

**OWNER MANUAL  
FOR  
QUALIFICATION-BASED SELECTION (QBS)**

**A Process for the Selection  
of  
Design Professionals  
by Public Owners**

**Revised September 2010**

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New Mexico Society of Landscape Architects

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## PREAMBLE TO THE OWNER'S MANUAL

This manual has been prepared to assist Communities (also referred to as Owners) in the selection and hiring of design professionals in compliance with the State Procurement Code. The manual contains a complete explanation of the qualification based selection process (QBS) and guidelines for proceeding from project inception, to concluding a contract for professional services.

Of practical importance to communities is the inclusion of sample forms for preparing a Request for Proposal (RFP) and evaluating the proposals. Although much of the work of preparing a RFP has been simplified with this manual, there are still a few tasks for the communities to complete as outlined below.

### COMMUNITY DEFINES WHAT IS NEEDED.

Only the Community can define what is needed, what is required from the design professional regarding services to be performed and develop a timeframe for completion of the work. Selection committees and/or local officials are encouraged to meet and discuss the scope of services and define the final products expected from the design professional. All previous project related reports and studies should be made available and reviewed.

### SCOPE OF WORK DRAFTED.

The Community uses the results of the discussion to draft a scope of work for professional services that reflects its needs and expectations. The Community need not feel limited by the space provided in Item 1 (Project Description) in the [RFP](#) form (see *Appendix A*), but should feel free to attach a separate page that fully explains the project and what is expected of the design professional as presented in examples in the appendix of this manual. Progress to date on the project, including studies, reports and surveys are made available to potential offerors to provide any necessary background information.

### SCORING SYSTEM DEVELOPED.

The Community translates the desired scope of work into a scoring system that reflects its needs and priorities. Examples are provided in Appendix A that illustrate how the scope can be divided into "[Planning, Design and Construction](#)" phases for evaluation and contracting. Producing such a scoring system not only solidifies the desires of the Community, but clearly transmits the Community's priorities to the responding professionals.

RFP  
ADVERTISED,  
MOST QUALIFIED  
SELECTED, AND  
CONTRACT  
NEGOTIATIONS  
CONDUCTED.

The Community advertises the RFP and receives proposals from the design professionals, determines the most qualified design professional and is now ready to enter into contract negotiations. The professional is asked to prepare cost proposal spreadsheets as detailed in [Appendix B](#) of the manual. These spreadsheets clearly show how the professional views the work and allow the professional and Community to discuss each work task in detail. These discussions end with both the Community and engineer having a better understanding of each others expectations, reducing the potential for later disappointments.

↑  
PTAB provides  
assistance with  
the above  
process.

The **Professional Technical Assistance Board** (PTAB) was formed to provide assistance, at no cost to the Community, to successfully complete the above process. The PTAB assigns a technical advisor to answer questions and provide references to other sources of assistance if needed. *The role of PTAB is discussed further in the next section of this manual.*



## INTRODUCTION

An elected or appointed public official may become involved in seeking the services of an engineer, architect, landscape architect or surveyor. Their first reaction may be to obtain price quotes and go with the lowest bidder. After all, that's how copy paper, pencils or a new dump truck are procured.

In the case of design services, how does the Owner know if an apparent low bidder fully understands the overall requirements of a project? The design work may end up costing much more when it is discovered that additional services are required. Or worse, the project may be completed without all the design services needed, resulting in greatly increased construction costs as well as inappropriately high operation and maintenance costs. Either way, bidding for professional design services compromises the overall integrity of the services needed for a project.

In the case of major surgery, bid requests are not sent out for medical professionals. When being sued, one does not select the lowest priced legal professional for his defense. In both cases, professionals are selected on competence, experience and reputation. Design professionals should be selected with the same care, on specialized experience and qualifications. For a unique project, the Owner needs to utilize a qualification-based selection process to obtain the best firm at the least overall cost.

### **APPLICABLE LAW**

Procurement for professional services in New Mexico is guided by New Mexico Procurement Code (Section 13-1-120). The Procurement Code authorizes agencies to conduct a multiple step procurement for Request for Proposals (RFP) based procurements. This means that the agency can review the proposals submitted and select finalist(s) based on qualifications.

In addition, pursuant to Chapter 81, Laws of 2006, any prospective contractor (engineer or architect) **seeking to enter into a contract** with any state agency or local public body must file a Campaign Contribution Disclosure Form with that state agency or local public body. This form must be filed by the prospective contractor with their response to the request for proposals. The prospective contractor must disclose whether they, a family member or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two years prior to the date on which the contractor submits a proposal. A sample form along with a Campaign Contribution Form Requirements Matrix is found in the Appendix. It may also be obtained at <http://www.state.nm.us/clients/dfa/DFASecr.htm>.

### **PROFESSIONAL TECHNICAL ADVISORY BOARD**

The New Mexico Procurement Code (Section 13-1-117.2) also states that if the local public body does not have licensed professional staff, i.e. engineers, architects, surveyors, etc. that a professional technical advisor be appointed by the appropriate New Mexico professional society. The Professional Technical Advisory Board (PTAB) was created for this reason.

PTAB is made up of professionals from:

- *American Consulting Engineers Council of New Mexico (ACEC);*
- *National Society of Professional Engineers/Professional Engineers in Private Practice;*
- *American Institute of Architects, (AIA) Albuquerque Chapter;*
- *New Mexico Society of Architects;*
- *New Mexico Professional Surveyors; and*
- *American Society of Landscape Architects, New Mexico Chapter.*

PTAB serves as a clearinghouse to receive requests for assistance from communities throughout New Mexico. Once a request is received, a Professional Technical Advisor (PTA) is assigned to the Community to educate and provide assistance with *Qualification-Based Selection and Requests for Proposals*. A Community must allow sufficient time for the PTA assignment process to be completed. A minimum of four weeks prior to the advertising date is suggested. This allows for the selection of the appropriate PTA for a specific project. *Remember*, all PTAs are professionals who are volunteering their time and whose firms are excluded from proposing on the project because of their role as the PTA.

### **THE ROLE OF THE PROFESSIONAL TECHNICAL ADVISOR**

The PTA is a senior member of an architectural, engineering, surveying or landscape architectural business with experience appropriate to the type of public works project proposed. The PTA is also a resident, licensed design professional, with at least ten years experience in responsible charge. The PTA is process-oriented, a good listener, and an articulate spokesperson and trainer.

The PTA will:

1. Meet with the Community, board, committee, staff, individual or group to provide information on what design professionals do, and explain the advantages of the qualification-based method of selecting a design professional;
2. Develop materials to be used by the Community, based on the Community's individual needs and specific requirements;
3. Provide assistance on customizing materials and communications, answer questions, and provide ongoing guidance throughout the selection process;
4. Advise and assist in preparing the RFP;
5. Advise the Owner in giving public notice of the RFP;
6. Assist in the evaluation and selection process (but not in the selection itself);
7. Assist in the contract negotiations (limited to providing advice only); and
8. Provide other resources, such as additional materials or references.

The PTA will not:

1. Recommend a firm or firms;
2. Provide an evaluation or critique of any design professional or firm;

3. Dictate the process to be used in selecting a design professional;
4. Participate in the interviewing process except as an observer;
5. Participate in contract negotiations between the Community and the selected firm;
6. Warrant or in any way be responsible to the firm and/or Community as to the timely and proper completion of the selection or process; and
7. Have any personal or firm interest in any proposal submitted.

## TERMINOLOGY

**Addendum** – a supplement to the request for proposal sent out to all potential offerors by the Contracting Agency that contains additional information or modifies the original RFP.

**Campaign Contribution Disclosure Form** – document used to disclose whether they, a family member or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two years prior to the date on which the contractor submits a proposal (Chapter 81, Laws of 2006).

**Community/Owner** – a local public body conducting the procurement, also referred to as the Contracting Agency.

**Contract** – an agreement for the procurement of items of tangible personal property or services (13-1-41 NMSA 1978).

**Evaluation Committee** – a body appointed by the Community to perform the evaluation of offeror proposals.

**Offeror** – any person, corporation, or partnership who chooses to submit a proposal.

**Professional Services** – the services of architects, archaeologists, engineers, surveyors, landscape architects, etc. (13-1-76 NMSA 1978).

**Professional Technical Advisor (PTA)** – a licensed, senior member, with at least ten years experience in responsible charge of an engineering, architectural, surveying or landscape architectural business with experience appropriate to the individual type of public works project proposed.

**Professional Technical Advisor Board (PTAB)** – board consisting of design professionals created as a result of New Mexico Procurement Code (Section 13-1-117.2) to serve as a clearinghouse to receive requests for assistance from communities within New Mexico.

**Procurement Code** – Chapter 13, Sections 13-1-28 through 13-1-199 NMSA 1978 (New Mexico State Statutes) which outlines the legal process for the acquisition of products and services for all governmental entities throughout New Mexico.

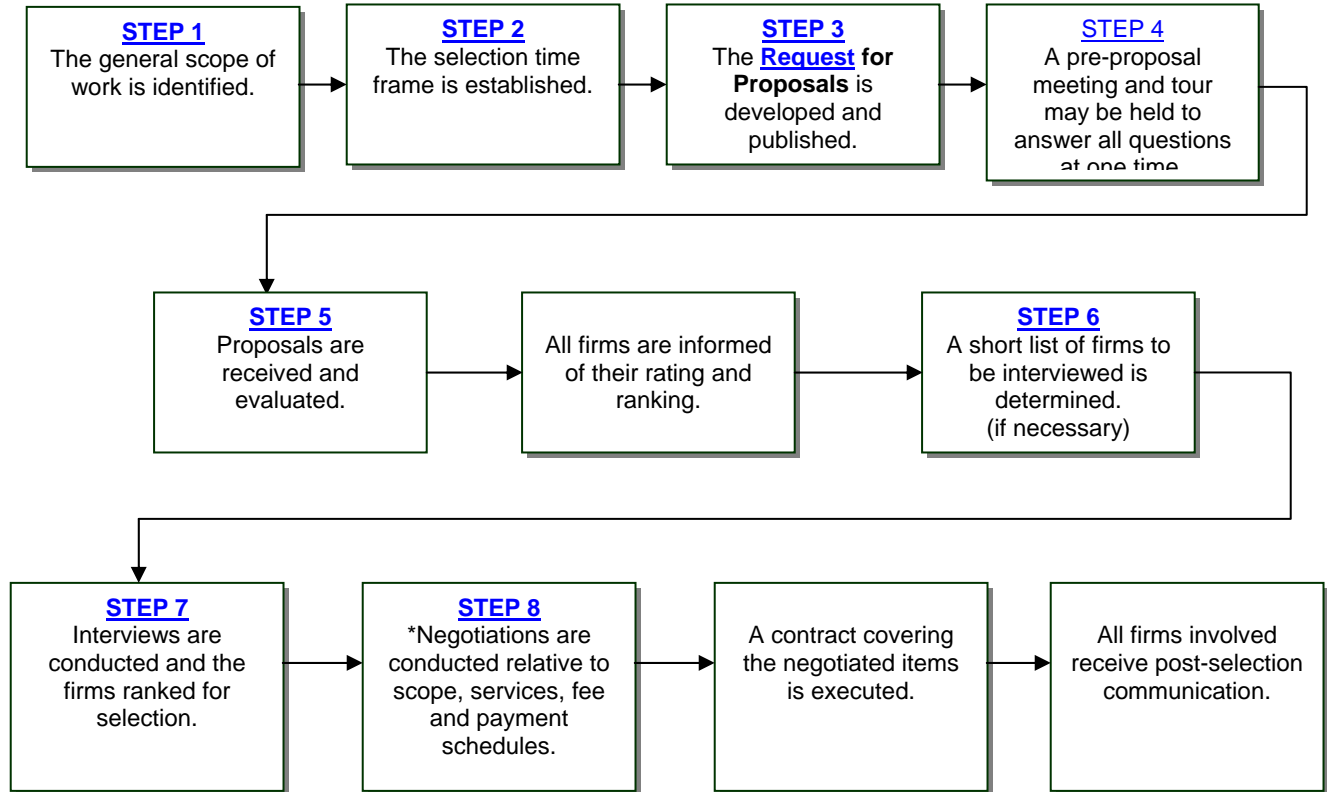
**Qualification Based Selection (QBS)** – a procurement method that results in the selection of the best qualified professional most suitable to the needs of the Contracting Agency.

**Request for Proposals (RFP)** – all documents, including those attached or incorporated by reference, used for soliciting proposals to meet the specific needs of a Contracting Agency. (13-1-81 NMSA 1978)

**Responsive Proposal** – an offer or proposal which conforms in all material respects to the requirements set forth in the Request for Proposals.

## THE QBS PROCESS

The Qualification Based Selection process includes all or part of the following steps and is detailed in the sections following:



\*If an agreement cannot be reached with the top ranked firm, negotiations are ended and negotiations begin with the second ranked firm, and so on down the list until an agreement is reached or new RFP issued.

Communities should involve the services of a design professional as early as possible in the planning of a project. The design professional takes the available information and ideas to create workable plans with options that allow the Community to make sound project decisions.

## STEP 1: IDENTIFYING THE GENERAL SCOPE OF WORK

The first and most important step in the process of QBS is to identify the general scope of work and the particular needs of the project. This can only be done by the Community, but the PTA can assist in formulating the scope of work. The Community should be prepared to spend time defining their needs and the work product desired so a specific scope can be included in the Request for Proposals. Questions to be answered include – *Who are the stakeholders in this project? Why are we hiring a professional? How can they help us? What final product do we want from them? When do we need the product delivered?* The scope of work is reflected in the [Evaluation Criteria](#) with the relative importance of each item reflected in the weight (or points) assigned to each item. Items normally included in a statement of the scope of work for a public project are:

1. The Community or Owner's name.
2. The project name or identification.
3. Project location.
4. Contact person (*clearly identified as the only person to contact for information on the project*), mailing address and telephone number, as appropriate.
5. Description of any other projects in process or planned for the same site or time frame which may affect the scope of work.
6. Descriptions of completed studies, surveys and/or preliminary feasibility work relevant to the project and available to the firms that respond.
7. Requirements for further feasibility studies or program planning prior to design and construction, if appropriate.
8. Project outline, including intended size, function, capacity and other general anticipated requirements (*i.e., renovation, modernization, demolition, additions, new construction, energy, land use, and site selection considerations*).
9. Anticipated time frame, including completion of design work, beginning of construction and planned project completion date.
10. Description of the deliverables expected from the professional, such as final construction plans and specifications.
11. List of funding sources anticipated for the project and the agencies involved.
12. Description of design professional selection process, including who is involved.
13. Additional or unique requirements/considerations such as anticipated public meetings, funding requirements, and budgeting.
14. Other items as appropriate, which provide general guidance to the interested firms and meet the needs of the Owner.

## STEP 2: SELECTION TIME FRAME

To keep the process of selecting a design professional advancing smoothly, the Owner establishes a time frame for completion of the selection process. Establishing the time frame communicates requirements with the firms and prevents misunderstandings and last minute “surprises” which may delay the process.

The time frame for each public project differs, depending upon the nature of the project, the concerns of the Owner and other factors. *The suggested time frame for an average QBS project is a total of four to six weeks to allow proper planning and administration between each step of the selection process.* Depending upon the status of the Owner’s project, adjustments can be made to accommodate the Owner’s needs. A sample [schedule of activities](#) form is provided in Appendix A.



## STEP 3: REQUEST FOR PROPOSALS

At a minimum, the Request for Proposal (RFP) indicates the following:

1. **Scope of work;**
2. Proposal receipt deadline;
3. Contact name and telephone number;
4. Type of services;
5. Number of copies required;
6. **Evaluation criteria to be used, including that required by statute;** and
7. Relative weight to be given to evaluation factors.

In accordance with state law, the RFP must be published at least once in a newspaper of general circulation (13-1-104 NMSA 1978) in the area from which the notice emanates. In addition, the RFP must be sent to those firms which have signified, in writing, an interest in submitting proposals for a particular category of professional services. The RFP may also be distributed by electronic-mail. Contact PTAB for more details.

Additional data may be included in the published RFP, or made available upon request to firms responding to the RFP, if it exists. All firms must have equal access to information.

This additional data may include:

1. A more detailed scope of work, including maps and prior studies and reports;
2. Possible technical approach;

3. Limitations on late receipt of proposals;
4. Regulations concerning minority programs;
5. Definitions or interpretation of documents and publication of addendum;
6. Time schedule for projects;
7. Funding availability;
8. Selection process and weighted categories of interest;
9. Contract requirements; and
10. Limitations on proposal content.

The PTA assists in formulating the RFP and additional data as requested. A sample [Request for Proposals](#) is included in Appendix A.

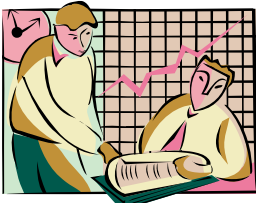
#### **STEP 4: PRE-PROPOSAL MEETING AND TOUR OF THE FACILITY**

In most major or complex projects, a pre-proposal meeting and tour of the project site or facility is one of the most important parts of the selection process. These tours provide interested professional design firms with the opportunity to obtain first-hand information on the proposed project and have their questions answered. The Owner can make the meeting mandatory so only those firms that attend the meeting are eligible to submit a RFP.



Tours can be one-on-one, with a Community representative meeting with the firm representative, but work best as a group tour with all interested firms meeting for review of the site and/or facility, even though discussion under these conditions can be somewhat limited. The question and answer session includes all interested parties so the Owner need only answer the questions once and it ensures all parties get the same information. Significant issues are summarized in an addendum provided to all interested parties in accordance with the terms of the RFP.

#### **STEP 5: RECEIPT AND EVALUATION OF PROPOSALS**



The Owner receives proposals only up until the appointed and published time. Late proposals are not accepted.

The first step in the evaluation process is to establish a selection committee. Remember that committees composed of elected officials may need to observe notice requirements of the Open Meetings Act. The selection committee is composed of competent individuals able to make an intelligent selection decision based on factual information. The committee first determines whether the proposals submitted conform to

the mandatory requirements listed in the RFP. Next, the committee evaluates each proposal based on the published evaluation criteria. A [sample evaluation form](#) is included in Appendix A. With assistance from the PTA, the Owner can tailor this form to meet their specific project needs and priorities. Note that the evaluation criteria are not limited to those required by statute and can address specific concerns of the Community. **IMPORTANT: The selection committee should document its proceedings and decisions, in the event questions arise about any decisions made.**

References for the most qualified firm are checked before proceeding to the next step and entering into contract negotiations. A [sample form for checking references](#) is included in Appendix A. The Owner is encouraged to check references other than those listed in the proposal by the offeror. The Owner can ask listed references if they are aware of other projects completed by the offeror that would provide additional information.

## STEP 6: ESTABLISHING A SHORT LIST

Based upon the evaluation and ranking of the proposals and subsequent reference check, the Owner establishes a short list of three to five firms to be interviewed. Because all the firms submitting proposals have made a commitment of time and expense in pursuing the project, the Owner contacts ALL the firms that submitted a proposal and notifies them of the short list.



The letter sent to those firms who did not make the short list expresses appreciation and identifies the firms being invited for further consideration. A [sample memo](#) is included in Appendix A.

The nature of the responses, as well as the size and complexity of the project, determines whether interviews are held. Keep in mind that the purpose of the interview is to learn more about the firms than is present in their written proposals so a selection can be made. If one firm clearly out-ranks all others, interviews are not necessary. The PTA can assist in this determination.

If interviews are scheduled, the firms selected need the following information:

1. The date, place, time of interview, and length of time allowed for each firm, along with who will be conducting the interview;
2. A list of interview questions, the evaluation criteria and an explanation of the scoring and selection process; as well as the structure of the interview (such as questions/answers or presentation followed by questions) and
3. Any feasibility studies, project program or other background information.

A [sample memo](#) to be sent to firms selected to be interviewed is included in Appendix A.

## **STEP 7: INTERVIEWING THE SHORT-LISTED FIRMS**

Interviewing short-listed firms is an opportunity for the Owner to compare the firms' creative approaches to the design process, as well as the interpretation and understanding of the project requirements. **The Owner should not expect project sketches or design details at this time.**

All interviews should be designed to allow for the evaluation of the personal styles of each firm's management and key personnel assigned to the project. The selection committee evaluates how well the firm matches up with the evaluation criteria developed in Step 5.

The PTA may sit in on the interviews, but not participate directly.

### **THE INTERVIEW SET-UP**

The room for the interview should be comfortable, with good acoustics, and large enough to accommodate the number of people expected. A separate area should be provided for firms waiting to be interviewed.

Most firms bring any equipment necessary for their presentation. Since equipment set-up time may cause some delays in the interviewing process, the interview schedule should allow some time for set-up, or two rooms should be used if possible. While one firm is being interviewed in the first room, another firm can set up for its presentation in the second room.

**Interviews are held in closed session.**

### **GUIDELINES FOR INTERVIEWS**

1. Interview only those firms on the short-list. All interviewed firms should have an equal opportunity to prepare their presentation based on the same information.
2. Schedule at least 45 minutes for each presentation and 15 minutes between interviews. This allows ample time for the presentation and question and answer period, and for the selection committee members to discuss the presentation amongst themselves before beginning the next interview.
3. Schedule all the interviews on the same day. This allows the committee to compare all the firms while the information is still fresh in their minds. It also allows for consistent interview scoring.
4. The evaluation criteria for the interview scoring system are sent to all firms in advance.
5. While it is appropriate to question firms about how they would approach the design of a project, the committee **should not ask for an actual design solution during the interview.** The goal is to provide a clear understanding of the issues and challenges of the project and how the firm approaches and addresses them.
6. The selection committee may ask how the firm plans to develop an appropriate level of compensation for the professional services and their experience staying within budgets. However, **specific compensation amounts cannot be discussed until after a firm has been selected, and only after there is a comprehensive and mutual understanding** of the actual scope of services to be performed.

7. Let all short-listed firms know when the selection decision is made. If possible, the decision is made the same day the interviews are conducted.

Sample [interview questions](#) are included in Appendix A.

### **RANKING OF INTERVIEWED FIRMS**

The evaluation form, which includes a weight and a score for each criteria/question, is a useful instrument for evaluating, ranking and ultimately selecting a qualified firm. Each interviewer evaluates all firms separately during the firm's presentation. A sample [interview evaluation score sheet](#) and [score sheet summary](#) form are included in Appendix A. Other versions may be developed, based on the complexity of the project.

The chairperson of the selection committee compiles the individual score sheets when all the interviews have been concluded. The ranking and selection is done by consensus rather than just by majority vote. This system provides a documented record of the selection process as support for the committee's actions. If requested, the PTA sits in on the selection committee meeting to determine ranking following any interviews. **The PTA offers guidance but not opinions or individual evaluations.**



After the interviews and ranking are completed, a courtesy letter regarding the ranking of the firms is sent to all firms who participated in the interview process. The interviewed firms are listed in the order in which the committee ranked them. A sample [post-interview memo](#) is included in Appendix A. According to the Procurement Code, all firms that have not been selected, must be notified in writing within 15 days after an award has been made (13-1-120.D NMSA 1978). Keep all documents of the selection process for at least the life of the project, in the event questions are raised. These documents are required to verify compliance with the Procurement Code if public funding is sought for the project now, or some time in the future.

## STEP 8: NEGOTIATION OF SCOPE AND COMPENSATION

As soon as possible after selecting a preferred firm, the Owner begins detailed negotiations with the selected firm. If agreement on the scope of services and compensation is not reached, negotiations with the first-ranked firm are terminated and the Owner initiates negotiations with the second-ranked firm. **The law does not permit playing one firm against another.**

### **COMPENSATION ESTIMATION**

It is not overly difficult to reach agreement on compensation, if detailed discussions of the scope of services have taken place. Those services for which the effort is readily estimated may be included under the basic fee. Services of a more indeterminate nature--such as surveys, soil borings and investigations, regulatory agency permits, construction observation, materials testing and special administrative procedures--are included under special services with not-to-exceed caps, of a reasonable amount, on costs for these efforts. ***A CAUTIONARY NOTE: cost estimating curves for professional services only include "basic services" and do not include such things as surveys and construction management. The total cost for professional services for your project is likely to exceed the percentages predicted by the curves. The curves in general circulation were prepared in the 1980's and do not accurately reflect today's costs.***

It is wise to negotiate only for that scope of services that can be clearly defined. As an example, the scope of basic design services cannot be clearly defined on many projects until conceptual studies have been completed and an alternative selected. This strategy can save the Community money because the design professional does not have to add contingencies to his or her fee for unanticipated efforts. Contract formats, such as the EJCDC Funding Agency Edition, ([www.usda.gov/rus/water/ees/englib/engagree.htm](http://www.usda.gov/rus/water/ees/englib/engagree.htm)) allow for addendums to the contract as the scope becomes better defined. For instance, the contract can be signed with a fee for preparation of a preliminary engineering report. After an alternative is selected, the contract can be amended to add basic design services and amended again for construction management services when design is complete. This phased approach also allows for convenient termination of the contract when a phase is complete if the Owner wishes.

The selected firm is requested to prepare a detailed fee estimate predicated on the agreed upon, detailed scope of services as the basis of compensation negotiations.

The PTA may be able to offer assistance as negotiations proceed or become bogged down. However, because of the potential for conflict of interest, the PTA must not be involved in any contract negotiations. The PTA's role is to provide guidance for the Community's negotiation or negotiating team.

*Compensation guidelines and fee estimate preparation are included in [Appendix B](#).*

## **Overhead**

The most obvious costs incurred by design professionals are direct labor and expenses incurred during the development of designs and plans or in the observation of construction. A secondary cost is overhead. This cost is usually shown as a percentage of direct salary cost. Direct salary overhead for the firm includes such items as federal FICA, employment taxes, group insurance, and unemployment benefits. General overhead costs include administrative salaries, bookkeeping, office supplies, insurance, etc. Total overhead may be expected to vary from 150% to 200% of direct labor costs. Specialty firms may have higher overhead, but may be more efficient in direct labor charges.

## **Other Direct Costs**

The professional may incur other direct costs for the project. These include the costs of information, such as maps or reports, and the cost for subconsultants, such as aerial photography, geotechnical investigations, and environmental and cultural resource specialists. It is customary for the professional to add an overhead charge (typically 10%) to their direct cost to cover their expenses for administration of the subcontracts.

## **METHODS OF PAYMENT**

The method of payment is clearly stated in the contract for professional services. The method and timing for submitting invoices for the work is discussed and included in the contract. The professional is made aware of any special billing requirements, such as an hourly accounting of staff hours or segregation of the bill according to project phases or funding.

## **Lump Sum**

Lump sum payment arrangements are usually best when the scope of the services is well defined. A schedule of payments for various phases of the project's development is a part of the lump sum agreement. For ease of administration, try and select easily identified milestones for payment, such as "submittal of preliminary plans" and "submittal of final plans". The contract clearly describes the scope of work to be performed for the lump sum fee.

## **Time and Materials**

Cost-based arrangements are more desirable when the scope of particular services is less well defined. These may take the form of direct and overhead costs plus a fixed fee, salaries times a multiplier (typically 2.75 to 3.50) plus expenses, or standard billing rates plus expenses. Cost-based arrangements should have a maximum agreed-upon limit that is not exceeded without Owner approval, which may contain a contingency for unexpected costs.

## **Other Methods**

Retainers, per diem or other systems of reimbursement are sometimes used. If public funding is anticipated for the project, check with the funding agency to determine if it has specific requirements for method of payment or other required contract conditions.

## **CONTRACT EXECUTION**

As an integral part of the scope discussions, the requirements and format of the proposed written contract must be discussed. The Community and design professional may wish to use the standard forms of agreement used by professional societies. The Funding agencies in New Mexico accept ECJDC Form 1910-1-FA (Funding Edition) for engineering projects. *A copy can be found at ([www.usda.gov/rus/water/ees/englib/engagree.htm](http://www.usda.gov/rus/water/ees/englib/engagree.htm))* Many engineering firms have their own contract form, however, the Owner should check with the agencies funding the project to ensure the format is acceptable. Otherwise, the agency may not be able to use its money to pay the professional services. The PTA may be able to offer assistance in formalizing the agreement. Again, check with potential funding agencies to ensure its requirements are included in the contract to avoid denial of payment later.

# APPENDIX A

## SAMPLES\*

1. [Request for Proposal and Instructions](#)
2. [Campaign Contribution Disclosure Form](#)
3. [Campaign Contributions Requirement Matrix](#)
4. [Schedule of Activities](#)
5. [Proposal Evaluation Form](#)
6. [Proposal/Qualifications Evaluation Summary](#)
7. [Reference Check](#)
8. [Memo](#) *(for firms that submitted proposals but not selected for interview)*
9. [Interview Memo](#) *(for short-listed firms to be interviewed)*
10. [Interview Questions](#)
11. [Interview Evaluation Score Sheet](#)
12. [Interview Evaluation Score Sheets Summary](#)
13. [Post-Interview Memo](#)

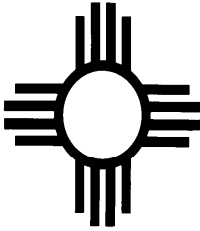
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*\*The samples provided are intended to illustrate the form or content and **NOT** intended to be used without modification by the Owner to suite the individual circumstance.*

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**REQUEST FOR PROPOSALS  
FOR  
DESIGN PROFESSIONAL SERVICES**

RFP No. \_\_\_\_\_ 1  
Packet No. \_\_\_\_\_



Project Name: \_\_\_\_\_

Contracting Agency: \_\_\_\_\_ 2 \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Telephone: [ \_\_\_\_ ] \_\_\_\_\_

Date: \_\_\_\_\_

Funding Type: \_\_\_\_\_ 3 \_\_\_\_\_

This form was prepared by the \_\_\_\_\_, and is endorsed by the Professional Technical Advisory Board [composed of the Consulting Engineers Council of New Mexico, New Mexico Society of Professional Engineers, the American Institute of Architects of New Mexico, the New Mexico Society of Surveyors and Mappers, and the New Mexico Society of Landscape Architects, Local Government Division, Department of Finance and Administration, Rural Utility Service, U. S. Department of Agriculture, New Mexico Environmental Department and the New Mexico Finance Authority.

**NOTICE OF REQUEST FOR PROPOSALS**

Qualifications-based competitive sealed proposals for design professional services will be received by the Contracting Agency, \_\_\_\_\_ **4** \_\_\_\_\_ for RFP No. \_\_\_\_\_ **5** \_\_\_\_\_

The Contracting Agency is requesting proposals for professional

- architectural services <sup>1</sup> **6**  engineering services <sup>1</sup>
- surveying services <sup>2</sup>  landscape architectural services<sup>2</sup>
- planning services

for (insert Project Name and Location): \_\_\_\_\_ **7** \_\_\_\_\_

\_\_\_\_\_ **8** \_\_\_\_\_  
Project No. \_\_\_\_\_

Proposals will be received at \_\_\_\_\_ **9** \_\_\_\_\_ until \_\_\_\_\_ a.m./p.m.

Copies of the Request for Proposals can be obtained in person at the office of the \_\_\_\_\_ at \_\_\_\_\_ **10** \_\_\_\_\_ or will be mailed upon written or telephone request to \_\_\_\_\_ at (\_\_\_\_) \_\_\_\_\_.

A Pre-Proposal Conference  will  will not be held on \_\_\_\_\_ **11** \_\_\_\_\_, 20\_\_\_\_ at \_\_\_\_\_ a.m./p.m.

PURCHASING AGENT: \_\_\_\_\_ **12** \_\_\_\_\_ Date: \_\_\_\_\_

---

(for Contracting Agency's Use Only)

Newspaper: \_\_\_\_\_ 13 \_\_\_\_\_ Publish: \_\_\_\_\_ P.O. No. \_\_\_\_\_

Newspaper: \_\_\_\_\_ Publish: \_\_\_\_\_ P.O. No. \_\_\_\_\_

Newspaper: \_\_\_\_\_ Publish: \_\_\_\_\_ P.O. No. \_\_\_\_\_

[Note: This Notice is issued pursuant to the requirements of § 13-1-104 NMSA 1978 and must be published not less than 10 calendar days prior to the date set for the receipt of proposals (§ 13-1-113) and published in a newspaper of general circulation in the area.]

1. **PROJECT DESCRIPTION** (insert Project Description & Location)

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2. **SCOPE OF WORK**

The Offeror shall perform the following professional services:

2.1 Provide standard **Basic Design Services**, consisting of:

**Architects/Landscape Architects**

- Programming Phase
- Schematic Phase
- Design Development Phase
- Construction Documents Phase
- Bidding and Negotiations Phase
- Construction Administration Phase
- Post-Construction Phase

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**Engineers**

- Study and Report Phase (PER)
- Preliminary Design Phase
- Final Design Phase
- Bidding and Negotiations Phase
- Construction Phase
- Operational Phase

**Surveyors**

- Property Boundary Survey
- Topographic Survey
- Easement Survey
  
- Right-of-Way Survey
- Inspection Report

**Planning Studies**

- Comprehensive Plan
- Strategic (i.e. issue specific) Plan
- Mapping and/or Zoning
- Other Planning Tasks

**Additional Services**

- Environmental Documentation
- Permitting
- Grant Administration
- Right of Way Acquisition

16

2.2  **Periodic** or  **Full-time** on-site observation during construction,

2.3 Other (list):

17

- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

## INSTRUCTIONS TO OFFERORS

**1. DEFINITIONS AND TERMS**

(Section omitted from this sample)

**2. REQUEST FOR PROPOSAL DOCUMENTS**

(Section omitted from this sample)

**3. PROPOSAL SUBMITTAL PROCEDURES**

**3.1 NUMBER, FORM AND STYLE OF PROPOSALS**

A. Offerors shall provide \_\_\_\_\_ copies of their proposal to the location specified on the cover page on or before the closing date and time for receipt of proposals.

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B. All proposals must be typewritten on standard 8 1/2" x 11" paper and bound on the left-hand margin;

C. A maximum of \_\_\_\_\_ pages, including title, index, etc., not including front and back covers.

D. The proposal must be organized and indexed in the following format and must contain, as a minimum, all listed items in the sequence indicated:

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- 1) Letter of Transmittal, if any;
- 2) Response to Specialized Design and Technical competence;
- 3) Response to Capacity and Capability;
- 4) Response to Past Record of Performance;
- 5) Response to Familiarity with the Contracting Agency;
- 6) Response to Work to be Done in New Mexico;
- 7) Response to Current Volume of Work with the Contracting Agency not 75% Complete;
- 8) List of Sub-consultants; and
- 9) Other supporting or resource material.

E. Any proposal that does not adhere to this format, and which does not address each specification and requirements within the RFP may be deemed non-responsive and rejected on that basis.

(3.2 thru 3.9 omitted from this sample.)

**4. CONSIDERATION OF PROPOSALS**

(Section omitted from this sample)

**5. POST-PROPOSAL INFORMATION**

(Section omitted from this sample)

**6. OTHER INSTRUCTIONS TO OFFERORS**

(If None, write None)

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# GENERAL TERMS AND CONDITIONS

1. **GOVERNING LAW**  
(Section omitted from this sample)

2. **INDEPENDENT CONTRACTORS**  
(Section omitted from this sample)

3. **BRIBES, GRATUITIES AND KICK-  
BACKS**  
(Section omitted from this sample)

4. **STANDARD FORM OF AGREEMENT  
BETWEEN CONTRACTING AGENCY AND  
CONSULTANT (Design Professional)**  
(Section omitted from this sample)

5. **FEEES**

A lump sum fixed fee for Basic Service will be negotiated with the Offeror selected. Construction Observation will be calculated on a Payroll cost times a multiplier<sup>3</sup>.

[Note: <sup>3</sup> Or as appropriate or agreed upon.]

6. **FUNDING**  
(Section omitted from this sample)

7. **DESIGN PROFESSIONAL  
REGISTRATION**  
(Section omitted from this sample)

8. **PROFESSIONAL LIABILITY  
INSURANCE**

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The Offeror [ ] will [ ] will not be required to carry professional liability (errors and omissions) insurance. If required to carry such insurance, the amount of coverage will be \$ \_\_\_\_\_ [\$250,000, \$500,000, \$1,000,000].

## EVALUATION CRITERIA

**CRITERIA AND POINT VALUES**

Proposal must address each of the following criteria. Each proposal may be awarded points up to the amount listed.

<b>(PROJECT NAME) RATING SHEET FOR:</b>		
<b>Applicant</b> _____		
ITEM	POSSIBLE POINTS	SCORE
<b>PLANNING &amp; DESIGN SERVICES</b>		
1. <b>Specialized planning &amp; design and technical competence*</b> with rural communities and alternative onsite technologies. The consultant shall include a list of the last three projects of a similar nature with contact telephone information. Specialized experience with rural communities and alternative onsite systems should be highlighted. The examples should describe the difficulty of operating and maintaining the facilities designed by the consultant.	30	
2. <b>Capacity and capability*</b> of the consultant to perform the work within the communities timeframe. The consultant shall provide a summary of the project approach and schedule for the work. The consultant shall include resumes of the project personnel that will be assigned to this work and actually be working on the project for the duration.	30	
3. <b>Past record of performance*</b> on the three similar projects itemized in Item Number 1 above, including the record of engineer’s construction estimate versus actual bids and non-client initiated change orders.	20	
4. <b>Proximity to or familiarity with*</b> the Community’s needs. (The consultant should include a summary of their understanding of the problems and alternatives for this project.)	10	
5. <b>Current volume of work with the Community that is less than 75% complete*</b> . (The consultant must provide a list of all work in progress with the Community, including the dollar amount of the contract and the percentage complete.)	5	
6. <b>The amount of design work to be done in New Mexico*</b> .(Not applicable to Federal projects)	5	
SUBTOTAL PLANNING & DESIGN SERVICES	100	

*\*Items required by statute (13-1-120.B NMSA 1978)*

<b>CONSTRUCTION SERVICES</b>		
1.	Specialized construction management experience small rural Community construction involving accommodating existing structures. Specialized experience with construction of alternative onsite systems should be highlighted.	20
2.	Specialized experience with start up assistance to the Owner of new facilities. The consultant shall provide examples of start up services provided for similar projects, including the length of time required to bring the facility fully online.	15
3.	Capacity and capability of the consultant to perform the work within the Community's timeframe. The consultant shall provide a summary of their approach to construction management addressing such things as tracking submittals and documenting daily progress. The consultant shall include resumes of the project personnel that will be assigned to this work and actually be working on the project for the duration.	15
4.	History of past performance on the three similar projects itemized in PLANNING & DESIGN SERVICES in Item Number 1, including the record of bid amount versus final close out contract amount.	10
5.	History of claims on _____ construction projects and their resolution. The consultant should detail their claims avoidance approach and construction management philosophy.	10
SUBTOTAL CONSTRUCTION SERVICES		70
<b>TOTAL SCORE</b>		<b>170</b>

**INSTRUCTIONS FOR**  
**REQUEST FOR PROPOSALS FORM**

1. Insert the internal RFP number issued by the Contracting Agency, i.e. 2004-22. Number each packet issued to a requesting firm, i.e. 1,2,3,4, and so on.
2. Project Name should be identified, i.e. Broadway Street Improvements. Contracting Agency along with address, telephone number, and date of RFP should be inserted, i.e. Anytown, NM, 2401 Broadway Street, (505) xxx-xxxx, June 24, 20xx
3. The funding type is listed, i.e. Community Development Block Grant, Special Appropriations, or Rural Infrastructure Program, etc.
4. List the Contracting Agency, i.e. Anytown, NM.
5. Insert the internal RFP number issued by the Contracting Agency, i.e. 2004-22.
6. Check the boxes for which professional services are required. If this RFP is for more than one of the services for the proposed project then check all of the applicable boxes, i.e. [x] planning, [x] engineering, [x] surveying, etc.
7. Insert the project name and location, i.e. Anytown Wastewater Improvement Project, Phase II.
8. List the funding agency issued Project No. (if applicable), i.e. SAP 03-0324-STB, (Special Appropriations) or 02-C-RS-I-1-G-2 (Community Development Block Grant) etc.
9. List the appointed location (add room number if applicable) and time to receive, record and time stamp proposals, i.e. July 24, 20xx until 2:00 p.m.
10. Identify the contact person from the agency who will be responsible for distributing copies of the RFP to potential offerors and answering questions regarding the RFP.
11. Check whether a Pre-Proposal Conference will or will not be held and list the date, location, and time, i.e. [x] will be held on July 1, 20xx at Anytown City Hall, Rm 210, 1:00 p.m.
12. The Contracting Agency authorized purchasing agent must sign and date the RFP.
13. List the names of newspaper(s) where the RFP will be published. Include publish dates, and Contracting Agency purchase order number, i.e., Anytown Daily Gazette, June 24, 20xx, P.O No. 03-1023.
14. The Project Description and location should be clearly outlined in this section. Only the Community can define what is needed and what is expected from the design professional regarding services to be performed. Community officials are encouraged to meet and discuss the scope of services and define the final products

expected from the design professional. The Community should use the results of the discussion to draft a scope of work for professional services that reflects their needs and expectations. Feel free to attach a separate page that fully explains the project and what is expected of the design professional. *(If you don't know what you want, how do you know when you have it?)*

15. Check off any of the professional services that you want accomplished under this RFP to complete the project.
16. Check off whether **Periodic** or **Full-time** on-site observation will be performed during the construction of the project. An Owner must realize that Full-time on-site observation requires additional fees.
17. List any other services required by the Owner.
18. List the number of proposal copies required (usually similar to the number of selection committee members) and provide a limit to the number of pages allowed in the proposal submitted by the offeror (usually less than 20 pages).
19. List the evaluation factors for “competitive sealed qualifications-based” procurement for professional services and the order in which you want the proposal organized. Offerors must follow this format. If each item listed in this section is not addressed in their proposal, then it may be deemed non-responsive and rejected by the selection committee
20. List any other instructions for Offerors.
21. Check off whether the Offeror is required to carry professional liability insurance and if so, the amount, i.e. The Offer [x] will be required to carry professional.... \$500,000. The amount of professional liability should approximate the total cost of the project, including construction.
22. Evaluation Criteria are the weighted factors that are used for the evaluation of proposals. These factors communicate to the offerors the relative importance of a specific criterion to the Owner.

Section 13-1-120.B of the Procurement Code establishes base evaluation factors for “competitive sealed qualifications-based” procurements for architects, engineers, landscape architects, and surveyors. The following is a list of these base evaluation factors that must be included in the evaluation criteria.

- **SPECIALIZED DESIGN/TECHNICAL COMPETENCE**
- **CAPABILITY/CAPACITY**
- **PAST RECORD OF PERFORMANCE**
- **PROXIMITY/FAMILIARITY WITH THE AREA**
- **AMOUNT OF DESIGN WORK PRODUCED IN NEW MEXICO**
- **VOLUME OF WORK FOR THE OWNER NOT 75% COMPLETE**

The Owner may weight the evaluation factors based on the complexity of the project, past experience with similar RFPs, and on the importance of each item to the Owner. The items most important should have the most points (see example above). The Owner is not limited to this list and can add additional items of concern, such as “Ability to conduct public meetings” or “Past experience with passive solar design”.

## CAMPAIGN CONTRIBUTION DISCLOSURE FORM

Pursuant to Chapter 81, Laws of 2006, any prospective contractor seeking to enter into a contract with any state agency or local public body must file this form with that state agency or local public body. The prospective contractor must disclose whether they, a family member or a representative of the prospective contractor has made a campaign contribution to an applicable public official of the state or a local public body during the two years prior to the date on which the contractor submits a proposal or, in the case of a sole source or small purchase contract, the two years prior to the date the contractor signs the contract, if the aggregate total of contributions given by the prospective contractor, a family member or a representative of the prospective contractor to the public official exceeds two hundred and fifty dollars (\$250) over the two year period.

THIS FORM MUST BE FILED BY ANY PROSPECTIVE CONTRACTOR WHETHER OR NOT THEY, THEIR FAMILY MEMBER, OR THEIR REPRESENTATIVE HAS MADE ANY CONTRIBUTIONS SUBJECT TO DISCLOSURE.

The following definitions apply:

**“Applicable public official”** means a person elected to an office or a person appointed to complete a term of an elected office, who has the authority to award or influence the award of the contract for which the prospective contractor is submitting a competitive sealed proposal or who has the authority to negotiate a sole source or small purchase contract that may be awarded without submission of a sealed competitive proposal.

**“Campaign Contribution”** means a gift, subscription, loan, advance or deposit of money or other thing of value, including the estimated value of an in-kind contribution, that is made to or received by an applicable public official or any person authorized to raise, collect or expend contributions on that official’s behalf for the purpose of electing the official to either statewide or local office. “Campaign Contribution” includes the payment of a debt incurred in an election campaign, but does not include the value of services provided without compensation or unreimbursed travel or other personal expenses of individuals who volunteer a portion or all of their time on behalf of a candidate or political committee, nor does it include the administrative or solicitation expenses of a political committee that are paid by an organization that sponsors the committee.

**“Contract”** means any agreement for the procurement of items of tangible personal property, services, professional services, or construction.

**“Family member”** means spouse, father, mother, child, father-in-law, mother-in-law, daughter-in-law or son-in-law.

**“Pendency of the procurement process”** means the time period commencing with the public notice of the request for proposals and ending with the award of the contract or the cancellation of the request for proposals.

**“Person”** means any corporation, partnership, individual, joint venture, association or any other private legal entity.

**“Prospective contractor”** means a person who is subject to the competitive sealed

proposal process set forth in the Procurement Code or is not required to submit a competitive sealed proposal because that person qualifies for a sole source or a small purchase contract.

**“Representative of a prospective contractor”** means an officer or director of a corporation, a member or manager of a limited liability corporation, a partner of a partnership or a trustee of a trust of the prospective contractor.

**DISCLOSURE OF CONTRIBUTIONS:**

Contribution Made By: \_\_\_\_\_

Relation to Prospective Contractor: \_\_\_\_\_

Name of Applicable Public Official: \_\_\_\_\_

Date Contribution(s) Made: \_\_\_\_\_

Amount(s) of Contribution(s) \_\_\_\_\_

Nature of Contribution(s) \_\_\_\_\_

Purpose of Contribution(s) \_\_\_\_\_

(The above fields are unlimited in size)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title (position)

**--OR--**

**NO CONTRIBUTIONS IN THE AGGREGATE TOTAL OVER TWO HUNDRED FIFTY DOLLARS (\$250) WERE MADE** to an applicable public official by me, a family member or representative.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title (Position)

# Campaign Contribution Form Requirements Matrix

(Applies to ALL contracts with effective dates on or after May 17, 2006)

<b>For Contracts Based On:</b>	<b>Dollar Value:</b>	<b>Campaign Contribution Report Required?</b>
<b>Small Purchase</b> per 13-1-125 (A & C) NMSA 1978, including Direct Purchase Orders and "3 quotes" (NOT Professional Services)	\$0 to \$20,000	<b>YES</b>
<b>Small Purchase</b> per 13-1-125 (B) NMSA 1978 (Professional Services ONLY)	\$0 to \$30,000	<b>YES</b>
<b>Formal Bid Process</b> per 13-1-102 thru 13-1-110 NMSA 1978	Any \$ Value	NO
<b>Request for Proposals (RFP)</b> per 13-1-111 thru 13-1-124 NMSA 1978, including Professional Services	Any \$ Value	<b>YES</b>
<b>Sole Source</b> per 13-1-126 NMSA 1978	Any \$ Value	<b>YES</b>
<b>Exemption to Procurement Code</b> per 13-1-98 NMSA 1978	Any \$ Value	NO
<b>Emergency Procurements</b> per 13-1-127 NMSA 1978	Any \$ Value	NO
<b>Existing Contracts</b> , including Price Agreements, per 13-1-129 NMSA 1978	Any \$ Value	NO
<b>Purchases from Antipoverty Program Businesses</b> , per 13-1-130 NMSA 1978	Any \$ Value	NO

**Expires 12/31/06**



**SAMPLE**  
**PROPOSAL/QUALIFICATIONS**  
**EVALUATION SUMMARY**

To be used by the selection committee person in charge of compiling the evaluation results of all proposals submitted to narrow the number of firms down to the number desired for a short list. NOTE: Enter the grand total for each firm's qualifications from their respective evaluation forms for comparative purposes in selecting the three to five most qualified firms to be interviewed.

<b>FIRMS</b>	A	B	C	D	E	F	G	H	I
Reviewer 1									
Reviewer 2									
Reviewer 3									
Reviewer 4									
Reviewer 5									
Reviewer 6									
<b>GRAND TOTALS</b>									

**SAMPLE**  
**REFERENCE CHECK**

Firm \_\_\_\_\_ on which the reference check is being conducted.

**REFERENCE INFORMATION:**

Owner \_\_\_\_\_ Project Referenced \_\_\_\_\_

Address \_\_\_\_\_ Person Contacted \_\_\_\_\_

\_\_\_\_\_ Phone \_\_\_\_\_

**SAMPLE QUESTIONS TO BE ASKED:**

1. What was your project? \_\_\_\_\_

2. When was it completed? \_\_\_\_\_

3. Did the firm above do the work? \_\_\_\_\_

4. What did they do for you? \_\_\_\_\_  
*Design work, construction coordination, studies, other (specify)*

	5 Excel	4 Good	3 Avg	2 Fair	1 Poor
5. Who was the staff person assigned to work with you on this project? _____ Were you satisfied with his/her work?					
6. Was the project started on schedule?					
7. Was the project completed as planned?					
8. Was the budget, cost control and financial administration within the planned controls and limitations?					
9. Did the firm and (you) the Owner work well as a team in relation to the project?					
10. Did the firm's personnel work well with the Owner's staff on all of the project's specific requirements?					
11. What is your overall evaluation of the firm based on your experience?					
12. Other question(s)					
TOTALS					

Multiply number of questions by 5 for maximum score as appropriate. Add each firm's score following the reference check and then transfer to the Interview Evaluation form as a line item on that firm's evaluation sheet.

**SAMPLE MEMO**  
***(For firms who submitted proposals but  
not selected for interview)***

**TO:** *(List all firms not asked to interview or tour the facilities in alphabetical order)*

**FROM:** \_\_\_\_\_  
Owner Contact Title  
\_\_\_\_\_  
Address

**DATE:**

**RE:** STATUS OF SELECTION PROCESS

\_\_\_\_\_  
Project

The \_\_\_\_\_ *(name of committee or group)* appreciates you and your firm submitting your proposal. After careful consideration of all the firms who submitted proposals, a decision to interview the following firms has been made:

- 1) *List firms in alphabetical order*
- 2)
- 3)
- 4)
- 5)

While your firm was not selected for an interview, we appreciate your interest in our project and the resources spent on the preparation of your proposal.

**SAMPLE INTERVIEW MEMO**  
***(for short-listed firms to be interviewed)***

**TO:** \_\_\_\_\_  
*(List all firms YOU WISH TO INTERVIEW in alphabetical order)*

**FROM:** \_\_\_\_\_  
Owner \_\_\_\_\_ Contact \_\_\_\_\_ Title \_\_\_\_\_  
\_\_\_\_\_  
Address \_\_\_\_\_

**DATE:** \_\_\_\_\_

**RE:** INTERVIEW SCHEDULE AND REQUIREMENTS

\_\_\_\_\_  
Project

The firms listed above have been short-listed and will be interviewed for *the* \_\_\_\_\_ *(engineering, architectural, etc)* services relative to the work necessary to implement the \_\_\_\_\_ *(specify project)*.

Attached to this memo are the following:

- 1) Interview questions.
- 2) An Interview Score Sheet that is used by the Selection Committee during the interview session.
- 3) Copies of \_\_\_\_\_ *(name of studies or reports)* compiled by \_\_\_\_\_ *(name of group)* for your information and review.

Each firm is allowed 45 minutes to present their proposals and to answer questions. The interviewers schedule 15 minutes between interviews for informal discussion of information presented during the preceding interview. At the completion of the interviews, the interviewers rank the firms interviewed in accordance with their determination of which firm is most competent and compatible to do the work. The firm deemed to be the most qualified enters into negotiations for a contract to provide the necessary design services. If contract terms cannot be reached, the firm ranked second is invited in for contract negotiations.

Interviews will be held on \_\_\_\_\_ *(date)* \_\_\_\_\_.

The location is \_\_\_\_\_ *(name of building)* \_\_\_\_\_ at \_\_\_\_\_ *(address)* \_\_\_\_\_.

The order and time of interviews are:

- FIRM A \_\_\_\_\_ *(time)* \_\_\_\_\_
- FIRM B \_\_\_\_\_ *(time)* \_\_\_\_\_
- FIRM C \_\_\_\_\_ *(time)* \_\_\_\_\_
- FIRM D \_\_\_\_\_ *(time)* \_\_\_\_\_
- FIRM E \_\_\_\_\_ *(time)* \_\_\_\_\_

A tour of the site and/or facility will be arranged for \_\_\_\_\_ *(date)* \_\_\_\_\_. Please have your firm's representative make arrangements with the Owner's representative for a time on this date.

**SAMPLE**  
**INTERVIEW QUESTIONS**

(examples only, the Owner must choose specific questions)

1. Have you worked on similar problems before?
2. Have you worked successfully with similar communities?
3. What is your education and training, any awards or professional recognition?
4. Will your firm utilize any sub-consultants; if so, what is their experience? Have you worked with them before?
5. What people will be assigned to work on this project and will they be guaranteed to stay with this project for its duration?
6. What is your experience working with state and federal agencies (regulatory and funding) that will be involved in this project?
7. What special facilities and/or equipment will you bring to this project? (i.e., software, GIS)
8. What are your in-house procedures for quality control?
9. Have you developed an approach to this project, if so, what is it?
10. What are critical decision points or milestones in your approach? How will you manage them?
11. What innovative or alternative technologies have you employed in the past for similar projects? How did you get regulatory approval?
12. What is your method and track record on estimation of costs?
13. What are your ideas on how money can be saved on design and construction?
14. How do you propose to work with the Community during this project?
15. How do you propose to provide status reports to the Community and on what frequency?
16. What is your current workload and how will our project fit into this load?
17. How do you propose to manage construction activities?
18. What is your experience with preventing and resolving contractor claims?
19. How do you track contractor pay requests?
20. How do you complete construction close out?

**SAMPLE**  
**INTERVIEW EVALUATION SCORE SHEET**

FIRM: _____	Very Good - 3	Average - 2	Poor - 1
Overall Impression of Competence			
Approach to Project			
Communication Skills			
Openness to Innovation			
Knowledge and Resources			
Reference Check Score			
<b>TOTALS</b>	_____	_____	_____

**SAMPLE**  
**INTERVIEW EVALUATION**  
**SCORE SHEETS**  
**SUMMARY**

(For use by the selection committee person responsible for compiling all scores of firms participating in the interview process)

NOTE: Enter the grand total for each firm as recorded by each interview on the interview evaluation score sheet. After all entries are made and totaled, divide the combined group total for each firm by the number of interviewers for an average score.

**COMBINED GROUP TOTALS**

	Firm A	Firm B	Firm C	Firm D	Firm E
Interviewer 1. ....	_____	_____	_____	_____	_____
Interviewer 2. ....	_____	_____	_____	_____	_____
Interviewer 3. ....	_____	_____	_____	_____	_____
Interviewer 4. ....	_____	_____	_____	_____	_____
Interviewer 5. ....	_____	_____	_____	_____	_____
_____ . ....	_____	_____	_____	_____	_____
_____ . ....	_____	_____	_____	_____	_____
_____ . ....	_____	_____	_____	_____	_____
<b>GRAND TOTALS</b>	_____	_____	_____	_____	_____

Divide by number of interviewers:

<b>Average Score</b>	_____	_____	_____	_____	_____
----------------------	-------	-------	-------	-------	-------

**SAMPLE POST-INTERVIEW MEMO**  
*(for all firms that were interviewed)*

**TO:** \_\_\_\_\_  
*(List all firms asked to interview but were not selected alphabetical order)*

**FROM:** \_\_\_\_\_  
Owner \_\_\_\_\_ Contact \_\_\_\_\_ Title \_\_\_\_\_  
\_\_\_\_\_  
Address \_\_\_\_\_

**DATE:** \_\_\_\_\_

**RE:** STATUS OF SELECTION PROCESS  
\_\_\_\_\_  
Project \_\_\_\_\_

The \_\_\_\_\_ (*OWNER*) \_\_\_\_\_ has completed the selection process for professional services for the above named project.

It has been our objective to select the most qualified firm to perform this service. The results of the selection committee's decision ranks the firms interviewed in the following order:

Firm #1 \_\_\_\_\_

Firm #2 \_\_\_\_\_

Firm #3 \_\_\_\_\_

Firm #4 \_\_\_\_\_

Firm #5 \_\_\_\_\_

We have now entered into contract discussions and negotiations with \_\_\_\_\_ (*Firm #1*) \_\_\_\_\_

We express our appreciation for your time, effort and interest spent on our behalf.

## **APPENDIX B**

### **FEEES FOR PROFESSIONAL SERVICES**

Fees for professional services are negotiated around the specific scope of work developed for the project. The Owner requests a cost proposal along the lines of the examples presented in this Appendix. This allows both sides to express their understanding of the work and the level of effort required to produce it. The Owner reviews 1) the work items to ensure they cover all elements in the scope of work, 2) the hours allocated to each work item to be satisfied the expected level of effort is present, and 3) the personnel assigned to each work item and the hours allocated to be satisfied that the appropriate people are assigned to the task. PTAB can provide engineering cost estimating material if the Owner wishes to further evaluate the reasonableness of a cost proposal.

The final version of the cost proposed, agreed to by both sides, is incorporated into the engineering contract.

## FEE PROPOSAL - ENGINEERING SERVICES

**Project Description:** Little Town Water System Improvements

**Project Number / s:** CDBG # 02-C-RS-I-7-G-2002, SAP # 02-L-RS-I-3-G-2002

**Owner:** Little Town, NM

**Engineer:** Middle Town Engineers

**Date of Submittal:** Jan. 15, 2002

### PRELIMINARY ENGINEERING (PER)

Job Description	Project		Engineer		Survey	Field	Admin.			Mileage	Per	Prints	Total	Subcontr	Sub	Total
	Principal	Engineer	Tech	Team	Tech	Assist				Diem		In-House		cont	Task	
Grade Level	V	IV			III	III								Geo-		
Billing Rate / Unit	\$ 135	\$ 100	\$ 45	\$ 100	\$ 45	\$ 35			\$ 0.35	\$ 80	\$ 0.25			Hydrologist		
Unit	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Mi	Days	Prints	\$	\$	\$	\$	
Task																
<b>Project Start-Up</b>	4	35	3	0	3	3	0	0	200	0	300	\$ 4,560				\$ 4,560
Client Interview / Programming		16							200		300					
Project Management Plan	1	8														
Start-Up Meeting Preparation		8														
Start-Up Meeting	3	3	3		3	3										
<b>Conceptual Engineering</b>	32	340	198	0	144	34	0	0	800	15	5800	\$ 58,745	\$ 15,000			\$ 73,745
Plan of Approach	1	6				1					50					
Report Outline / Approval	1	4				1					50					
Data and Measurements (Below):																
Coordination for Test Wells		40	24			8			100		1600					
Test Wells (2)	1	40			120				300	12			\$ 15,000			
Gather Drawings / Records		2	20						100	2						
Interview Maintenance Staff		10							100							
Right of Way Research			6													
Identify Alternatives/Eval Criteria	2	12									100					
Studies / Schematics (Below):																
Growth Analysis	1	6	8													
Development of Water Model	4	56	32		8				100							
Evaluation of Existing System	4	32	24		16				100	1						

Evaluation of Alternatives	8	48	24											
Public / Client Meetings (Below):														
Meetings with Client (3 Mtgs)		24												
Public Infor Meeting (1 Mtg)	2	20	20											
Write / Distribute Report	8	40	40			24				4000				

Reimbursible Cost: \$ 3,075      Total Hrs: 796      Cost / Hr: \$ 76      Direct Cost: \$ 60,230      **Total Stage Cost: \$ 78,305**

Subconsultant Cost: \$ 15,000

## FEE PROPOSAL - ENGINEERING SERVICES

**Project Description:** Little Town Water System Improvements

**Project Number / s:** CDBG # 02-C-RS-I-7-G-2002, SAP # 02-L-RS-I-3-G-2002

**Owner:** Little Town , NM

**Engineer:** Middle Town Engineers

**Date of Submittal:** 6/15/2002

### BASIC ENGINEERING SERVICES DESIGN STAGES

Job Description	Project	Engineer	Electrical	Engineer	Admin.				Mileage	Per	Prints	Total	Subcontr	Subcontr	Total
	Principal	Engineer	Tech	Designer	Tech	Assist	Designer	Designer		Diem		In-House	Geo-Tech	Geo-Hydr	Task
Grade Level	V	IV	IV	III	III	IV	III								
Billing Rate / Unit	\$ 135	\$ 100	\$ 45	\$ 75	\$ 40	\$ 35	\$ 65	\$ 65	\$ 0.35	\$ 80	\$ 0.25		\$ 7,500		
Unit	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Mi	Days	Prints	\$	\$	\$	\$
Task															
<b>Preliminary Design</b>	95.5	388	141	40	216	50	227	267	600	0	1500	\$ 104,123	\$ 2,950	\$ 7,500	\$ 114,573
Dwg / Detail Plan / Spec Outline	0.5	3													
Team Meeting Preparation		6													
Design Team Meeting	5	5	5			6	5	5	200		300				
Preliminary Design (Below):															
Elevated Storage Reservoir	12	16			80	16	200						\$ 2,950		
Production Well	16	240	80	40		16								\$ 7,500	
Transmission Lines	12	16			120			240							
Coordination w/ Utility Comps		40				4			100						
R/W & Permitting Req s	4	40	40			8			100						
In-House Quality Control	40	16	16		16		16	16			200				
Design Review	6	6					6	6	200		1000				
<b>Final Design</b>	56	129	63	35	55	36	57	57	400	0	4500	\$ 38,055			\$ 38,055
R/W & Utility Adjustment Req s		12													
Team Meeting Preparation	1	4				2									
Team Meeting	3	3	3	3	3	4	3	3	200		500				
Utility Coordination		4	12			2									
Final Design (Below):															

Elevated Storage Reservoir	4	8			20	8	40							
Production Well	4	60	40	24		8								
Transmission Lines	4	8			24	8		40						
In-House Quality Control	40	24	8	8	8	4	8	8			1000			
Design Review		6					6	6	200		3000			

Reimbursible Cost: \$ 1,850

Total Hrs: 1912.5

Cost / Hr: \$ 73

Direct Cost: \$ 140,328

**Total Stage Cost: \$ 152,628**

Subconsultant Cost: \$ 10,450

## FEE PROPOSAL - ENGINEERING SERVICES

**Project Description:** Little Town Water System Project

**Project Number / s:** CDBG # 02-C-RS-I-7-G-2002, SAP # 02-L-RS-I-3-G-2002

**Owner:** Little Town, NM

**Engineer:** Middle Town Engineers

**Date of Submittal:** 4/15/2002

### ENVIRONMENTAL DOCUMENTATION

Job Description	Project	Engineer	Envir	Field	Admin.			Mileage	Per	Prints	Total	Subcontr	Sub	Total
	<u>Principal</u>	<u>Leader</u>	<u>Tech</u>	<u>Manager</u>	<u>Tech</u>	<u>Assist</u>	-	-	<u>Diem</u>	-	<u>In-House</u>	<u>Archeolog.</u>	<u>Cont</u>	<u>Task</u>
<b>Grade Level</b>												Consultant		
<b>Billing Rate / Unit</b>	\$ 135	\$ 100	\$ 45	\$ 80	\$ 45	\$ 35		\$ 0.35	\$ 80	\$0.25				
<b>Unit</b>	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Mi	Days	Prints	\$	\$	\$	\$
<b>Task</b>														
<b>Environmental Documentation</b>	0	0	4	59	0	0	0	200	0	800	\$ 5,170	\$ 2,000	\$ -	\$ 7,170
Meet with Applicable Agency				1										
Environmental Information Outline				2										
Public Scoping Meeting				4				100						
Agency Consultation Letters				8										
Cultural Resources Survey												\$ 2,000		
Environmental Information Doc				24						400				
Public Hearing			4	8				100						
Revise Envir Information Doc				6						400				
Prepare Envir Assessment				2										
FONSI / Address Comments				4										

Reimbursible Cost: \$ 270

Total Hrs: 63

Cost / Hr: \$ 78

Direct Cost: \$4,900

**Total Stage Cost: \$ 7,170**

Subconsultant Cost: \$ 2,000

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## FEE PROPOSAL - ENGINEERING SERVICES

**Project Description:** Little Town Water System Improvements

**Project Number / s:** CDBG # 02-C-RS-I-7-G-2002, SAP # 02-L-RS-I-3-G-2002

**Owner:** Little Town ,NM

**Engineer:** Middle Town Engineers

**Date of Submittal:** October 15,2002

### BASIC ENGINEERING SERVICES BID ADMIN & CONSTRUCTION STAGES

Job Description	Principal	Project Engineer	Engineer Tech	Survey Team	Field Tech	Admin. Assist			Mileage	Per Diem	Prints	Total In-House	Sub Cont	Sub Cont	Total Task
Grade Level		V	IV		III	III									
Billing Rate / Unit	\$ 135	\$ 100	\$ 45	\$ 100	\$ 45	\$ 35			\$ 0.35	\$ 80	\$ 0.25				
Unit	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Mi	Days	Prints	\$	\$	\$	\$
Task															
<b>Bid Administration</b>	2	65	0	0	20	48	0	0	400	0	16200	\$ 13,540			\$ 13,540
Pre-Advertising Verifications		4				2									
Advertisement for Bids		1				2									
Preparation/Distribution Packets		2				24					16000				
Pre-Bid Conference		8			8			100							
Addenda and Clarifications		16				8					200				
Receive Bids		5						100							
Evaluate Bids		4				4									
Recommendation/Award of Bid	1	8				1		100							
Execute Construction Contract		1				3									
Prepare Quality Assurance Plan	1	4			4										
Pre-Construction Conf Prep		4				2									
Pre-Construction Conference		8			8	2		100							
<b>Construction</b>	3	200	16	0	66	22	0	0	1700	0	0	\$ 25,460			\$ 25,460
Video Site					5										
Verify Design Intent w/ Staking					5			100							
Verify Contr Pay Applic s (10)		5			20	10									
Submittals (20)		30													

Changes	2	24	16		20	2								
Construction Observation		128						1600						
Number of Visits = 16														
Hours per Visit = 8														
Frequency of Visits = Bi-weekly														
Final Review & Closeout Docs	1	12			12	4								
Record Drawings		1			4									
Archives						6								

Reimbursible Cost: \$ 4,785

Total Hrs: 442

Cost / Hr: \$ 77

Direct Cost: \$ 34,215

**Total Stage Cost: \$ 39,000**

Subconsultant Cost: \$ -

## FEE PROPOSAL - ENGINEERING SERVICES

**Project Description:** Little Town Water System Improvements

**Project Number / s:** CDBG # 02-C-RS-I-7-G-2002, SAP # 02-L-RS-I-3-G-2002

**Owner:** Little Town, NM

**Engineer:** Middle Town Engineers

**Date of Submittal:** 15-Jun-02

### SURVEYING AND MAPPING

Job Description	Project		Engineer		Survey	Field	Admin.			Mileage	Per	Prints	Total	Subcontr	Subcontr	Total
	Principal	Engineer	Tech	Tech	Team	Tech	Assist	-	-	-	Diem	-	In-House	Aerial	Title	Task
Grade Level		V												Photogr	Company	
Billing Rate / Unit	\$ 135	\$ 100	\$ 45	\$ 100	\$ 45	\$ 35			\$ 0.35	\$ 80	\$ 0.25		\$ 20,000			
Unit	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Mi	Days	Prints	\$	\$	\$	\$	\$
Task																
<b>Field Survey and Mapping</b>	0	4	96	66	0	0	0	0	300	16	0	\$ 12,705	\$ 20,000	\$ -	\$ 32,705	
Survey Plan / Instructions		3														
Survey Research:																
Utility Locations			8						100	4						
Right of Way / Easements			8													
Property Ownership			8													
Obtain Permission to Survey			8													
Perform Field Research			8													
Perform Field Survey				40					100	8						
Establish Utility & R/W Location			20													
Establish Control Points				24					100	4						
Aerial Mapping			4										\$ 20,000			
Download Data / tins & contours			8													
Prepare Mapping			16													
Verify Accuracy of Survey		1	8	2												
<b>Property Survey &amp; Mapping</b>	0	13	50	26	0	0	0	0	300	6	0	\$ 7,101	0	\$ 2,000	\$ 9,101	
Survey Plan / Instructions		4														
Survey Research			8						100	2						
Obtain Permission to Survey			3													
Perform Field Research			8													

Perf Field Survey (4 parcels)		2		16					100	4				
Title Search (4 parcels)		1	3											\$ 2,000
Download Data			4											
Survey Calculations		2	12											
Prepare Mapping			12											
Verification		4												
Monumentation				10					100					

Reimbursible Cost: \$ 1,970

Total Hrs: 255

Cost / Hr: \$ 70

Direct Cost: \$ 17,836

**Total Stage Cost: \$ 41,806**

Subconsultant Cost: \$ 22,000

## FEE PROPOSAL - ENGINEERING SERVICES

**Project Description:** Little Town Water System Improvements  
**Project Number / s:** CDBG # 02-C-RS-I-7-G-2002, SAP-02-L-RS-I-3-G-2002  
**Owner:** Little Town, NM  
**Engineer:** Middle Town Engineers  
**Date of Submittal:** 15-Oct-02

### RESIDENT PROJECT REPRESENTATION

Job Description	Project				Field	Admin.			Mileage	Per	Prints	Total	Subcontr	Subcontr	Total
	<u>Principal</u>	<u>Engineer</u>			<u>Tech</u>	<u>Assist</u>				<u>Diem</u>		<u>In-House</u>			<u>Task</u>
<b>Grade Level</b>		V			III	III									
<b>Billing Rate / Unit</b>	\$ 135	\$ 100			\$ 45	\$ 35			\$ 0.35	\$ 80	\$ 0.25				
<b>Unit</b>	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Hrs	Mi	Days	Prints	\$	\$	\$	\$
<b>Task</b>															
<b>Resident Proj Representation</b>	0	0	0	0	1440	0	0	0	3500	140	0	\$ 77,225	\$ -	\$ -	\$ 77,225
Number of Work Days = 180					1440				3500	140					
Number of Hours per Day= 8															

Reimbursible Cost: \$ 12,425      Total Hrs: 1440      Cost / Hr: \$ 45      Direct Cost: \$ 64,800      **Total Stage Cost: \$ 77,225**  
 Subconsultant Cost: \$ -