

Citizens Consultant Performance Evaluation Process

The following Citizens Consultant Performance Evaluation Process was developed by a joint subcommittee consisting of representatives from Citizens and American Council of Engineering (ACEC), Indiana, member firms. As each of the stakeholders had diverse thoughts and experiences with the consultant evaluation process, this subcommittee provided a cooperative opportunity to have candid discussions regarding the process and possible ways to improve it.

The Citizens representatives were Beth Glidden, Dave Kiesel, Andy Lutz, Carly Senak and were led by Debi Bardhan. The ACEC subcommittee representatives were Jeff Drake, Burgess & Niple; Luke Leising, Guidon Design; Jay Thorne, MS Consultants; and were led by Rick Rampone, Parsons Brinckerhoff. Feedback and guidance were also provided by Beth Bauer, ACEC. This sub-committee was initially formed in November 2015 under a charter from the 2015 – 2016 ACEC – Citizens liaison committee, headed by Mark Jacob, Citizens and Tim George, CHA. The subcommittee met a total of four times from January 6, 2016 through April 27, 2016. The Citizens representatives also met internally numerous times over that time period.

The agreed goal of the subcommittee was to develop a consultant performance evaluation process that is fair, consistent, objective, timely, and that which would serve as a tool to improve performance and working relationships between Citizens and their consultants. Draft versions of the consultant evaluation process documents were developed by Citizens and updated as a result of discussions at each of the subcommittee meetings. These documents included: *Guidelines for Administering the Consultant Performance Evaluation Process*; a *Consultant Performance Evaluation Workflow*; *Consultant Evaluation – Engineering and Professional Services form*; and a *Consultant Evaluation for Sub-Contractors form*. During development, the documents were also provided to Citizens project managers for review and input. After consensus was reached by the entire subcommittee, a draft of the performance evaluation process documents was provided to the representatives of the ACEC member firms on the ACEC – Citizens liaison committee and, in addition, provided by ACEC to all member firms that work with or are interested in working with Citizens, for review and comments. The consultant evaluation process documents were presented by Debi Bardhan and Rick Rampone at an ACEC – Citizens liaison committee meeting held on April 13, 2016, and all ACEC member firm questions and comments were requested. The last subcommittee meeting was held on April 27, 2016 to review and discuss the ACEC member questions and comments received.

As a result of these efforts, the final version of the Consultant Performance Evaluation Process documents was prepared. A meeting was held on May 11, 2016 that included Mark Jacob, Debi Bardhan, Tim George, and Rick Rampone to discuss and authorize release of the documents and a subsequent training workshop for consultants.

The Performance Evaluation Process will greatly assist Citizens in evaluating and sustaining quality of work, budgets, and schedules including providing insight into selection of consultants and sub-consultants. The process and documents will be reviewed and updated periodically by Citizens to reflect future circumstances and environment.

We would like to thank the entire subcommittee for their time and effort in the development of these documents. We would especially like to thank Mark Jacob, Tim George, and Beth Bauer for all their support and direction. On behalf of the subcommittee, we look forward to the successful implementation of the evaluation process and remain steadfast in our commitment to Citizens rate payers.

Debi Bardhan, Citizens Energy Group

Rick Rampone, Parsons Brinckerhoff
ACEC Indiana Member Firm

Procedure for Administering the Consultant Performance Evaluation Process

Who

The consultant performance evaluation process shall be consistently administered by the responsible Citizens employee who engages with consultants to perform work on Citizens' projects.

What

The consultant performance evaluation process has been developed by a cross functional team comprised of members from American Council of Engineering Companies (ACEC) and Citizens.

When

At the beginning of an engagement (e.g. project kick-off meeting), share the Consultant Evaluation Form with the Consultant, and agree upon the appropriate milestones at which the evaluation will be conducted and/or as deemed necessary by the Citizens Project Manager. The consultant evaluation shall be conducted at least once during each phase of the project.

Throughout the project, regularly communicate performance on key metrics including timeliness, budget, customer focus, cost savings, missed deadlines, design oversights, etc.

At the closeout meeting, the final performance discussion should occur along with the sign-off of the Consultant Evaluation Form.

Where

The template for the Consultant Evaluation Form is located on the ACEC Citizens Committee team site on iTrust.

[Template for Consultant Evaluation - Engineering and Professional Services](#)

Why

The objectives of the consultant performance evaluation process are to:

1. Define and formalize a process for consultant feedback.
2. Evaluate the execution and quality of contractually agreed upon work.
3. Collaborate with the Consultant to identify areas of improvement where the Consultant is not performing to expectations.
4. Benchmark the Consultant's performance against similar Consultants.
5. Assess performance trends and resolve any issues prior to impacting productivity or the partnership.
6. Seek feedback from the Consultant to improve Citizens' own processes and people.
7. Determine whether to engage in future work with the Consultant.

The following table illustrates the definitions and explanations of the ratings used in the Consultant Evaluation Form:

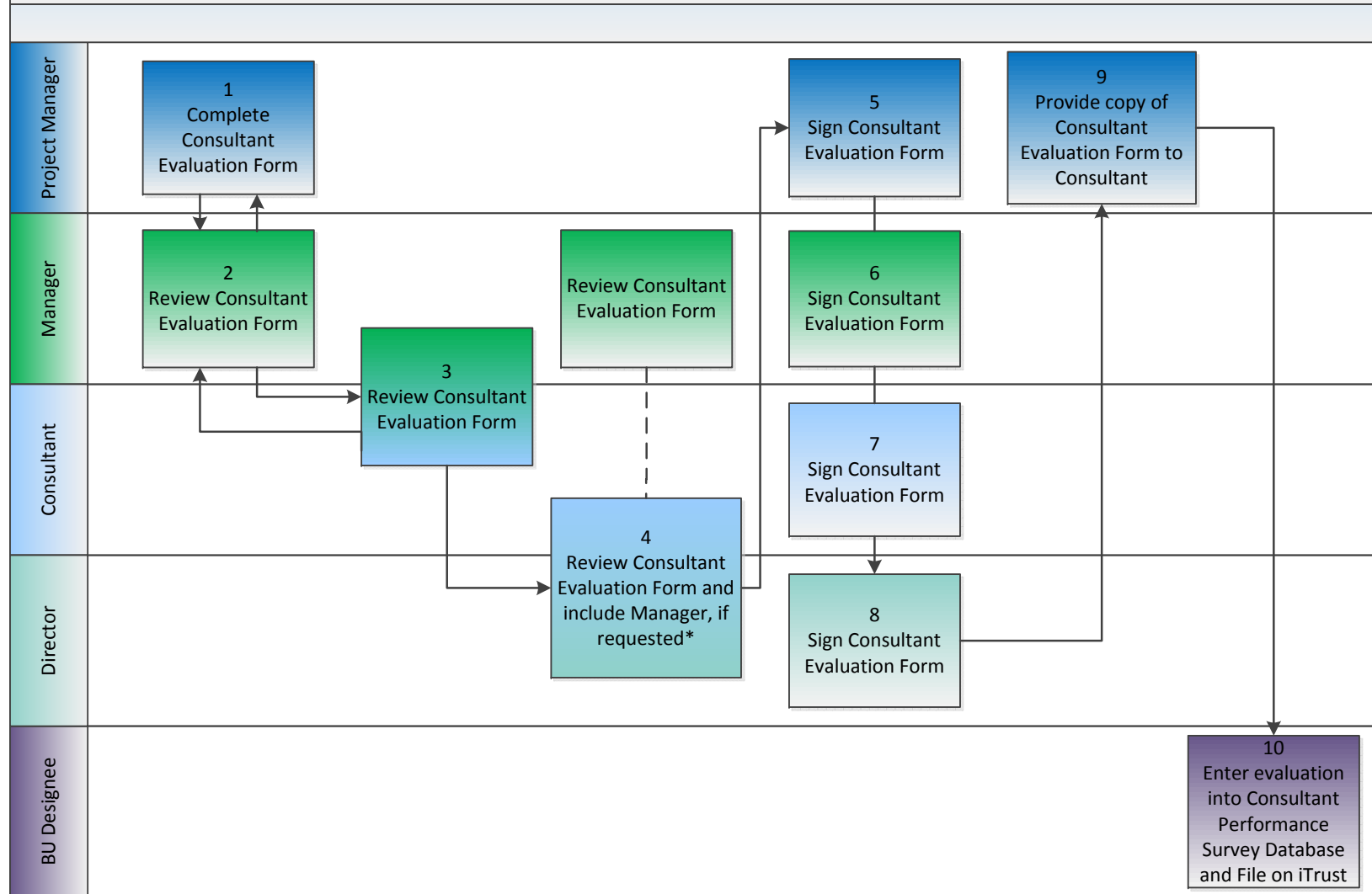
<i>ADJECTIVE RATINGS AND DEFINITIONS TO BE USED TO BEST REFLECT YOUR EVALUATION OF THE CONSULTANT'S PERFORMANCE</i>		
RATING	DEFINITION	NOTE
(E) Exceptional 5	Performance exceeds contractual requirements. The contractual performance of the Consultant being assessed was accomplished with few minor problems for which corrective actions taken by the consultant were highly effective.	An Exceptional rating is appropriate when the Consultant successfully performed multiple significant events that were of benefit to Citizens. A singular benefit, however, could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should not have been any significant weaknesses identified.
(EE) Exceeds Expectations 4	Performance meets all contractual requirements and exceeds some requirements. The contractual performance of the Consultant being assessed was accomplished with some minor problems for which corrective actions taken by the Consultant were effective.	An Exceeds Expectations rating is appropriate when the Consultant successfully performed a significant event that was a benefit to Citizens. There should have been minor or no significant weaknesses identified.
(ME) Meets Expectations 3	Performance meets all contractual requirements. The contractual performance of the Consultant contains some minor problems for which prompt corrective actions taken by the consultant appear or were satisfactory.	A Meets Expectations rating is appropriate when there were only minor problems or major problems that the Consultant recovered from without impact to the contract. There should have been no significant weaknesses identified. NOTE: If the Consultant is performing at a Meets Expectations level and is not performing beyond the requirements of the contract, the Consultant will not be assessed a rating lower than a Meets Expectations.
(DNME) Does Not Meet Expectations 2	Performance does not meet some contractual requirements. The contractual performance of the Consultant being assessed reflects a serious problem for which the Consultant has not yet identified corrective actions. The Consultant's proposed actions appear only marginally effective or were not fully implemented.	A Does Not Meet Expectations rating is appropriate when a significant event occurred that the Consultant had trouble overcoming and which impacted Citizens.
(U) Unsatisfactory 1	Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the Consultant contains serious problems for which the Consultant's corrective actions appear or were ineffective.	An Unsatisfactory rating is appropriate when multiple significant events occurred that the Consultant had trouble overcoming and which impacted Citizens. A singular problem, however, could be of such serious magnitude that it alone constitutes an unsatisfactory rating.

If rating anything other than 3, it requires an explanation of the rating as to why the rating was either below or above a 3. If any categories or sub-categories are not applicable (e.g. 1e), then score as N/A and adjust/calculate the evaluation rating based on the items scored.

How

The steps to complete the consultant performance evaluation process are explained below and illustrated in the attached workflow.

1. Project Manager completes the Consultant Evaluation Form.
2. Manager reviews the Consultant Evaluation Form with Project Manager. The Project Manager and Manager may meet to discuss Consultant performance multiple times during the evaluation process.
3. The Manager meets with the Consultant to review performance and discuss the Consultant Evaluation Form. The Manager may meet with the Consultant to discuss performance multiple times during the evaluation process.
4. If requested, the Director meets with the Manager and Consultant to discuss the Consultant Evaluation Form. The Consultant also has the option to meet one-on-one with the Director.
5. The Project Manager signs the Consultant Evaluation Form.
6. The Manager signs the Consultant Evaluation Form.
7. The Consultant signs the Consultant Evaluation Form.
8. After signatures are received from the Project Manager, Manager, and Consultant, the Director signs the Consultant Evaluation Form.
9. Project Manager provides a copy of the evaluation to the Consultant.
10. A Business Unit Designee enters the evaluation into the Consultant Performance Survey Database and files the evaluation on iTrust.



*The Consultant may also elect to meet one-on-one with Director.

CONSULTANT EVALUATION – ENGINEERING AND PROFESSIONAL SERVICES

Consultant's Name: _____
 Consultant's Project Manager: _____
 Evaluation Period: _____

 Project Name: _____
 Project Number: _____
 Contract Value (\$) and Purchase Order Number: _____

 Contract Type: ☐ Firm Fixed Price ☐ Cost Reimbursement ☐ Other (please specify) _____
 Citizens Project Manager: _____
 Citizens Business Unit: _____
 Type of Deliverable: _____

Please rate Consultant (as applicable, per CATEGORY)

1. PROJECT MANAGEMENT RATINGS						
CATEGORY	EXCEPTIONAL 5 Performance exceeds contractual requirements	EXCEEDS EXPECTATIONS 4 Performance meets all requirements and exceeds some requirements	MEETS EXPECTATIONS 3 Performance meets all contractual requirements	DOES NOT MEET EXPECTATIONS 2 Performance does not meet some contractual requirements	UNSATISFACTORY 1 Performance does not meet most contractual requirements and recovery is not likely in a timely manner	SCORES
a. Leadership & Executive Support as appropriate for project						
b. Project Management including timely and accurate invoicing						
c. Understanding and responsiveness to client needs						
d. Engagement of XBE and Local Sub Contractors (if applicable)						
PROJECT MANAGEMENT SUB TOTAL OF SCORES (Max Score 20 / Min Score 0)						
<i>If rating is anything other than 3, please provide explanation below:</i>						

2. DELIVERABLES (UNDERSTANDING & EXECUTION) RATINGS						
CATEGORY	EXCEPTIONAL 5 Performance exceeds contractual requirements	EXCEEDS EXPECTATIONS 4 Performance meets all requirements and exceeds some requirements	MEETS EXPECTATIONS 3 Performance meets all contractual requirements	DOES NOT MEET EXPECTATIONS 2 Performance does not meet some contractual requirements	UNSATISFACTORY 1 Performance does not meet most contractual requirements and recovery is not likely in a timely manner	SCORES
a. Knowledge and understanding deliverables						
b. Work quality						
c. Ability to conform to schedule and budget.						
DELIVERABLES SUB TOTAL OF SCORES (Max Score 15 / Min Score 0)						
<i>If rating is anything other than 3, please provide explanation below:</i>						

CONSULTANT EVALUATION – ENGINEERING AND PROFESSIONAL SERVICES

3. INNOVATION AND EXCELLENCE RATINGS (if applicable)						
CATEGORY	EXCEPTIONAL 5 Performance exceeds contractual requirements	EXCEEDS EXPECTATIONS 4 Performance meets all requirements and exceeds some requirements	MEETS EXPECTATIONS 3 Performance meets all contractual requirements	DOES NOT MEET EXPECTATIONS 2 Performance does not meet some contractual requirements	UNSATISFACTORY 1 Performance does not meet most contractual requirements and recovery is not likely in a timely manner	SCORES
a. Innovative approach						
b. Proactive in solving problems						
c. Use of new technologies and best practices						
d. Demonstrate commitment in staff continuing education and development to enhance services rendered						
e. Willingness to present ideas for project improvements						
INNOVATION AND EXCELLENCE SUB TOTAL OF SCORES (Max Score 25/ Min Score 0)						
If rating is anything other than 3, please provide explanation below:						

4. SAFETY / ENVIRONMENTAL / REGULATORY / PUBLIC OUTREACH RATINGS (if applicable)						
CATEGORY	EXCEPTIONAL 5 Performance exceeds contractual requirements	EXCEEDS EXPECTATIONS 4 Performance meets all requirements and exceeds some requirements	MEETS EXPECTATIONS 3 Performance meets all contractual requirements	DOES NOT MEET EXPECTATIONS 2 Performance does not meet some contractual requirements	UNSATISFACTORY 1 Performance does not meet most contractual requirements and recovery is not likely in a timely manner	SCORES
a. Safe work practices						
b. Environmental adherence						
c. Regulatory adherence						
d. Project specific public outreach						
SAFETY / ENVIRONMENTAL / REGULATORY / PUBLIC OUTREACH SUB TOTAL OF SCORES (Max Score 20 / Min Score 0)						
If rating is anything other than 3, please provide explanation below:						

5. CONSTRUCTION PHASE/CONSULTANT SUPPORT DURING CONSTRUCTION (if applicable)						
CATEGORY	EXCEPTIONAL 5 Performance exceeds contractual requirements	EXCEEDS EXPECTATIONS 4 Performance meets all requirements and exceeds some requirements	MEETS EXPECTATIONS 3 Performance meets all contractual requirements	DOES NOT MEET EXPECTATIONS 2 Performance does not meet some contractual requirements	UNSATISFACTORY 1 Performance does not meet most contractual requirements and recovery is not likely in a timely manner	SCORES
a. Consultant's timely responses to RFI's & Submittals						
b. Problem Solving – Creative, cost effective solutions						
c. Completeness of Construction documents e.g.: Drawings, Tech Specifications						
d. Final level of CO's required due to planning and design deficiencies						

CONSULTANT EVALUATION – ENGINEERING AND PROFESSIONAL SERVICES

CONSTRUCTION PHASE/CONSULTANT SUPPORT DURING CONSTRUCTION (Max Score 20 / Min Score 0)	
<i>If rating is anything other than 3, please provide explanation below:</i>	

GRAND TOTAL OF ALL SCORES (Max Score 100 / Min Score 0)	
OVERALL PERFORMANCE SCORE [((Actual Score () / (No. of Scored Items () x 5)) x 100) = Evaluation Rating %]	%

OVERALL CONSULTANT SCORING GUIDELINES

Evaluation Rating	Qualifications	Note Applicable Score
81% - 100%	Exceptional	
61% - 80%	Exceeds Expectations	
41% - 60%	Meets Expectations	
21% - 40%	Does Not Meet Expectations	
0% - 20%	Unsatisfactory	

Include attachments to support explanation included in the text boxes.

CITIZENS Team Members & Roles (Print)**Signature****Agree with Evaluation
(Y or N)**

Consultant's Name & Role (Print)**Signature****Agree with Evaluation
(Y or N)**

*Consultant's Comments:**(Consultant must review and sign evaluation.)*

Please indicate if you would like a confidential meeting with the Director to further discuss this review.

☐ Yes or ☐ No

Has Consultant evaluated and shared Sub-consultant's evaluation?

☐ Yes or ☐ No

CITIZENS Director Review _____ Date _____

cc: CITIZENS: Applicable Vice President, Director, Project Manager and Supply Chain representative
 CONSULTANT: Vice President / Officer
 Project File
 iTrust Supply Chain

CONSULTANT EVALUATION FOR SUB-CONTRACTORS

This is a standard template that will be used to evaluate sub-contractors, if the prime consultant chooses to do so. This process will help sub-contractors and their employees understand what is expected of them, how their performance is measured, where they excel, and how they can improve.

Sub-Contractor's Name: _____

Sub-Contractor's Project Manager: _____

Evaluation Period: _____

Project Name: _____

Project Number: _____

Contract Value (\$) and
Purchase Order Number: _____

Contract Type: ☐ Firm Fixed Price ☐ Cost Reimbursement ☐ Other (please specify) _____

Scope of Work: _____

Prime Consultant's Name: _____

Prime Consultant's Project Manager: _____

Please rate Sub-Contractor (as applicable, per CATEGORY)

CATEGORY	EXCEPTIONAL 5 Performance exceeds contractual requirements	EXCEEDS EXPECTATIONS 4 Performance meets all requirements and exceeds some requirements	MEETS EXPECTATIONS 3 Performance meets all contractual requirements	DOES NOT MEET EXPECTATIONS 2 Performance does not meet some contractual requirements	UNSATISFACTORY 1 Performance does not meet most contractual requirements and recovery is not likely in a timely manner	SCORES
Work Quality Did the quality and appearance of the sub-contractor's work meet standard?						
Responsiveness Did the sub-contractor respond quickly and adequately to needs and/or questions?						
Resources Did the sub-contractor provide the quality and quantity of people/materials/ equipment to perform the work?						
Schedule Was the sub-contractor able to meet the assigned schedule?						
Budget/Invoicing Was the sub-contractor able to meet or stay within budget and provide accurate /timely invoicing?						
Overall Leadership of PM						
Total Rating (Max Score 30 / Min Score 0)						
If rating is anything other than 3, please provide explanation below:						

Sub-Contractor's Signature: _____ Date: _____

CONSULTANT EVALUATION FOR SUB-CONTRACTORS

Sub-Contractor's Comments:

Prime's Signature: _____ Date _____