federal Highway Administration (FHWA) may be invited to the scoring and ranking meeting if the project has been identified as a Federal Oversight project. The PM-IPD has the discretion to invite any other individuals to the scoring/ranking meeting as needed.

3.0 Evaluation Guidelines Certification

Prior to the initiation of any evaluation procedures, all Evaluation Team Members will sign the form found at Appendix A, certifying they have read these Design-Build Evaluation Guidelines, comprehend these procedures, and agree to abide by these procedures.

4.0 Evaluation Procedures

The Evaluation Team will evaluate all responsive Proposals using the guidance found in this section.

4.1 Clarifications

If an Evaluation Team Member has questions regarding any of the evaluation criteria, the evaluation processes, or any other documents related to the procurement they are evaluating, they should seek clarification from the PM-IPD prior to evaluating any proposals. The PM-IPD will provide additional guidance, and may share any resulting clarifications with the entire Evaluation Team.

4.1.1 Initial Review Period

Immediately after receipt of Proposals, the PM-IPD will arrange for administrative responsiveness checks to be carried out on each copy of each Proposal. This review will concern itself only with whether each Proposal meets administrative responsiveness requirements, for example whether each proposal contains all necessary pages and mandatory forms and answers all necessary parts.

The PM-IPD may request from an Offeror an appropriate clarification of any information either found in or omitted from any Proposal. Any Proposal that is determined to be non-responsive will be returned to the Offeror only after the PM-IPD records the reason(s) the Proposal was determined to be non-responsive.

On completion of the administrative responsiveness review, and receipt from any Offeror of necessary clarifications, the PM-IPD will distribute all Proposals meeting the administrative responsiveness test to the Technical Advisors (if any). The PM-IPD and Technical Advisors will thereafter review all the Proposals and record their comments and findings. The Technical Advisors will provide their comments and findings to the PM-IPD at least one week prior to the Proposal distribution meeting.

4.1.2 Proposal Distribution Meeting.

The Evaluation Team Members, Technical Advisor(s), and PM-IPD will attend the Proposal distribution meeting. The PM-IPD has the discretion to invite others to the meeting as needed. The PM-IPD will begin the Proposal distribution meeting by verifying there are not any potential conflicts of interest between an Offeror's Team and any Evaluation Team Member. Evaluation Team Members will be required to sign and submit the Non-Conflict of Interest Form found at Appendix B certifying they have no conflict of interest in serving on or advising the Evaluation Team.

The PM-IPD will then distribute all of the Proposals and these Evaluation Guidelines to the Evaluation Team Members. The PM-IPD will provide an overview of the project. The PM-IPD and Technical Advisors will then discuss and distribute their findings to the Evaluation Team Members.

Finally, the PM-IPD will provide an overview of these Evaluation Guidelines and the Evaluation Team Members' responsibilities, to include but not be limited to:

- Evaluation team members will conduct reviews of all Proposals in accordance with the schedule set by the PM-IPD.
- Evaluation Team Members will read and review each Proposal and may collectively evaluate each proposal and record the Proposal's perceived strengths and weaknesses.
- Evaluation Team Members and Technical Advisors will not under any circumstances independently discuss the project with any of the Offerors.
- Evaluation Team Members will not discuss their independent initial scoring with anyone except the PM-IPD until the PM-IPD conducts the scoring/ranking meeting for Proposal evaluations.
- Evaluation Team Members and Technical Advisors will keep all documents secure.

4.1.3 Proposal Evaluation

The Evaluation Team Members will initially individually evaluate each Proposal relative to the evaluation criteria. If an Evaluation Team Member discovers any potential evaluation ambiguities, or has any questions or concerns regarding his or her individual evaluation of any Proposal, the Evaluation Team Member shall immediately contact the PM-IPD for guidance. The PM-IPD will address any questions or concerns raised by any Evaluation Team Members, and provide guidance as appropriate. The PM-IPD may consult with any resources they deem appropriate to address any questions or concerns.

Each Evaluation Team Member will individually complete the proposal evaluation forms in accordance with these Evaluation Guidelines and the guidance provided at the Proposal

distribution meeting. The proposal evaluation forms will be distributed by the PM-IPD at the Proposal distribution meeting. Each Evaluation Team Member will then assign individual ratings to each proposal relative to the evaluation criteria. Evaluation Team Members will not assign ratings to any Proposal relative to another Proposal, but will, instead, consider each Proposal on its own merits.

4.1.4 Scoring/Ranking Meeting for Proposal Evaluations

The PM-IPD will chair and facilitate the scoring/ranking meeting. The meeting will be attended by all Evaluation Team Members, the PM-IPD, and the ASD representative. As with the other meetings, the PM-IPD has the professional discretion to invite others to the meeting as needed.

During the meeting, each Evaluation Team Member will present their ratings against each evaluation criteria and will provide written comments substantiating each of their ratings for each Proposal. If there is a significant disparity between or among the individual ratings of the Evaluation Team Members, all of the Evaluation Team Members will discuss their findings in greater depth and any individual Evaluation Team Member may adjust their rating(s) to reflect additional consideration of the other Evaluation Team Members findings, the RFQ/RFP, and the Proposals submitted for evaluation.

All of the scoring results will be documented by the PM-IPD. The PM-IPD will tally the final score for each Proposal submitted for evaluation. All of the Offerors' scores will be ranked consistent with the scoring criteria described in these guidelines and the Proposal. The ASD representative will verify that the process was followed appropriately and will certify that the scoring process has been conducted properly. The completed scoring and ranking information will then be submitted to the Director of IPD for their approval.

5.0 Scoring Range Application

The rating of each Proposal evaluation criterion is based on a rating scale as described in each solicitation. For the purpose of this example, a numerical rating scale of 1-5 will be considered. Each evaluation criterion may require an Offeror response to multiple subcomponents, each of which will be evaluated separately and then considered as a whole, to assign an overall rating. In order to facilitate and document the process by which each Evaluation Team Member assigns a rating, VDOT has developed, for each subcomponent of each evaluation criterion, its expectations of the characteristics of an Offeror's response. These are known as "Rating Descriptions", where a rating of 1 represents the lowest rating, exhibiting significant weaknesses, a rating of 5 represents the highest rating, exhibiting significant strengths or advantages to VDOT, and a rating of 3 represents a response that indicates the Offeror has proposed conventional capabilities, approaches, or processes, indicating likelihood of acceptable contract performance.

The "Rating Descriptions" are individually tailored project rating expectations, fully conforming to the general guidance found in this section and the solicitation. The Rating Descriptions will be provided to, and utilized by, the Evaluation Team Members to further facilitate the impartial and equitable evaluation of each Offeror's Proposal. Rating Descriptions applicable to a rating of 3 (a conventional response) are included in the RFQ/RFP Documents. Rating Descriptions applicable

to a rating other than 3 will not be available to the Offerors until after the Price Proposals have been opened, or to the public at large until after the contract has been awarded.

Each Evaluation Team Member will be required to identify, for each subcomponent of the evaluation criterion under consideration, the characteristics (including page or section references) of the Offeror's Proposal exhibiting significant strengths in the response (rating of 5), minor strengths (rating of 4) conventional characteristics (rating of 3), minor weaknesses (rating of 2) and significant weaknesses (rating of 1). On the proposal evaluation forms, these strengths and weaknesses will be recorded alongside VDOT's Rating Descriptions. For any evaluation criterion, an Evaluation Team Member may record a combination of strengths and weaknesses corresponding to different subcomponents of an Offeror's response. The overall distribution of strengths and weaknesses will guide each Evaluation Team Member in the assignment, for each evaluation criterion, of a rating integer or half-integer, which shall be that Evaluation Team Member's rating for each evaluation criterion. In this process an overall rating of 3 for an evaluation criterion, which represents a conventional response, may arise from a response in which each subcomponent is rated as satisfactory, or may arise from a response with a mixture of strengths and weaknesses among subcomponents.

VDOT expects that, and the rating descriptions allow for, the "art and science" of engineering and construction which enables Offerors to propose a range of solutions to the same tasks. VDOT welcomes Proposals that exceed conventional responses and merit higher ratings. Offerors may earn higher ratings for responses which clearly demonstrate how their Proposal offers specific significant advantages to VDOT and/or how an approach, procedure, or solution mitigates VDOT's risks for successful project completion and performance.

APPENDIX A
CERTIFICATION

DESIGN-BUILD EVALUATION GUIDELINES

TO: Evaluation Team Members

FROM: Kerry A. Bates, P.E.
Assistant Director, Innovative Project Delivery Division

RE: [Insert Project #]

Within two business days of the Proposal Distribution Meeting, you are required to signed and return this form to:

VDOT Innovative Project Delivery Division
Attn: [XYZ - Project Manager]
1401 East Broad Street
Richmond, Virginia 23219

Should you have any questions regarding this Certification, please contact [Insert PM-IPD Name] at [Insert Phone #].

I certify that I have read the Design-Build Evaluation Guidelines and understand the procedures set forth with regard to the evaluation of Proposals.

I agree to explicitly follow the procedures provided in the Guidelines and will score and evaluate all proposals in accordance with the methodology provided.

(Date)

(Name)

(Title)

Instructions to Proposal Evaluation Team:

All scores are to be written in ink. If changes are made in your score either prior to the shortlist/proposal selection meeting or during that meeting, these score changes must be made by drawing a line through the incorrect score, writing the correct score and initialing the changes. All changes shall be made in ink.

APPENDIX B
CONFLICT OF INTEREST

CERTIFICATION OF NON-CONFLICT OF INTEREST
(As defined in Code of VA Title II – Chapter 43 Section 2.2-4369)

**BEFORE SCORING PROPOSALS,
SIGN AND RETURN TO:**

Mr. W. W. Barker, Administration Services Division, Central Office

Contract: [\[Insert Project #\]](#)

I certify that I am not contemporaneously employed by any Offeror or member of Offeror’s team, involved in this procurement; and

I, my partner, or any member of my immediate family does not hold a position with a Offeror, or member of Offeror’s team such as an officer, director, trustee, partner or the like, or is employed in a capacity involving personal and substantial participation in the procurement transaction, or owns or controls an interest in more than five percent; and

I, my partner, or any member of my immediate family does not have a pecuniary interest arising from the procurement transactions; and

I, my partner, or any member of my immediate family is not negotiating, or has an arrangement concerning, prospective employment with an Offeror or a member of Offeror’s team.

(Date)

(Name)

(Title)

Instructions to Proposal Evaluation Team:

All scores are to be written in ink. If changes are made in your score either prior to the shortlist selection meeting or during that meeting, these score changes must be made by drawing a line through the incorrect score, writing the correct score and initialing the changes. All changes shall be made in ink.