



STATEMENT OF INTEREST AND QUALIFICATIONS

Solicitation Number:

Materials Management Procurement

9875 N. 85th Avenue
Peoria, Arizona 85345-6560
Phone: (623) 773-7115
Fax: (623) 773-7118

ATTACHMENT C PROJECT ASSESSMENT PLAN GUIDE AND TEMPLATE

Introduction

The purpose of the Project Assessment Plan is to identify if a vendor can quickly identify the risks on a future project in terms of cost, time, and client expectations (of quality and performance). The PA Plan is used to:

1. Assist the client in prioritizing firms based on their ability to understand the risks of a project.
2. Provide high performing vendors with an opportunity to differentiate themselves from their competitors.
3. Minimize the effort of experienced companies who are competing for the project.

Vendors should keep in mind that the PA Plan is only one step in the selection process. If all the PA Plans are the same, the PA Plan will have little impact in the selection (other factors, such as past performance and interview will dictate the selection). The PA Plan will become part of the contract.

PA Plan Format

The PA Plan contains two major sections: Potential Risks and Solutions and the Potential Value Added Options. The City's goal is to make the selection process as efficient as possible. Efficiency is to minimize the effort of all participants, especially those who will not be awarded the project. Therefore, the PA Plan should be brief and concise. The PA Plan shall NOT exceed 2 pages front side of page only (2 pages combined for Risks and Value Added Ideas).

In order to minimize any bias by the evaluation committee, the PA Plans shall NOT contain ANY names (such as contractor or manufacturer names, personnel names, project names, product names, or company letterhead). A PA Plan template is attached and must be downloaded from the website. Vendors are NOT allowed to re-create the PA Plan Template (cannot alter font size, font type, add colors, add pictures, etc). Failure to comply with these requirements will result in disqualification. The PA Plans should not contain any marketing information, brochures, product names, technical information, or general items. All documents shall be on 8½" x 11", in black and white ink only, no graphics or pictures.

Overview of the Risk Assessment Section

The vendor should clearly address the following items:

1. List and prioritize major risk items that are unique to this project. This includes areas that may cause the project to not be completed on time, not finished within budget, generate any change orders, or may be a source of dissatisfaction for the owner. Risks can include things that you control and things that you do not control.
2. Explain how the vendor will avoid / minimize the risk. If the vendor has a unique method to minimize the risk, they should explain it in non-technical terms.

Overview of the Value Added Item Section

The vendor should identify and list any value added options that they feel may apply to this project. The vendor may also list any differential they are bringing to the project. Do not include marketing material.

Project Duration Schedule

1. Provide a Gantt style project duration schedule for design only that conveys major milestones, design activities, permitting processes and City approval processes. **The Plan shall be in black and white ink only and no graphics or pictures are allowed.** (1-2 pages, 8.5in. x 11in.). The 1-2 page project duration schedule is in addition to the 2 page project assessment plan



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PROJECT ASSESSMENT PLAN TEMPLATE

This template must be used.

SECTION 1 – MAJOR RISKS AND SOLUTIONS

You may add/delete additional rows, but do not exceed page limit. (Section 1 & 2 cannot exceed 2 pages combined)

Risk 1: _____
Solution: _____

Risk 2: _____
Solution: _____

Risk 3: _____
Solution: _____

Risk 4: _____
Solution: _____

Risk 5: _____
Solution: _____

Risk 6: _____
Solution: _____

Risk 7: _____
Solution: _____

Risk 8: _____
Solution: _____

Risk 9: _____
Solution: _____

Risk 10: _____
Solution: _____



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SECTION 2 – VALUE ADDED OPTIONS

You may add/delete additional rows, but do not exceed page limit. (Section 1 & 2 cannot exceed 2 pages combined)

Item 1:
Impact: Cost (%) _____ Schedule (Days) _____

Item 2:
Impact: Cost (%) _____ Schedule (Days) _____

Item 3:
Impact: Cost (%) _____ Schedule (Days) _____

Item 4:
Impact: Cost (%) _____ Schedule (Days) _____

Item 5:
Impact: Cost (%) _____ Schedule (Days) _____



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APPENDIX 1

Guide to Obtaining Past Performance Information

Overview and History

In 2004, the City of Peoria began collecting Past Performance Information (PPI) on vendors and their critical individuals. In this process, the vendor was responsible for assuring that they received high performing survey responses on all of their critical team components. This information was used to assist the City in identifying the past performance capability of a vendor and key components of their team. Although having documented high PPI scores was important, it was only one of the components being used and analyzed by the City of Peoria. One of the greatest benefits of this PPI process was that once a vendor or individual went through the process, they would not have to re-submit this information on future projects (minimizing the efforts of all parties). All of the information is stored into a database and re-used on all future best-value projects.

PPI Process Update

The PPI process has had minor changes since its inception in 2004. However, the City of Peoria has recently modified the PPI process to make the process more efficient (for both vendors, individuals, and the City of Peoria). Please be sure to carefully review this document to understand the modifications to the process. If you have any questions about the process, please contact the City of Peoria contact listed in the solicitation.

Vendors or Individuals Already in the System

All new vendors or individuals must follow the PPI process outlined in this document and select Option 1. All existing vendors or individuals (that already have PPI in the system) have three options that they may proceed with.

- PPI Option 1: The firm or individual has no existing PPI and wishes to establish a performance line. The firm/individual must follow the PPI process outlined in this document.
- PPI Option 2: The firm or individual has an existing PPI score and wishes to use the database without any modifications. No further action is required.
- PPI Option 3: The firm or individual has an existing PPI score and would like to submit additional surveys. No existing surveys can be deleted from the database. The firm/ individual must follow the PPI process outlined in this document.
- PPI Option 4: The firm or individual can permanently delete their existing database and create a new database. The firm or individual must follow the PPI process outlined in this document. If a firm or individual was awarded a project under the best-value process at the City of Peoria, all final close out ratings will still be applied and will count 50% on any new reference list.

If the vendor or individual selects to use their existing database without any modification, they do not need to do anything further. All current data will continue to be used.

If the vendor or individual selects to update their existing database by adding additional surveys, or if they want to delete their entire database and start from scratch, they must follow the new PPI process outlined in this document.



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Overview of the PPI Process

The PPI process consists of five major tasks, which are outlined in Figure 1 (the same procedures apply to individuals):

1. The vendor prepares a list of past clients that they have done work for (called a "Reference List")
2. The vendor sends each past client a survey questionnaire.
3. The past clients complete the survey and send the survey back to the vendor.
4. The vendor will compile all of the surveys and submit the surveys with their submittal
5. The City of Peoria averages all of the returned surveys to compile the vendor's average PPI score.

Note: In the previous PPI process, surveys were required to be faxed directly from the past client to the City of Peoria. This procedure has been modified. The surveys should be faxed back directly to the vendor. This will allow the vendor to know exactly who has returned a survey, and will allow them to see their average ratings.

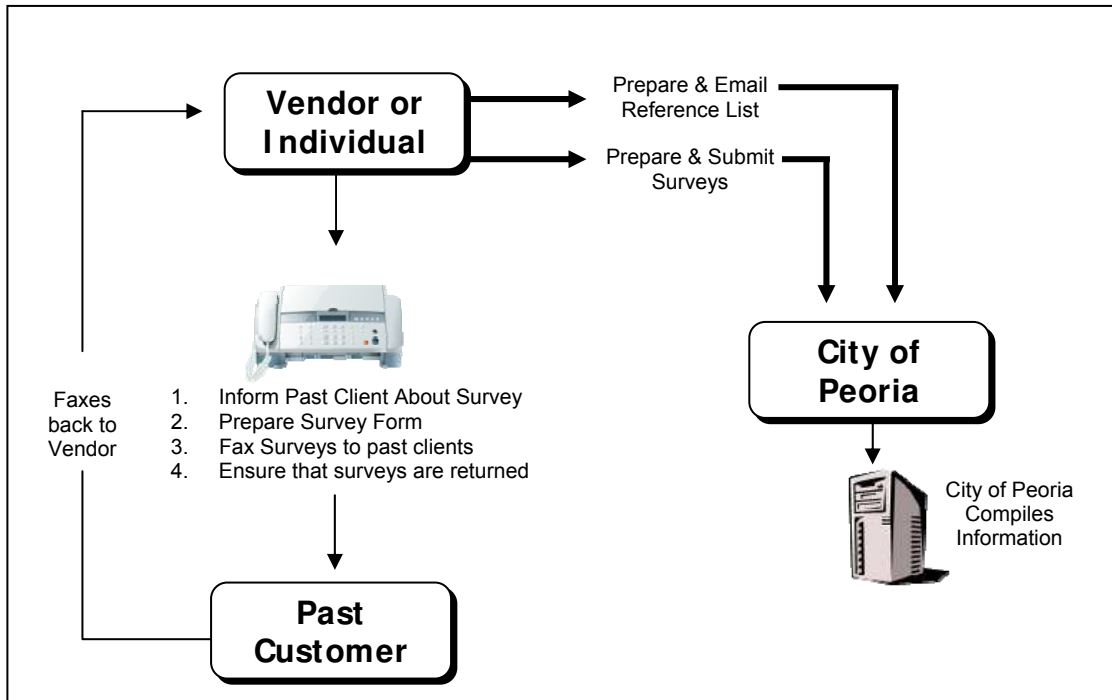


Figure 1: Survey Process



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SECTION A – HOW TO CREATE AND SUBMIT A REFERENCE LIST

1. All critical team components must create a list of past users that will evaluate their past performance. This will be referred to as a "Reference List".
2. The critical team components may be different on every project. Please refer to the solicitation for exact information on the critical team components. In general, most Design projects require PPI on a combination of the following:
 - a. The Design Firm
 - b. The Project Principal (Individual)
 - c. The Project Manager (Individual)
 - d. The Lead Engineer (Individual)
 - e. The Lead Architect (Individual)
 - f. The Civil Engineer (Individual)
 - g. The Structural Engineer (Individual)
 - h. The Landscape Architect (Individual)
 - i. The Drainage Engineer (Individual)
 - j. The Wet Utilities Engineer (Individual)
 - k. The Mechanical Engineer (Individual)
 - l. The Electrical Engineer (Individual)
 - m. The Lead Interior Designer (Individual)
 - n. The Surveyor (Firm)
3. The "Reference List" must be submitted on a MS Excel spreadsheet. A template can be downloaded at: www.pbsrg.com/pips/current/peoria/new-vendor-guide.html
4. Each critical team component will be treated as separate entities. Therefore, each critical team component must submit separate "Reference Lists" in MS Excel (they cannot be combined into one file).
5. The maximum number of past projects that will be given credit for, is 25 (twenty-five) for the vendor (Contractor) and 10 (ten) for each individual. The minimum number of past projects that will be given credit for is 1 (one) for each component.
6. Credit will be given to vendors/individuals with more high performing surveys (Figure 2).

No	Criteria	Firm A	Firm B
1	Average customer satisfaction ratings (1-10)	9.5	9.5
2	Number of different jobs surveyed	25	1
3	Number of different customers surveyed	25	1

Figure 2: Number of Returned Surveys Will Impact Competitiveness

7. Vendors/Individuals may submit more references at any time to increase their (1-10) ratings. If the Vendor/Individual exceeds the limit on the "Number of different jobs" and "Number of different customers", those numbers will be capped as shown in Figure 3. The 1-10 will still be an average of all returned surveys.

No	Criteria	Firm J (Actual)	Firm J (Credited)
1	Average customer satisfaction ratings (1-10)	9.27	9.27
2	Number of different jobs surveyed	42	25
3	Number of different customers surveyed	31	25

Figure 3: Surveys Will Be Capped if They Exceed the Maximum Credit Limit



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The "Reference List" must contain two sheets: "Past Project List" and "Vendor or Individual Profile".

- 8. The "Vendor or Individual Profile" sheet requests information about the critical team component (firm or individual) being surveyed. If the "Reference List" is being submitted for a company, then you will fill in the vendor information. If the "Reference List" is being submitted for an individual, then you will fill in the individual information. Do not fill in both. See Figure 4 for an example.

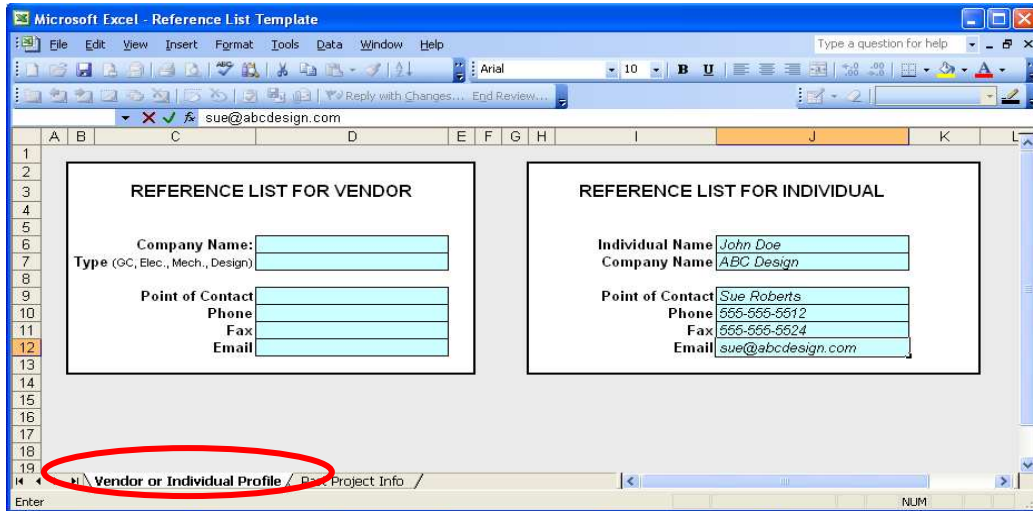


Figure 4: The "Vendor or Individual Profile" Sheet Contains Basic Information on the Entity Being Surveyed

Individuals as well as companies must also select which option they will be submitting their PPI under. See figure 5 for an example.



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The screenshot shows an Excel spreadsheet with two main sections: 'REFERENCE LIST FOR VENDOR' and 'REFERENCE LIST FOR INDIVIDUAL'. Below these is a section titled 'PPI OPTION (SELECT ONE)' which is circled in red. It contains four radio button options:

- Option 1:** The firm or individual can use PPI from their existing database without any modifications.
- Option 2:** The firm or individual can use PPI from the existing database, AND submit additional surveys as outlined in this document. No existing surveys can be deleted from the database.
- Option 3:** The firm or individual can permanently delete their existing database and create a new database. The firm or individual must follow the PPI process outlined in this document.
- Option 4:** The firm or individual has no existing PPI and wishes to establish a performance line.

Figure 5: The “Vendor or Individual Profile” Sheet Contains Options for the submittal of PPI

9. The “Past Project Info” sheet (Figure 6) requests information on each past project that will be surveyed. This includes the following (all data fields are required and must be accurate):

- **CODE** - A unique (different) number assigned to each project
- **FIRST NAME** - First name of the person responding to the questionnaire
- **LAST NAME** - Last name of the person responding to the questionnaire
- **PHONE NUMBER** - Current phone number for the reference (including area code).
- **FAX NUMBER** - Current fax number for the reference (including area code).
- **USER NAME** - Name of the company or institution that the work was performed for.
- **PROJECT NAME** - Name of the project (i.e. Bird High School A-Wing)
- **DATE COMPLETED** - Date when the construction was 100% completed. (i.e. 5/31/1995)
- **COST OF PROJECT** - Awarded cost of project (i.e. \$50,000)

	A	B	C	D	E	F	G	H	I
1	CODE	FIRST NAME	LAST NAME	PHONE	FAX	USER NAME	PROJECT NAME	DATE COMPLETED	COST OF PROJECT
2	101	Jody	Link	555-659-3215	555-659-3216	North American	Data Processing Office	11/16/04	\$ 11,500,000
3	102	Bruce	Rohde	555-598-6548	555-598-6549	Plymouth Plastic	Deer Ridge Operations Cent.	05/19/03	\$ 50,000,000
4	103	Jodie	Larson	555-976-6532	555-976-6533	Edina Realty	Office Building Improve.	11/17/03	\$ 1,250,000
5	104	Mike	Paradise	555-654-6547	555-654-6548	Stone Container	Office Building Addition	06/16/05	\$ 4,700,000
6	105	Rick	Dodd	555-321-5648	555-321-5649	T.S.I. Plastics	Production Facility Renov.	09/16/04	\$ 3,400,000
7	106	Lynn	Crump	555-498-4588	555-498-4589	Giltman, Mager	Production Tower Bldg	07/17/05	\$ 950,000

Figure 6: The “Past Project Info” Sheet Contains



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Information on the Past Projects Being Surveyed

10. The "Reference List" must contain past projects that are 100% constructed. Projects that are substantially complete or on-going may not be submitted (no credit will be given for projects that are not complete). Projects that have been designed, but not constructed may not be submitted.
11. The "Reference List" should contain the vendors or individuals "best" past projects. Do not submit references for past clients that may give you low ratings. It is the vendor's or individual's responsibility to ensure that their past references are highly satisfied and will provide very high ratings. Important note: Once a survey is returned to the City, it will not be deleted*, so it is the vendor's or individual's responsibility to ensure that they do not receive low ratings. (*If a vendor/individual wishes to delete a survey, they must delete the entire database and start from scratch)
12. The past projects do not have to be similar to any type of project. You should submit the vendors/individuals best past projects.
13. The "Reference List" must contain different projects. You cannot have different people evaluating the same job. However, you are allowed to have one person evaluate several different jobs.
14. The past client/owner must evaluate and complete the survey. You cannot have other vendors (contractors, subcontractors, designers) evaluate your performance.
15. All critical team components must submit separate "Reference Lists". The file should be saved as the Vendor or Individual Name followed by "Ref List" (see Figure 7).

Name	Size	Type	Date Modified
ABC Contractor Ref List.xls	44 KB	Microsoft Exc...	8/8/2007 1:33 PM
CCC Ref List.xls	22 KB	Microsoft Exc...	8/2/2007 12:42 PM
Jack Smith Ref List.xls	25 KB	Microsoft Exc...	9/13/2007 2:42 PM
Sylvia Roberts Ref List.xls	23 KB	Microsoft Exc...	7/20/2007 1:50 PM
Zack Thomas Ref List.xls	30 KB	Microsoft Exc...	6/22/2007 2:16 PM

Figure 7: Save Your Reference List So It Can Be Easily Identified

16. The vendor/individual is responsible for verifying that their information is accurate prior to submission.
17. The vendor/individual is responsible for contacting their past clients and informing them about the importance of the survey and the deadline for submission. The City may contact the references for additional information. If the reference cannot be contacted, there will be no credit given for that reference.
18. The PPI process is a one-time function. The firm/individual does not have to repeat this process on future projects (once they have established their PPI scores). The firm/individual may be allowed to add more projects to their "Reference List" at any time (as long as they submit an updated "Reference List").
19. The "Reference List" must be emailed to:
 - a. Christine Finney: christine.finney@peoriaaz.gov
 - b. Brad Carey: brad.carey@asu.edu



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SECTION B – HOW TO CREATE AND SEND OUT SURVEYS

1. Each critical team component is responsible for creating and sending out a survey questionnaire to each of their past clients. The survey questionnaire can be downloaded from the website (www.pbsrg.com / Click on “PIPS” / Click on “City of Peoria”)
2. **Important Note:** There are two types of surveys: one for construction services and another for design services. Please be sure to use the correct survey form. If incorrect surveys are used, the vendor/individual will be required to re-survey their past clients.
3. The vendor/individual should input the required information on the survey questionnaire (survey code, past clients contact information, project information, and name of the firm and/or individual being surveyed)
4. All the information on the survey form must match the information in the “Reference List” (see Figure 8).

	A	B	C	D	E	F	G	H	I
1	CODE	FIRST NAME	LAST NAME	PHONE	FAX	USER NAME	PROJECT NAME	DATE COMPLETED	COST OF PROJECT
2	101	Jody	Link	555-659-3215	555-659-3216	North American	Data Processing Office	11/16/04	\$ 11,500,000
3	102	Bruce	Ronde	555-976-6546	555-976-6549	Plymouth Plastic	Deer Ridge Operations Cent.	03/13/05	\$ 30,000,000
4	103	Jodie	Larson	555-976-6532	555-976-6533	Edina Realty	Office Building Improve.	11/17/03	\$ 1,250,000
5	104	Mike	Paradise	555-954-8547	555-954-8548	Stone Container	Office Building Addition	08/18/05	\$ 4,700,000
6	105	Rick	Dodd	555-321-5648	555-321-5649	T.S.I. Plastics	Production Facility Renov.	09/16/04	\$ 3,400,000
7	106	Luman	Crivo	555-488-4568	555-488-4569	Gittelman-Morgan	River View Tower Bldg.	07/17/05	\$ 950,000



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Survey Questionnaire
(Design Services)

Code 103

To: Jodie Larson Phone: 555-976-6532
Fax: 555-976-6532

Subject: Past Performance Survey of: ABC Design
(Name of company being surveyed)
Joe Smith (PM), Sam Roberts (PP), Dana Fox (LE)
(Name of individuals being surveyed)

The City of Peoria collects past performance information (on firms and key personnel) to assist in procuring/awarding projects based on value. The firm/individual listed above has listed you as a reference for a past project they have completed. We would greatly appreciate it if you would take a few moments to complete this survey.

Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, please leave it blank.

Client Name: Edna Reality Date Completed: 11/17/03
Project Office Building Improvements

Figure 8: The Information On The Survey Form Must Match Your Reference List

5. All critical individuals that participated on the project should be listed on all of the vendor's surveys (Figure 9). This eliminates the need to re-survey the client in the future (based on the individuals).

Subject: Past Performance Survey of: ABC Design
(Name of company being surveyed)
Joe Smith (PM), Sam Roberts (PP), Dana Fox (LE)
(Name of individuals being surveyed)

Figure 9: Vendors Should List All Critical Individuals On Every Survey

6. Critical individuals that should be listed on every survey are (if applicable):
 - a. The Design Firm
 - b. The Project Principal (Individual)
 - c. The Project Manager (Individual)
 - d. The Lead Engineer (Individual)
 - e. The Lead Architect (Individual)
 - f. The Civil Engineer (Individual)
 - g. The Structural Engineer (Individual)
 - h. The Landscape Architect (Individual)
 - i. The Drainage Engineer (Individual)
 - j. The Wet Utilities Engineer (Individual)
 - k. The Mechanical Engineer (Individual)
 - l. The Electrical Engineer (Individual)
 - m. The Lead Interior Designer (Individual)
 - n. The Surveyor (Firm)



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- 7. You may only list one individual per position on each survey (i.e. If Joe Smith was a PM on the project, you cannot list another individual as a PM on that same project).
- 8. The Vendor should also modify the return information at the bottom of the survey with a contact person and an accurate fax number. Remember, the survey will be sent from your past client to you (so you must enter a valid fax number).

Again, thank you for your time and effort in assisting the University of Minnesota in this important endeavor. **Please fax the completed survey, no later than January 16, 2008, to:**

Joe Smith (ABC Design) at Fax # (555) 555-5656

- 9. All returned surveys MUST be evaluated and signed by the past client. If a survey is not signed, it will NOT be accepted by the City.

PHIL MCGILL

Printed Name (of Evaluator)

Phil McGill

Signature (of Evaluator)

Again, thank you for your time and effort in assisting the University of Minnesota in this important endeavor. **Please fax the completed survey, no later than January 16, 2008, to:**

Joe Smith (ABC Design) at Fax # (555) 555-5656

- 10. All individuals listed on the survey will receive credit for the survey, provided that they have submitted a "Reference List" that contains the project as a reference.
- 11. Once you have entered all of the required information, you must fax the survey to your past client. The vendor/individual should call to confirm that the survey was received, and that the past client will return the survey to the vendor by the due date. (Note: The previous PPI process required the surveys to be sent directly to the City of Peoria. In the current process, the surveys are returned directly to the vendor or individual).
- 12. Once the vendor/individual has received all the surveys that they would like credit for, all surveys must be copied and submitted to the City of Peoria. If the surveys are to be used for a proposal on a future project, the surveys must be turned into the City of Peoria prior to the due date of the proposal.
- 13. The City may contact the reference for additional information or to clarify survey data or ratings. If the reference cannot be contacted, there will be no credit given for that reference/survey.



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SECTION C – ADDITIONAL INFORMATION

- Once surveys are received, the City will enter the customer satisfaction ratings into a spreadsheet. All of the surveys that are returned in the proper format will be entered. The City will then average all of the surveys responses, to obtain an average rating for each criterion. The City will also calculate the number of different jobs and different customers that returned a survey (Figure 10).

No	Criteria	ABC Average	101	102	103	104	105	106	107	108	109	110	111	112	113	114	115	116	117	118	119
1	Ability to maintain the project cost	9.6	10	8	9		10			10	9	10	10		10	9	10	10			
2	Ability to maintain project schedule	9.6	10	8	9		10			9	10	10	10		10	9	10	10			
3	Quality of workmanship	9.3	9	8	8		10			9	9	10	10		10	8	10	10			
4	Ability to manage	9.4	10	7	9		10			10	8	10	10		10	9	10	10			
5	Close out process	9.2	9	8	9		9			9	9	10	10		9	9	9	10			
6	Ability to communicate	9.6	10	8	9		10			10	9	10	10		10	9	10	10			
7	Ability to follow requirements	9.4	10	8	9		10			9	9	9	10		10	9	10	10			
8	Overall customer satisfaction	9.6	10	8	9		10			9	10	10	10		10	9	10	10			
9	Number of different jobs	12	1	1	1		1			1	1	1	1		1	1	1	1			
10	Number of different customers	12	1	1	1		1			1	1	1	1		1	1	1	1			

Figure 10: Calculating the Vendors/Individuals PPI Scores

- Important note: Once a survey is returned to the City, it will not be deleted (so it is the vendors or individuals responsibility to ensure that they do not receive low ratings).
- The City may contact the reference for additional information or to clarify survey data. If the reference cannot be contacted, there will be no credit given for that reference/survey.
- The City will not include/count surveys if:
 - The past client states that the project is not complete
 - The raters name, client's name, or project name do not match the name in the "Reference List" (excluding minor discrepancies)
 - The person who rated the survey is not the same person listed in the "Reference List"
 - The past client does not sign the survey as required.
- The vendor/individual may update their PPI scores at any time by submitting a new "Reference List" and by sending out additional surveys.
- The vendor/individual may request to see their overall PPI score. Please go to the website (www.pbsrg.com) to issue the request. Please note that the requests are processed in the manner in which they are received and may take 2-weeks to process.
- For additional information, please visit the website (www.pbsrg.com), or contact us by email:
 - Christine Finney: christine.finney@peoriaaz.gov
 - Brad Carey: brad.carey@asu.edu



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Solicitation Number: _____

Past Performance Questionnaire (Design Services)

Code _____

To: _____

Phone: _____

Fax: _____

Subject: Past Performance Survey of: _____

(Name of Company Being Surveyed)

(Name of Individuals Being Surveyed)

The City of Peoria collects past performance information (on firms and key personnel) to assist in procuring/awarding projects based on value. The firm/individual listed above has listed you as a reference for a past project they have completed. We would greatly appreciate it if you would take a few moments to complete this survey.

Rate each of the criteria on a scale of 1 to 10, with 10 representing that you were very satisfied (and would hire the firm/individual again) and 1 representing that you were very unsatisfied (and would never hire the firm/individual again). Please rate each of the criteria to the best of your knowledge. If you do not have sufficient knowledge of past performance in a particular area, please leave it blank.

Client Name: _____ Date Completed: _____

Project Name: _____

NO	CRITERIA	UNIT	RATING
1	Ability to meet customer expectations	(1-10)	
2	Ability to manage costs (design & construction change orders)	(1-10)	
3	Ability to maintain project schedule	(1-10)	
4	Comfort level in hiring the firm/individual again	(1-10)	
5	Ability to increase value (quality of design)	(1-10)	
6	Ability to identify and minimize the users risk	(1-10)	
7	Ability to close out	(1-10)	
8	Leadership ability (minimize the need of owner direction)	(1-10)	
9	Has the project been constructed	Circle	<input type="checkbox"/> Y / N <input type="checkbox"/>

Printed Name (of Evaluator)

Signature (of Evaluator)

Thank you for your time and effort in assisting the City of Peoria in this important endeavor.

Please fax the completed survey to: Fax # _____



STATEMENT OF INTEREST AND QUALIFICATIONS

Solicitation Number:

**Materials Management
Procurement**
9875 N. 85th Avenue
Peoria, Arizona 85345-6560
Phone: (623) 773-7115
Fax: (623) 773-7118

APPENDIX 2 Overview of the Linear Relationship Model

Overview

The City of Peoria reserves the right to use data analysis models to assist the City in ranking vendors. The Linear Relationship (LR) Model is the primary model that is used by the City of Peoria. The LR Model uses two components to identify the overall score of a proposal: (1) Preset weighting factor for each criteria, and (2) Raw data / scores for each vendor. The LR Model works by:

- 1) Identifying the best score for a particular criterion.
- 2) Divide each vendors score by the best score.
- 3) Multiple each number from Step 2 by the preset weighting factor.

Example

The following data and tables are for informational purposes only. Based on the raw data and weights, Vendor C is identified as the highest ranked firm (99 points out of 100).

Raw Data

No	Criteria	Vendor A	Vendor B	Vendor C	Best Score	Weight
1	Interview Score	8.1	7.1	8.0	8.1	45
2	PA Plan Score	5.6	6.1	7.8	7.8	35
3	PPI - Design Firm (1-10)	9.5	9.7	9.5	9.7	10
4	PPI - Design Firm (Customers)	15	15	14	15	5
5	PPI - Design (Jobs)	15	16	17	17	5
						100

Final Ranking

No	Criteria	Vendor A	Vendor B	Vendor C
1	Interview Score	45.0	39.4	44.4
2	PA Plan Score	25.1	27.4	35
3	PPI - Design Firm (1-10)	9.8	10.0	9.8
4	PPI - Design Firm (Customers)	5.0	5.0	4.7
5	PPI - Design Firm (Jobs)	4.4	4.7	5.0
		89	87	99



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APPENDIX 3 Pre Award Phase Guide

Overview

The Pre Award Phase is carried out prior to the signing of the contract. The city's objective is to have the project completed on time, without any cost increases, and with high customer satisfaction. At the end of the project, the city will evaluate the performance of the vendor based on these factors, so it is very important that the vendor preplans the project to ensure there are no surprises.

It is the vendor's responsibility to ensure it understands the client's subjective expectations. It is not the city's responsibility to ensure that the vendor understands the city's expectations. The vendor is at risk, and part of the risk is understanding the client's expectations.

The Pre Award Phase provides the vendor with a final opportunity to protect itself, by allowing the vendor to carefully pre-plan the project before an award is made. The pre-planning should include all coordination and identification of all risks that cannot be controlled by the vendor.

In many cases, one of the vendor's biggest risks (in terms of delivering on-time and with no change orders) is the client or an outside 3rd party. Therefore, it is in the vendor's best interest to identify any issues or concerns ahead of time during the pre-award period. The vendor should minimize their risk by creating documentation that puts them in control and eliminates any outside interference that could hinder them from performing.

Pre Planning and Coordination

Once you are notified that you are the potential best-valued vendor, you will be required to attend a Pre-Award Kick-Off Meeting to discuss the objectives of the Pre Award Phase. During the meeting, the vendor will receive: a list of all risks identified by the other vendors that proposed, a copy of the vendors interview statements (if applicable), and a list of any client issues or concerns.

The vendor will be required to watch a short video tutorial covering the Pre Award Period. If you have not received access to the video, please contact the City of Peoria immediately. It is strongly suggested that you perform the following functions:

- Re-visit the site to do any additional investigating.
- Coordinate with all parties that will be involved with the project. Identify what concerns they have and determine solutions to resolve their concerns.
- Identify where the risk lies on the project and make sure that all identified risks can be minimized.
- Identify any actions required by the client or client's representatives.
- Identify all risks that you (the vendor) do not control with a plan to mitigate the risks
- Identify the impact to the project if the risk still occurs after the mitigation plan has been executed

The Pre Award Document

The objective of the vendor's Pre Award Document is to identify risks that the vendor does not control or risk that is impacted by factors that the vendor does not control. The vendor must also identify how they will attempt to minimize the risk. If the vendor does not identify the risk that they do not control, then the vendor is stating the risk



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(stated or not stated) is under their control, is a part of its contract, and cannot serve as a basis for a contract sum or contract time adjustment. If there is anything wrong with the drawings/specifications/requirements, it is the responsibility of the vendor to identify if they cannot meet or understand the requirement. Any issues must be put in writing. If an issue is not identified, it is the vendor's responsibility to meet the intent of the client without contract sum or time adjustment.

Risks from all the other vendors are provided to the best value vendor to ensure that they are identifying all the risks that they do not control. This forces the vendor to do what a best value vendor would do, to think in the best interest of the client. The client will also provide a list of client concerns that the vendor should clarify to ensure that they understand the client's intent in the best value process. It in no way changes the technical scope or amount of work of the vendor, but merely confirms that the vendor has understood the intent of the client. This is one of the major objectives of clarification, to confirm that the vendor who is being hired understands the client's intent.

The Pre Award Document must include the following items as a minimum:

1. A complete project schedule. This must include:
 - a. A detailed project schedule with a breakdown of all major project activities
 - b. All significant activities that require actions by the client or outside agencies (should have different colors assigned to them so they are easily identified)
2. A list of client action items. This must include: what the action is, a due date, a person responsible for making the decision, and a proposed decision or best option.
3. A complete list of all risks identified in the PA Plan and interview along with solutions to the risks. This includes the list of all risks identified by the other vendors with solutions to each risk.
4. A complete list of factors which are outside the control of the vendor. This should include the following:
 - a. Identify the action or risk
 - b. Identify what the vendor has done, or will do, to minimize the risk
 - c. Identify what may happen if the risk still occurs
 - d. Identify what actions the client should take to minimize the risk

Pre Award Meeting

The pre award meeting is held at the end of the pre award period and is used to present a summary of what was developed and agreed upon during the pre award period. The pre-award meeting is not a question and answer session. The vendor must not wait for the meeting to ask questions. All coordination and planning with the client should be done prior to the meeting.

The vendor should give a presentation, which walks the client through the entire project and summarizes all of the coordination/planning done during the pre-award period. The vendor should bring its team and all the documents specified in the Pre Award Document. The vendor should summarize all of the risks that are outside of its control with its plan to minimize the risks. The vendor should summarize all critical actions/decisions required from the Owner with due dates. The vendor must convince the city that it has minimized all risks and will not be surprised once the project begins. The Pre Award Document will become part of the final contract.

REMEMBER: *The Pre Award Phase provides the vendor with a final opportunity to protect itself, by allowing the vendor to carefully pre-plan the project before an award is made. If the vendor does not identify a risk or risks that it does not control, then the vendor is stating the risk (stated or not stated) is under its control and a part of its contract to meet the intent of the client.*



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Pre Award Document Checklist

The Pre Award Document must include the following:

<input type="checkbox"/>	Detailed project schedule
<input type="checkbox"/>	Detailed list of client action items (individuals and dates assigned to each action item)
<input type="checkbox"/>	Detailed list of all vendor risks (identified by other vendors) and plan to minimize all risks
<input type="checkbox"/>	Detailed list of all client risks/concerns and plan to minimize the risks
<input type="checkbox"/>	Detailed list of all risks that the vendor does not control (with a plan to mitigate the risks)
<input type="checkbox"/>	Project contact list (vendor contacts & phone numbers, client contacts & phone numbers)
<input type="checkbox"/>	Design Firms original Proposal Form
<input type="checkbox"/>	Design Firms original Project Assessment Plan
<input type="checkbox"/>	Quality Assurance checklist (summarizing all risks that will be follow up on every week)

Name of Design Firm

Printed Name of Design Firm
Representative

Signature of Design Firm Representative



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APPENDIX 4

The Weekly Reporting System Guide

Overview

The weekly reporting system is a companion to the Pre Award Document that was created by the best value vendor during the pre-award phase. The best-valued vendor is required to submit the report every week, documenting any issues/risks that impact time, money, or satisfaction. The weekly reporting system ultimately protects a high performing vendor by allowing it a mechanism to document all client decisions or actions.

Weekly Report Submission

The weekly report is an Excel file that must be submitted on the Friday of every week. The report is due every week once the Notice to Proceed is issued, until the project is 100% complete (and final payment is made). Please contact the client if you have not received an electronic version of the spreadsheet (once the NTP has been issued). The report must be emailed to:

Christine Finney: christine.finney@peoriaaz.gov
Geoffrey Zinnecker: geoffrey.zinnecker@peoriaaz.gov
Brad Carey: brad.carey@asu.edu

The completed report must be saved using the date and name of the project given by the client (Format: **YYMMDD_ProjectName_Project ID**; For example, 'Polk Project' for the week ending Friday, March 1, 2005, should be labeled '050301_PolkProject_123-45-6789'). Weekly Reports are to be emailed (by midnight of each Friday).

Weekly Report Tutorial

A short video tutorial is also available online (www.pbsrg.com), which provides information on the Weekly Reporting System. Vendors shall watch this video prior to completing/submitting the weekly report.

The weekly report consists of scope changes or unforeseen events that are risks to the project in terms of cost, schedule, or client satisfaction including any issues that could potentially develop into a risk. When a new issue is identified, it is added to the project risks, along with the following: Identification date (date the risk was identified), plan to minimize the risk, resolution due date, impact to critical path or schedule (in days), and impact to final cost (in dollars).

When a risk is completed, the actual date of resolution is listed. Before submission, the client must be contacted for "Client's Risk Ratings" (the client's point of contact should be identified during the pre-award period). The client will rate its comfort level and satisfaction with the vendor's plan to minimize each project risk on a scale of 1-10 (10 being completely satisfied and 1 being completely dissatisfied).

Note: The weekly report will be analyzed for accuracy and timely submittal by the client or project manager. At the end of the project, the client may modify the post project rating based on the accuracy and timeliness of these reports.