

6-1 Introduction

This chapter provides the methodology and procedures for evaluation of Statements of Qualifications (SOQs) received in response to the Request for Qualifications (RFQ) and proposals received in response to Request for Proposal (RFP). The purpose of this chapter is to provide guidance to ensure the impartial, equitable, and comprehensive evaluation of each SOQ and proposal, in accordance with the RFQ and RFP requirements.

6-1.1 Transparency

It is imperative for all the parties involved in a design-build project that the evaluation process be fair, equitable, and transparent. The evaluation process should clearly communicate how WSDOT establishes the short list from the SOQs and how WSDOT determines the Proposer's technical score.

The following list of recommendations should be followed:

- Clearly state the evaluation criteria and score/technical credits given for each item related to identified project goals and ensure that the Evaluation Team understands them.
- Clearly state the requirements of the RFQ and RFP including what will be considered a non-responsive submittal.
- Clearly state the requirements of the RFQ and RFP including what will be considered a strength, weaknesses, and neutral response.
- Do not seek from Proposers the number or dollar amount of changes on past projects constructed by them.
- In the proposal phase, give equal opportunity for each short-listed Submitter to converse with representatives of the WSDOT project team to clarify their proposal and any of the requirements of the RFP.
- Provide debriefs for the industry following the announcement of the short listed Submitters and the Apparent Best Value Proposed team. For more information on both internal and external debriefs reference [Chapter 5](#).

This list is based on several cases in alternative contracting methods for public works projects nationwide where the award was successfully protested because the evaluation plan was unclear and overly subjective. Award protests and their subsequent project delays are avoidable if the agency invests the upfront resources necessary to develop a fair, equitable, and, perhaps most importantly, transparent evaluation process with which to select the best apparent value from among several competing proposals.

6-1.2 Scoring Systems

WSDOT uses both an adjectival and numerical evaluation and scoring methodology for design-build projects as a key part of its reproducible scoring process. If a project team requests to use an alternative to this methodology, it must gain approval from the Assistant State Construction Engineer (ASCE) before proceeding. The adjectival rating methodology is described in other Sections of this chapter.

6-1.3 Evaluation Methods

WSDOT has two evaluation methods. The first evaluation method requires each Evaluation Team member to use the Qualitative Evaluation Form to record Strengths and Weakness and individual comments. The second evaluation method uses the SOQ or Proposal PDF to identify Strengths and Weakness and record individual evaluation comments within the PDF.

If the comment in the RFF method is used, the Facilitator must:

- Ensure each evaluator has two full-sized monitors.
- Ensure each evaluator has Adobe Acrobat Pro DC
- Assign highlight color to each evaluator
- Show how to use Adobe DC “Highlight” tool to highlight strengths and weaknesses and comment in their Proposal PDF.
- States the comment format is “Goal <dash> Comment and Justification <period> strength or weakness value in accordance with Exhibit 6-3 Strengths and Weaknesses Assessment Table”
- If this comment identifies a Betterment the format should include the capital letter “B” at the end of the format.

Both method must use the Qualitative Evaluation Form to record the final comments and scores. The Qualitative Evaluation Form is the official evaluation record.

6-1.4 Confidentiality and Non-Disclosure Agreement (Agreement), and No-Conflicts of Interest Affidavit (Affidavit)

Prior to the start of the SOQ and RFP evaluation, at or before the evaluation kick-off meeting, the Facilitator will inform the Evaluation Team of the importance of confidentiality safeguards. Refer to the WSDOT [Organizational Conflicts of Interest Manual M 3043](#) for guidance on confidentiality and non-disclosure requirements and non-conflicts of interest affidavits.

The Project Management Team will mitigate indications of real, apparent, or perceived conflicts of interest. If a conflict cannot be mitigated, the individual involved will be removed from the evaluation process. The submissions of the Agreements and Affidavits to the Facilitator from the evaluation team will become part of the evaluation record. After the evaluation kick-off meeting, all individuals involved in the evaluation process will be responsible for maintaining confidentiality.

6-1.5 **Information Release**

No information regarding the contents of the SOQs/Proposals, Evaluation Team member identities (including Technical Advisors), deliberations by the Evaluation Team, or other information relating to the evaluation process shall be released (except to authorized persons) or publicly disclosed unless otherwise provided for by statute or regulation. It is particularly important that any information designated as “proprietary or confidential” by any Proposer be carefully guarded to avoid its inadvertent release.

6-1.6 **Security of Work Area**

The Facilitator will secure a private meeting room or virtual workspace that can be locked and secured for all group reviews, evaluations, and discussions pertaining to the evaluation (e.g., covering windows). Only the Evaluation Team and personnel approved by the Project Engineer, will be authorized admittance or access to this area or media platform. The Facilitator must provide justification to the Project Engineer for additions to the Evaluation Team. If a situation arises that requires an individual who is not an Evaluation Team member to enter the evaluation area or invited to collaborate via the virtual media platform, discussions will discontinue and all records must be properly stored or safeguarded. This safeguard is to remain in effect until the individual has departed the work area. The Facilitator must ensure that the identity of the evaluators is kept confidential.

The Evaluation Team will ensure their evaluation is done in secure private location. For virtual meetings, attendees shall ensure that their work area is private so that confidentiality can be maintained.

6-1.7 **Documentation Control**

Depending upon the phase of evaluation, the Facilitator will give access to a secure, permission-restricted location to each Evaluation Team member so they can evaluate each SOQ or Proposal. For no reason should the SOQ or Proposal be printed or emailed. During independent evaluation of SOQs, proposals, and evaluation materials, each Evaluation Team member will maintain and ensure confidentiality by securing all of the materials under his/her direct control from others not associated with the Evaluation Team. All materials must be saved in a designated, secure, permission restricted, location.

During group evaluations, the Facilitator should directly control and secure all documentation at the end of each day. Adherence to the procedures in this chapter as it relates to safeguarding and storing of confidential documentation is of utmost importance. Do not store computer files on drives accessible to others. All materials must be saved in a designated, secure, permission restricted, location accessible only to those on the Evaluation Team.

At the conclusion of each evaluation process, the Evaluation Team will not retain any draft or any part of the SOQ or Proposal evaluation materials. All work must be retained in the project specific evaluation file. The Evaluation Team can make marks, or comments on their individual electronic copies of SOQs/proposals.

6-1.8 **Potential Evaluators List**

This list in the Design-Build Resources folder on the Design-Build Program's SharePoint site provides names of potential evaluators. This list is searchable by region, name, title, training, experience as an unofficial observer, and experience as a past evaluator. All evaluators should be an Assistant Project Engineers or above. Every evaluator should complete both SOQ Evaluation and Proposal Evaluation Trainings. Best practice is to have at least one of the evaluators have previous experience as an unofficial observer or an evaluator on a previous design-build project. This list will assist in narrowing down potential evaluators.

6-2 **Roles and Responsibilities**

The SOQ and Proposal Evaluation Team members include a Facilitator, Evaluators, Technical Advisors, and an Observer. The following are the general roles and responsibilities for the Evaluation Team during the both the SOQ and proposal evaluation phase:

6-2.1 **Facilitator**

The Facilitator may be the Project Engineer or Procurement Specialist. Titles may vary by region.

- Ensures that procedures as prescribed in this manual are followed
- Coordinates with the Project Engineer to determine who will be Evaluation Team members, inclusive of Technical Advisors and Observers
- Develops evaluation schedule
- Provides CAA list of Evaluation Team members for access to the secure Book11, *Evaluations* in the ECM
- Coordinates with the Information Technology Division (ITD) access restricted folders created for confidential information
- Determine the evaluation method to use
- Develops the Qualitative Evaluation Form
- Ensures Evaluation Team is trained on evaluation method
- Ensure Evaluation Team has the necessary equipment and software to use the desire evaluation method
- Schedules and facilitates the evaluation kick-off meeting, evaluations, and debrief meetings with the Project Management, Region Executive, and HQ Executive Teams
- Schedules reference phone calls and invites Technical Advisors, as necessary, for team evaluations.
- Provides a list of each Submitter's team members (Key Personnel and Major Participants) to the Evaluation Team
- Ensures each Evaluation Team member completes a *Confidentiality and Non-Disclosure Agreement* and a *No-Conflicts of Interest Affidavit*.

- Collects and records the Agreement and Affidavit on a simple tracking list. This list is needed to support the Proposers' one-on-one meetings confidentiality. The list is created at the start of the project and supports additions as other reviewers and executives are included in the project. The benefit of the list is that it reminds the Facilitator to ensure they have a conversation with each new person added and to reinforce the need for confidentiality and that no outside conversations or reviews can occur.
- Serves as a point of contact if an Evaluation Team member has questions or encounters problems relative to the evaluations
- Ensures the timely progress of the evaluation and coordinates any consensus meetings or re-evaluations
- Identifies backup Evaluators or Technical Advisors as necessary to evaluate the SOQs or proposals
- Requests approval from the ASCE regarding any deviations from the procedures prescribed in this chapter
- Schedule internal debriefs with Project Management, Region Executive, and HQ Executive Teams
- Summarizes the final evaluation comments and technical scores in the *Qualitative Evaluation Form*
- Presents the evaluation summary to the Project Management, Region Executive, and HQ Executive Teams at the internal debriefs
- Coordinates with Contract Ad & Award Office (CAA)
- Prepares [Apparent Best Value Determination spreadsheet](#) and submits it to CAA
- Maintains all evaluation records
- Provides the Qualitative Evaluation Form to CAA
- Provides to CAA anonymous total scores of each Submitter/Proposer
- Schedules external debriefing sessions with the Proposers (in accordance with the Instructions to Proposers (ITP))
- Protect the identities of the Evaluators

6-2.2 Evaluators

Evaluators should be the same individuals for both the SOQ and the Proposal evaluation phases. There are usually three Evaluators, consisting of individuals in the position of Assistant Project Engineer, Project Engineer, or Engineering Manager. The individuals who serve as Evaluators should have a broad range of experience in both design and construction.

Typically, one of the Evaluators is familiar with the project and the other two Evaluators are from outside the WSDOT Project Team. In addition, one Evaluator is typically from outside the Region.

The Technical Point of Contact identified in the RFQ/RFP is prohibited from being an Evaluator.

- Completes and executes a *Confidentiality and Non-Disclosure Agreement* and a *No-Conflicts of Interest Affidavit* and submits completed and executed forms to the Facilitator
- Takes all required trainings
- Accepts meeting requests and commits ample time to evaluate both the SOQs and the Proposals – both for individual review and evaluation time and for group evaluation and scoring
- Reviews the *Qualitative Evaluation Forms*, RFQ, ITP, and any RFP Technical Requirements sections and appendices related to the submittal requirements as provided by the Facilitator
- Evaluates individually the SOQs and Proposals, recording evaluation comments on the *Qualitative Evaluation Form (or alternative method as instructed by the Facilitator)*, and assessing strengths and weaknesses of each provided comment compared to the technical criteria elements and goals outlined in the RFQ and RFP.
- Documents the reasons for strengths and weaknesses. Comments must be specific and not generalized. Section references will be included with the provided comment to support an assessment.
- Identifies questions regarding any Technical Requirements that require a Technical Advisor response and communicates this need to the Facilitator. The questions and subsequent responses shall be coordinated through the Facilitator and shared in an ‘open forum’ where all the Evaluators are present. This can be done via an email, teleconference, MS Teams (or equivalent), or waiting until the in-the-room evaluation meeting.
- Works with other Evaluators and Facilitator to combine similar comments and delete irrelevant comments. Deliberates on and reach consensus on each comment, strength/weakness assessment, and determination of numerical scores.
- As an Evaluation Team member, meets with each Technical Advisor in the proposal evaluation phase to receive input and recommendations to develop adjectival ratings for each Technical Proposal section.
 - Upon completion of the discussion with the Technical Advisors, the Evaluators agree on an adjectival rating and numerical score for each Technical Proposal section using the adjectival systems described in the ITP.
- May participate in meetings with the Project Management, Region Executive, and HQ Executive Teams to review the scoring of both evaluation phases.

6-2.3 *Technical Advisor*

Technical Advisors may be used during the evaluation of both the SOQs and the proposals.

- Reviews the RFQ RFP, ITP, and any Technical Requirements sections related to the proposal evaluation
- Reviews specific technical sections of the proposal, using the directed evaluation method recording individual comments, and assessing strengths and weaknesses of each technical criteria element. Reasons for strengths and weaknesses will be thoroughly documented and comments will be specific and not a generalization. Proposal section references will be included to support each assessment.
- Presents their recommendations and supporting logic to Evaluators at a scheduled proposal evaluation meeting.
- Responds to questions from the Evaluation Team (via the Facilitator) during the SOQ and Proposal evaluation periods.

6-2.4 *Office of Equal Opportunity Technical Advisor*

The Office of Equal Opportunity (OEO) has responsibility for ensuring that Federal and State civil rights program requirements are being met per Federal and State laws and statutes. Inclusive of the programs are Title VI, Disadvantaged Business Enterprise (DBE), Americans with Disabilities Act (ADA) and Equal Employment Opportunity (EEO) Compliance. For Federal-aid projects, OEO will review all submitted DBE performance plans in accordance with the following process:

- Project Facilitator notifies HQ OEO that DBE Performance Plan reviews are required.
- HQ OEO will assign the reviews to OEO region personnel.
- Region OEO personnel sign Confidentiality and Non-Disclosure Agreement and a No-Conflicts of Interest Affidavit.
- Project Facilitator provides DBE Performance Plans to Region OEO personnel.
- Region OEO personnel review the RFP sections related to the Proposal evaluation (specifically those sections related to the DBE Performance Plan)
- Region OEO personnel review performance plans (5 days).
- Region OEO personnel identify strengths and weaknesses as identified in DBM Section 6-2.3, Technical Advisor.
- Region OEO personnel determine Adjectival Rating.
- Region OEO personnel provide Qualitative Evaluation Form and Adjectival Rating to Project Facilitator.
- Project Facilitator merges the contents of the OEO completed Qualitative Evaluation Form into the Summary Qualitative Evaluation Form, including the Adjectival Rating, and provides it to the Evaluation Team during in the room evaluations.
- Evaluation Team use Summary Qualitative Evaluation Form and Adjectival Rating to evaluate the DBE Participation Project Goal and determine applicable percentage within the Adjectival Rating to calculate technical scores.

- Evaluation Team use the OEO determined Adjectival Rating, subject to outcome of the Disagreement Resolution process, and calculates technical scores.
 - Disagreement Resolution: If the Evaluation Team takes exception to the Adjectival Rating or the supporting comments, or identifies a deviation from the ITP, the ASCE observer will review the circumstance and attempt to resolve between the OEO personnel and the Project Facilitator.
 - If the ASCE is unable to facilitate a resolution, then the ASCE and Project Facilitator will present the issue to the OEO Director and the Deputy State Construction Engineer for resolution.

6-2.5 **Observer**

The Observer is the ASCE for the project or their designee.

- Ensures that appropriate evaluation records are being maintained by the Facilitator
- Ensures that all approved evaluation processes and procedures are followed
- Reviews the RFQ, SOQ, ITP, the RFP, and the Technical Proposals
- Attends any part of the SOQ and Technical Proposals evaluation meeting and provides input to the Evaluation Team and Technical Advisors regarding evaluation processes and procedures
- Does not provide input regarding the qualitative evaluations or scoring.

6-2.6 **Project Management Team**

The Management Team consists of the Engineering Managers (design and construction) and the Program Director/Assistant Regional Administrator and/or their Deputies. The Management Team will participate in an Evaluation Debrief Meeting to discuss the submitted SOQs/Proposals and the evaluation forms completed by the Evaluators in connection with their review and scoring of the SOQs/Proposals.

During the Evaluation Debrief Meeting, the Facilitator will present the evaluation results to the Management Team. The Evaluation Team will have the opportunity to explain their evaluations to the Management Team. The Management Team:

- Participates in an evaluation debrief meeting to discuss the SOQs/Proposals and the evaluation forms completed by the Evaluators
- Reviews the summary page of the *Qualitative Evaluation Form*, asks questions, and provides comments
- Participates in evaluation debrief meetings with Region Executive and HQ Executive Teams
- Provides concurrence of the evaluation process to the Region Executive Team
- Recommends approval of the evaluation process to the Region Executive Team

6-2.7 **Region Executive Team**

Region Executive Team may be comprised of the Region Administrator, Deputy Region Administrator, and Assistant Region Administrator.

The Region Executive Team will participate in an Evaluation Debrief Meeting to review the recommendations of the Management Team regarding the proposed short list/ Technical Scores. The Region Executive Team:

- Participates in an evaluation debrief meeting to discuss the SOQs/Proposals and the evaluation forms completed by the Evaluators
- Reviews the summary page of the *Qualitative Evaluation Form*, asks questions, and provides comments
- Participates in evaluation debrief meetings with Project Management and HQ Executive Teams
- Provides concurrence of the evaluation process to the HQ Executive Team
- Recommends approval of the evaluation process to the HQ Executive Team

6-2.8 **Headquarters Executive Team**

HQ Executive Team may include the State Construction Engineer (Director of Construction Division), Assistant Secretary Regions and Mega Programs, Deputy Assistant Secretary Mega Projects, Deputy Assistant Secretary Multimodal Development and Delivery, Deputy State Construction Engineer, Lead Construction Engineer, Projects Lead Construction Engineer, Administration, ASCE supporting the project, , State Design-Build Program Manager, State Design-Build Engineer. If appropriate, consider including the State Design Engineer, Environmental Services Office (ESO), and OEO to the above list of participants.

The Facilitator will develop an Executive Summary of the evaluations and make a presentation to the HQ Executive Team for approval.

The HQ Executive Team will participate in an Evaluation Debrief Meeting to review the recommendations of the Region Executive Team regarding the proposed short list/ Technical Scores. The HQ Executive Team:

- Participates in an evaluation debrief meeting to discuss the SOQs/Proposals and the evaluation forms completed by the Evaluators
- Reviews the summary page of the *Qualitative Evaluation Form*, asks questions, and provides comments
- Provides final approval of the evaluation process

6-2.9 **Contract Ad & Award Office**

CAA is coordinated with throughout all phases of the design build procurement.

Creates the DB Project Page on Public Works Website.

- Manages all DB Procurements documents on the Public Works Website.
- Provides Submitters WSDOT SFTP Username and Passwords
- Create WSDOT SFPT Folder
- Receives SOQs
- Completes SOQ Pass/Fail Review Checklist
- Moves SOQs to the ECM
- Receives Proposals
- Review proposals upset value determination
- Completes Proposal Pass/Fail Review Checklists
- Receives the Apparent Best Value Determination Spreadsheet from the Facilitator
- Conducts the public opening of the Price Proposals and inputs pricing into the Apparent Best Value Determination Spreadsheet.
- Receives evaluation summary spreadsheets from the Facilitator
- Provides evaluation materials to the Submitters and Proposers at the appropriate time
- Receives the Apparent Best Value Determination Spreadsheet from the Facilitator

6-3 **Statement of Qualifications Evaluations Process**

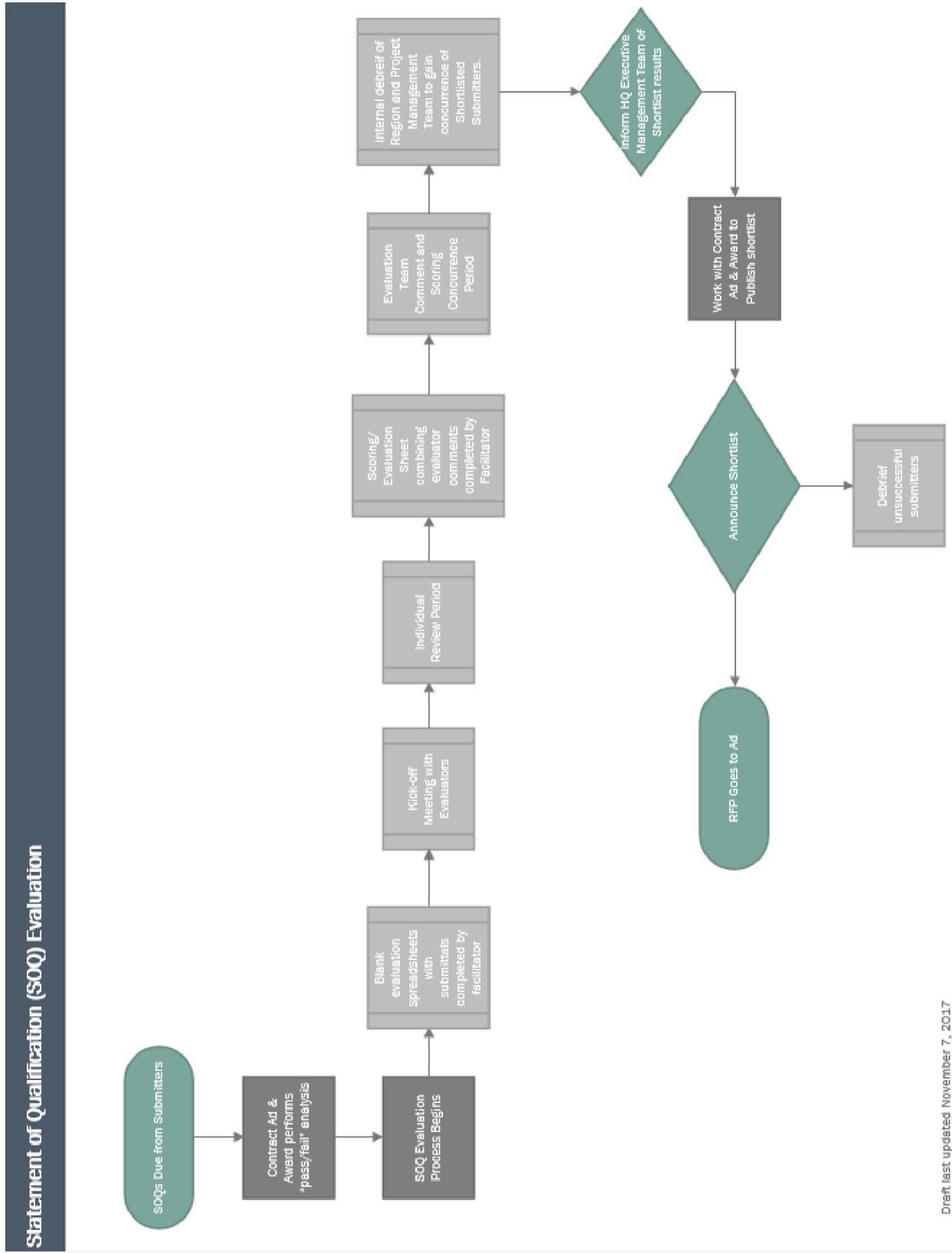
6-3.1 **Objectives**

The objective of the SOQ evaluation process is to conduct a transparent and defensible selection process by evaluating SOQs fairly. The Evaluation Team must maintain confidentiality not only of the documents but the process as well. The end result is to produce a short list of qualified Submitters that WSDOT will then invite to propose on the project.

6-3.2 **Overall Statement of Qualifications Evaluation Process**

The SOQ is a response to the RFQ. It is at this time that Submitters describes how their experience on past projects of similar scope and complexity meet the project goals. Illustrated in the flow chart below (Exhibit 6-1) is the SOQ evaluation process.

Exhibit 6-1 SOQ Evaluation Flow Chart

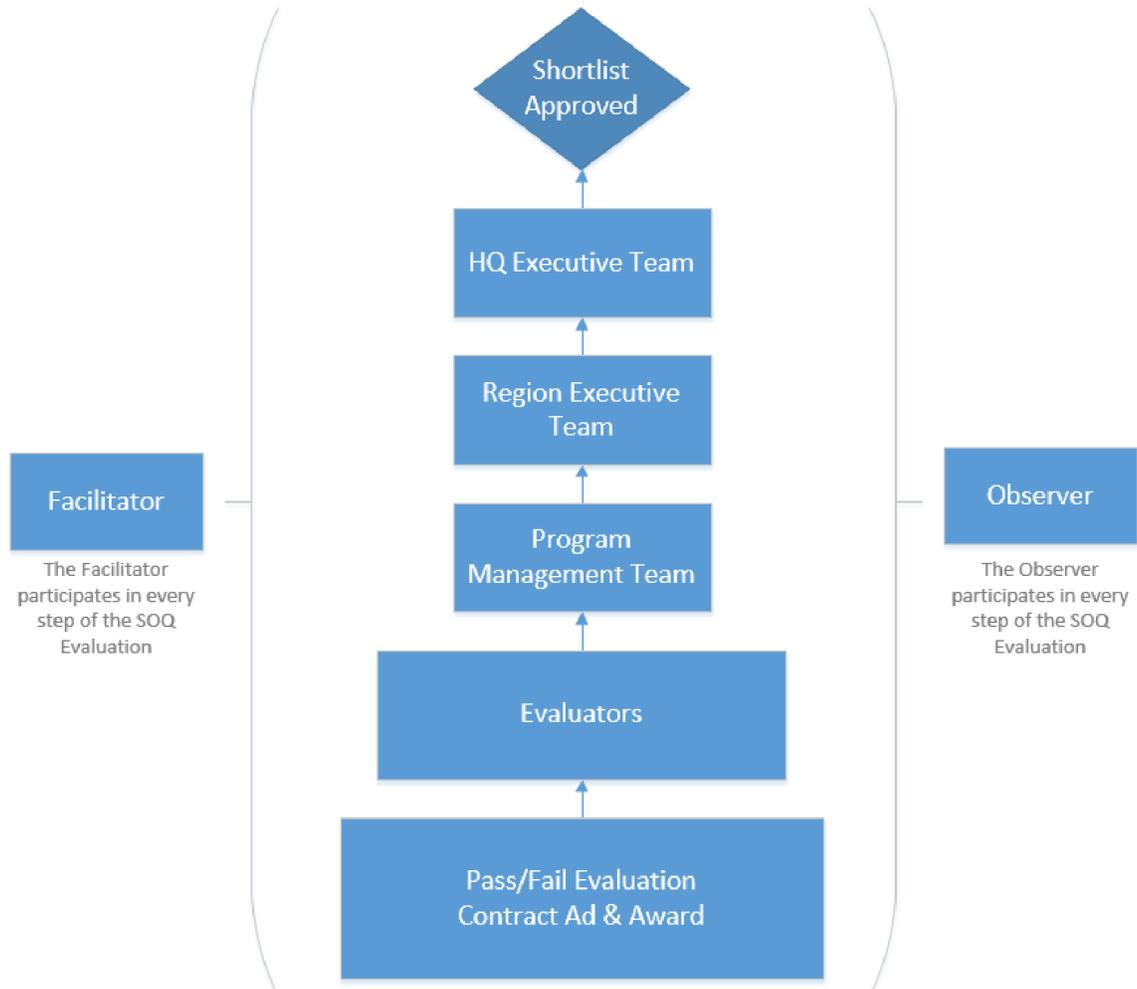


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6-3.3 Statement of Qualifications Evaluation Chart

When evaluating SOQ, it is important to have an understanding of how the various teams' Key Personnel and Major Participants will work together. If they have worked together in the past, the Submitter's team can demonstrate this through examples of past experience. In the chart below (Exhibit 6-2), you will see that the work of CAA forms the basis for all subsequent evaluation work.

Exhibit 6-2 SOQ Evaluation Chart



6-3.4 Schedule

The SOQ evaluation process generally takes 2 to 3 weeks depending on how many submittals are received.

6-3.5 SOQ Evaluation Process

Described below are the procedures for developing the short list of Submitters:

- The Facilitator completes the project-specific SOQ [Pass/Fail Review Checklist Template](#) and submits it to CAA.
- The WSDOT CAA Office receives the SOQs and reviews each for Pass/Fail criteria and completes the SOQ Pass/Fail Review Checklist provided by the Project Team.
- CAA saves responsive SOQs in Book 11, *Evaluations* in ECM.
- The Facilitator makes a copy of each SOQ and saves it in a secure restricted access location.
- The Facilitator will briefly review each SOQ and make a list that includes the name of Key Personnel and Major Participants firm mentioned in each SOQ. This list will be provided to the Evaluation Team to aid them in identifying any possible conflicts of interest. A report for concurrence is sent to the ASCE.
- Each Evaluation Team member will receive the conformed RFQ at the SOQ evaluation kick-off meeting and guidance on which evaluation method to use.
- Questions pertaining to the evaluation criteria or the evaluation process will be addressed at the SOQ evaluation kickoff meeting. The discussion will include any subjective or other terms that require a common interpretation.
- Depending on which evaluation method the Facilitator decides, each Evaluator will either individually score the SOQs using the *Qualitative Evaluation Form* to identify strengths and weaknesses or will identify strengths and weaknesses and comment in the SOQ PDF. This activity takes approximately two weeks.
- The Evaluation Team will provide either their individual *Qualitative Evaluation Form* or their individual PDF with comments to the Facilitator to combine. This activity takes approximately 2 days.
- The Evaluation Team will collaborate during in the room evaluations with the Facilitator to finalize scoring of all the strengths and weakness identified by the individual evaluations for each SOQ. This activity takes approximately two weeks.
- The official evaluation summary will be recorded in the *Qualitative Evaluation Form* regardless of the evaluation method used.

6-3.6 *Adjectival Rating Criteria*

The adjectival rating criteria will be used when evaluating the SOQs.

Each Evaluator will review the SOQs independently, determine strengths and weaknesses for each scored element of the SOQ, and record their findings on the Qualitative Evaluation Form. Strengths and weaknesses related to a particular criteria element may be evaluated from any component of the SOQ. Documentation in the Qualitative Evaluation Forms should be comprehensive and adequately provide the basis of the assessment, including the strengths and weaknesses supporting the assigned ratings.

After completing and submitting the individual forms to the Facilitator, the Facilitator working with the Evaluators, will combine the comments into one Qualitative Evaluation Form, grouping similar comments together. The Facilitator will temporarily use colors or shading to differentiate each evaluator to help facilitate the consolidation efforts that will occur in the next step. (Note that these colors/shading are temporary and will be removed prior to finalizing the Qualitative Evaluation Form.)

Using the Adjectival Evaluation and Scoring Guide (as provided in Table 7-1 of the RFQ), the Evaluators determine an adjectival rating based on the requirements of the RFQ, and select the percentage from within the range associated with the adjectival rating that best reflects the strength/weakness of the element. That percentage of the maximum score will determine the final score for that section.

6-3.7 *Assessing Strengths and Weaknesses*

In reviewing each SOQ, the Evaluators determine the strengths and weaknesses for each of the evaluation criteria, recording their findings on the Qualitative Evaluation Form for each Key Personnel and Major Participant. Strengths and weaknesses do not have to be exclusively indicated within the section being evaluated to influence the evaluation scoring. For example, if a statement that is submitted in one section influences the score in another section, the Evaluator may take that statement into account.

The Evaluators may further distinguish the strengths and weaknesses as “significant” or “minor.”

The Evaluators may also use a “high” or “low” prefix to further differentiate the strengths or weaknesses. When, in the judgment of the Evaluators, an SOQ element does not equate to a strength or weakness, but is being acknowledged, a “Neutral” will be identified.

The definitions of Strength and Weakness are found in [Chapter 1](#) and are further expanded in Exhibit 6-3.

Exhibit 6-3 Strengths and Weaknesses Assessment Table

1. High Significant Strength	Strength – That part of the proposal which represents a benefit to the project and is expected to increase the Proposer’s ability to meet or exceed the project goals.	A significant strength has a considerable positive influence on the Submitter’s ability to meet or exceed the project goals.
2. Significant Strength		
3. Low Significant Strength		
4. High Minor Strength		A minor strength has a slight positive influence on the Submitter’s ability to meet or exceed the project goals.
5. Minor Strength		
6. Low Minor Strength		
7. Neutral		
8. Low Minor Weakness	Weakness – That part of the proposal which detracts from the Proposer’s ability to meet the project goals or may result in an inefficient of ineffective performance.	A minor weakness has a slight negative influence on the Submitter’s ability to meet the project goals.
9. Minor Weakness		
10. High Minor Weakness		
11. Low Significant Weakness		A significant weakness has a considerable negative influence on the Submitter’s ability to meet the project goals.
12. Significant Weakness		
13. High Significant Weakness		

6-3.8 Conclusion of SOQ Evaluation Procedure

After conferring with the Project Management Team, the Project Team will debrief the Region Executive, and HQ Executive Teams to obtain their concurrence that the Evaluation Team following the SOQ evaluation process. The Facilitator will prepare the notices with the results of the evaluation process using the Qualitative Evaluation Form for CAA to release to all Submitters. An invitation to respond to the RFP will be extended to the short listed Submitters only.

At the conclusion of the evaluation process, it is the responsibility of the Facilitator to prepare the Project SOQ Evaluation Summary. The Project SOQ Evaluation Summary includes all evaluator affidavits, all final comments as noted on the Qualitative Evaluation Forms, all final scoring sheets, and the final Executive Summary in a single PDF file. Upon completion of the Project SOQ Evaluation Summary, the Facilitator retains one copy for the project file and forwards one to CAA. This is the official evaluation record and should be stored in the ECM.

For SOQ evaluations, the Evaluation Team will recommend a logical breaking point to identify the most highly qualified Submitters and develop a recommended short list. If there are more than three SOQs, the Evaluation Team should recommend a short list of at least three of the most highly qualified Submitters.

6-3.9 SOQ Evaluation Materials

Each Submitter will be provided their detailed scores and Evaluators' comments, along with the anonymous total scores of all Submitters, as attachments to their Short List letter.

The project team must submit this evaluation information to CAA the day before the Short List announcement is scheduled at the latest.

The Facilitator will email CAA the Qualitative Evaluation Form and the following information for each Submitter:

- Detailed scores
- Evaluators' comments
- Total scores for all the Submitters without Evaluators names

The Facilitator is responsible for ensuring the Evaluators' comments are error free, written in a factual manner devoid of opinion, and identify the correct Submitter.

CAA will do a cursory review prior to emailing each Submitter their evaluation information.

6-4 Proposal Evaluations

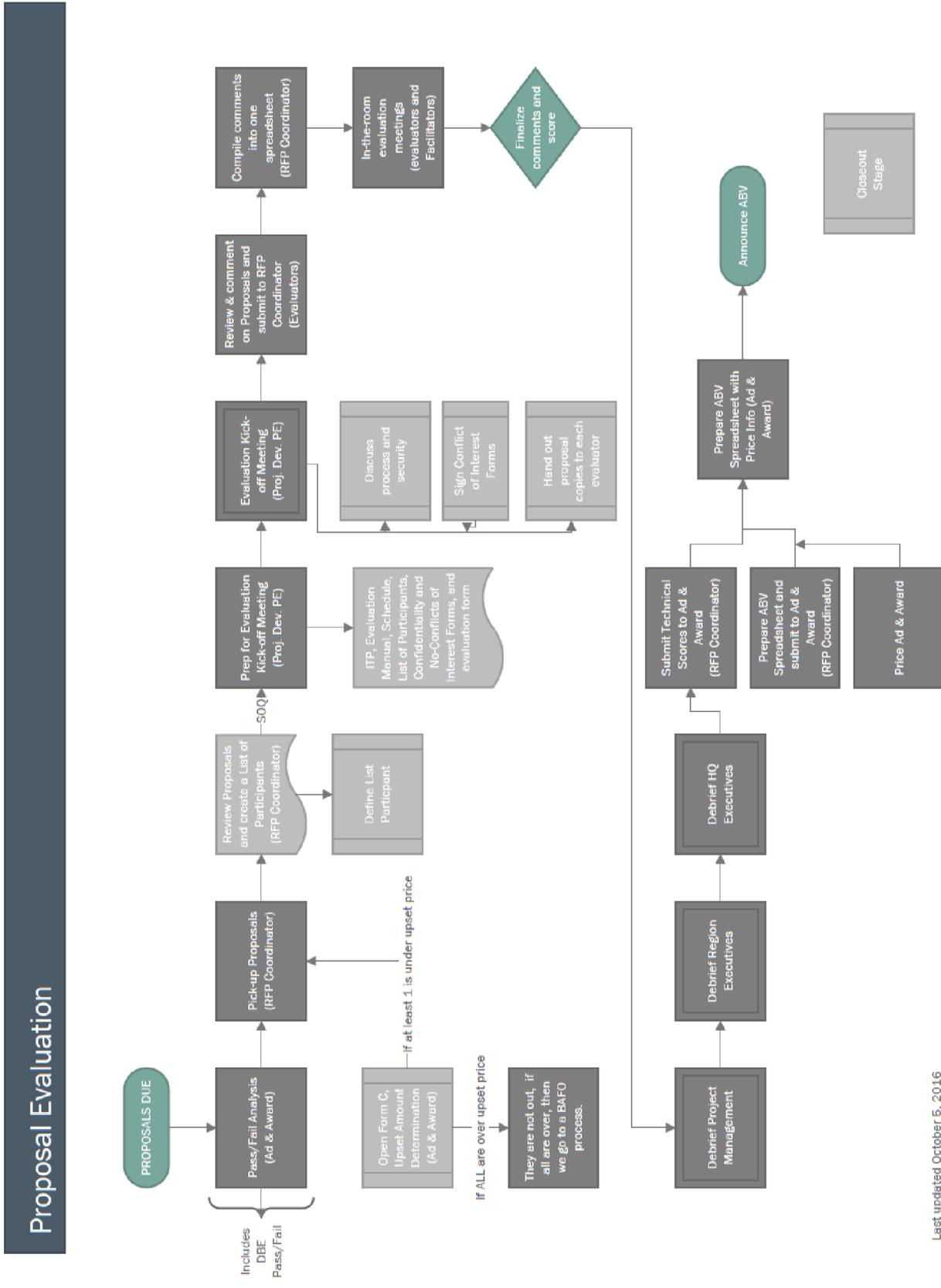
6-4.1 Objectives

The objective of the proposal evaluation process is to conduct a transparent and defensible selection process by evaluating proposals fairly and according to the criteria established in the RFP documents (ITP, General Provisions, Technical Requirements, and Appendices). Confidentiality is vital throughout the evaluation proceedings. The ultimate objective of the proposal evaluation is to create value for the project. An Apparent Best Value selection process concludes and a better project is achieved as Proposers provide innovation and Betterments in an effort to gain more technical credits and be the successful Proposer.

6-4.2 Overall Proposal Evaluation Process

The Proposal is a response to the RFP. It is at this time that Proposers describe the overall approach their firm will take to design and construct the project. Illustrated in the flow chart below (Exhibit 6-4) is the proposal evaluation process.

Exhibit 6-4 Proposal Evaluation Process



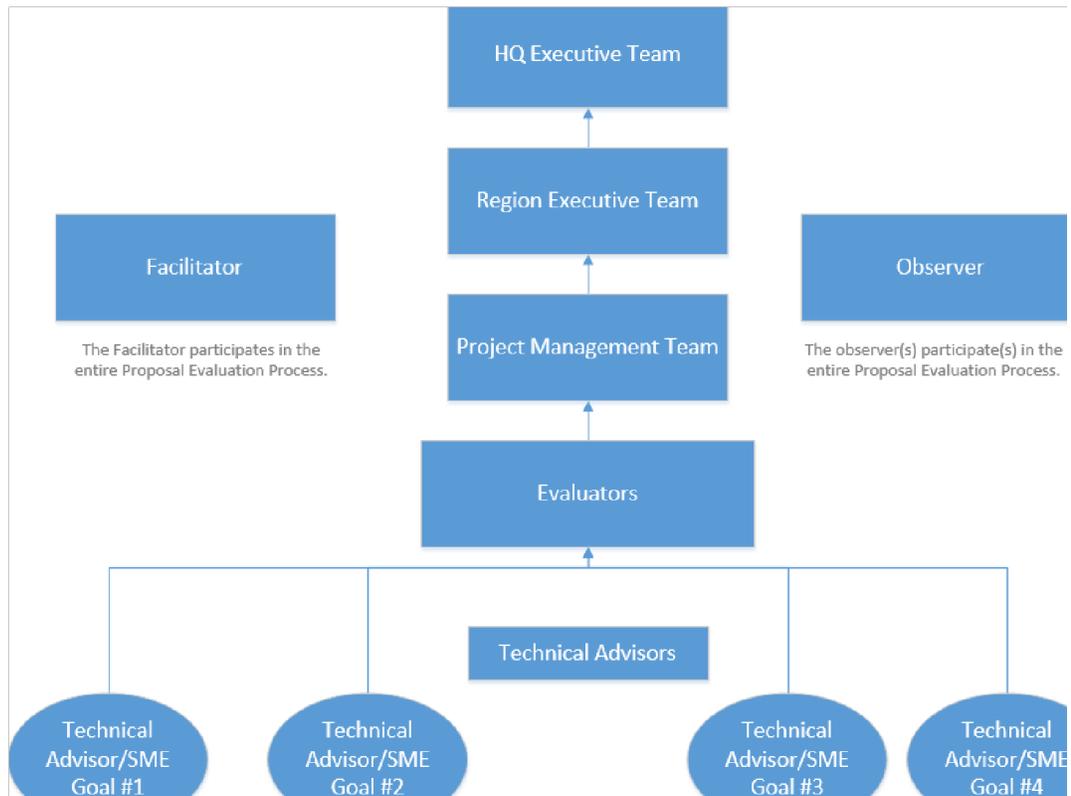
Last updated October 5, 2016

6-4.3 Proposal Evaluation Chart

When evaluating a Proposal, it is important to have an understanding of how the various teams of people work together as depicted in the organizational chart below (Exhibit 6-5).

A confidential chart should be provided to the Proposal Evaluators that identifies the names of the individuals performing the functions in Exhibit 6-5.

Exhibit 6-5 Proposal Evaluation Chart



6-4.4 Schedule

The proposal evaluation process is 3 to 4 weeks. This schedule could be longer, depending on project complexities.

The proposal evaluation debriefs take approximately two weeks to present to the following teams: HQ Management, Regional Management, Executive Management, and Project Management.

6-4.5 Proposal Evaluation Process

The Evaluation Team will evaluate the Proposals as outlined in Section called Adjectival Rating Criteria.

- The Facilitator conforms the RFP to include all addenda for convenience
- The Facilitator prepares the project-specific [Proposal Pass/Fail Review Checklist](#)
- The Facilitator develops the Proposal Evaluation Kick-Off Meeting Agenda
- The Facilitator develops the Evaluation Team Organizational Chart
- The Facilitator develops evaluation schedule
- The Facilitator schedules the Evaluators' Proposal evaluation kick-off meeting
- The Facilitator schedules the in-the-room evaluation meetings (via virtual media platform)
- The Facilitator schedules the Technical Advisor report-out meetings
- The Facilitator schedules all proposal internal debrief meetings.
- The Facilitator arranges with the CAA Office to obtain the Technical Proposals. The Price Proposal remain secure in BidX.
- The Facilitator reviews each of the proposals and verifies the participants list
- The Facilitator ensure that all Major Participants and Key Personnel referenced match that of the SOQ.
- If applicable, CAA opens Form C, Upset Amount to verify if one Proposer is under Upset Amount.
- CAA completed Proposal Pass/Fail Review
- CAA Saves Proposals in the ECM
- CAA meets with Facilitator to ensure access to ECM Book 11.
- The Evaluation Team has Proposal Evaluation Kick-Off Meeting.
- The Evaluation Team follows the Evaluation Method approved by the Facilitator.
- Evaluators due their Independent Evaluations.
- Technical Advisor and OEO Technical Advisor review their requested sections and provide materials back to Facilitator.
- The Facilitator combines all S/W and comments.
- The Evaluation Team does In-The-Room Evaluations.
- The Facilitator provides CAA final Qualitative Evaluation Forms.

6-4.6 *Proposal Evaluation Kick-Off Meeting*

This meeting is used to kick-off the evaluation process. It is where the Project Goals are reviewed.

The Facilitator gathers all of the evaluation kick-off meeting materials, including:

- Confidentiality and Non-Disclosure Agreements
- No-Conflicts of Interest Affidavits
- List of participants
- Conformed ITP, [Chapter 2](#), (Technical Requirements), [Chapter 1](#) (GP)
- Responses to formal questions
- Example completed evaluation form to show level of detail
- Evaluation schedule
- Proposals
- The Facilitator, Evaluators, Technical Advisors, OEO Technical Advisor (if applicable), and Observers attend the evaluation kick-off meeting, where the Facilitator provides secure access to the evaluation materials.
- The Facilitator ensures that any new members of the Evaluation Team sign a Confidentiality and Non-Disclosure Agreement and a No-Conflicts of Interest Affidavit. Previous SOQ Evaluation team members should have already completed the Confidentiality and Non-Disclosure Agreement and a No-Conflicts of Interest Affidavit. If an additional Major Participant or Key Personnel is identified, all Evaluators should ensure there are no conflicts of interest.
- The Facilitator describes the evaluation process
- If the comment in the Proposal PDF method is used, the Facilitator verifies Evaluation Team has the required software.

6-4.7 *Independent Evaluations*

- The Evaluators individually read the proposals, document their findings either in the comment in the PDF method or on their individual Qualitative Evaluation Forms, and assign strengths and weaknesses to each.
- The Evaluators submit their individual PDF with comments or Qualitative Evaluation Forms to the Facilitator.

6-4.8 In-the-Room Evaluations

Prior to the in the room evaluation, the Facilitator combines the assessments from each evaluator and OEO Technical Advisor (on Federal projects) into one PDF with comments or on one Qualitative Evaluation Form .

- The Evaluation Team meets to discuss each of the evaluators' perspectives and to combine their similar comments into a single comment. The Evaluators then agree on a final strength and weakness for each comment.
- Technical Advisors will review the Technical Proposal in their respective discipline areas, and will present their findings to the Evaluators during a scheduled session. The Evaluators can ask questions of the Technical Advisors but only in an 'open forum' where all the Evaluators are present. Evaluators may consider the Technical Advisor's input when determining a score for that particular section.
- The Facilitator and Evaluators develop the finalized Qualitative Evaluation Form (even if the comment in the PDF method is used a finalized Qualitative Evaluation Form must be created)
- After considering the Technical Advisor's input, the Evaluators will consolidate their comments and develop a single agreed to Qualitative Evaluation Form for each criteria element.
- The Evaluation Team may perform reference checks for each Proposer. Reference checks are typically performed by the Facilitator (or the PE) in the presence of the rest of the Evaluation Team. The Evaluation Team will supplement existing findings with information obtained during the reference checks and may revise strength/ weakness ratings accordingly.
- Evaluators determine an adjectival rating based on the requirements of the ITP and select the percentage from within the range associated with the adjectival rating that best reflects the strength/weakness of the element. That percentage of the maximum score will determine the final score for that section.
- The Facilitator finalizes the Qualitative Evaluation Form for the evaluators to perform a side-by-side consistency check for each proposal. This is intended to check that there was consistency in how the strengths, weaknesses, and adjectival ratings were assigned. THE PROPOSALS ARE NOT EVALUATED IN RELATION TO ONE ANOTHER, BUT AGAINST THE REQUIREMENTS OF THE RFP.
- The Facilitator reveals the Overall Summary Form, which is part of the Qualitative Evaluation Form, to the Evaluation Team to review the final scores for each proposal.
- The Facilitator prepares the Apparent Best Value spreadsheet, inserting the final overall technical score for each Proposer, and all other project-specific information, except for the Price Proposals (which have not been opened yet) and submits the Apparent Best Value spreadsheet to the CAA Office.

6-4.9 Internal Proposal Debriefs

In accordance with [Chapter 5 General Procurement Activities](#).

6-4.10 Identification of Betterments

A Betterment is identified as any component or system, which exceeds the minimum requirements stated in the RFP. Betterments are included in the proposals and are intended to make the proposal more competitive and are often tied to areas of importance specified by WSDOT in the RFP documents. Betterments may provide additional features and functions such as the capacity, capability, level of service, efficiency, duration and performance of the project, which is superior to WSDOT's RFP requirements. It is important to recognize that a Betterment should be an improvement, not merely a change, to the contract and must be related to the project goals.

The Betterments list is initially determined during the evaluation of the Proposal and concurred to by the Project Engineer. The list is discussed and agreed upon with the Proposer. The list is then given to the Facilitator who forwards it to CAA to become a part of the successful Proposer's contract.

6-4.11 Award Process

The CAA Office receives the Apparent Best Value spreadsheet, prepopulated with the technical credits awarded, and the Apparent Best Value Proposal Score formula, which is shown in the ITP.

The CAA Office conducts the public opening of the Price Proposals. As each proposal price is entered into the spreadsheet, the technical credit is applied to the proposal price giving the Apparent Best Value Score.

The proposal deemed responsive, under the Upset Price (if any), and with the lowest Apparent Best Value Score is announced as the Apparent Best Value Proposal.

The technical credits do not actually reduce the contract amount; they are only used to obtain the Apparent Best Value Score.

6-4.12 Proposal Evaluation Materials

The Facilitator must email the evaluation information listed below to CAA within 24 hours after announcement of the Apparent Best Value Proposer:

- Detailed scores for each proposer
- Evaluators' comments for each proposer

The Facilitator is responsible for ensuring the Evaluators' comments are error free and identify the correct Proposer.

CAA will do a cursory review prior to emailing each Proposer their evaluation information.