

Architect/Engineer And Commissioning Agent Selection Board Procedures

**Joint Forces Headquarters
Alabama National Guard
Montgomery, AL
5 December 2012**

UNCLASSIFIED

SUMMARY of CHANGE

SMDR 200-3

Architect/Engineer and Commissioning Agent Selection Board Procedures

This revision, dated 5 December 2012

- Supersedes SMDR 200-3, dated 11 January 2010
- Change Title to include "Commissioning Agent"
- Contents. Add the references to Commissioning Agent (CxA) to Chapter 1 and Appendices.
- Section 1-1. To add (CxA) selection.
- Section 1-1. To add Open-End Contract selection.
- Section 1-1. Change Preliminary Selection Board to selection of six firms or in case of a tie then selection of seven firms.
- Section 1-1. Change Final Selection Board recommendations from three to four for Open-End Contract and from three to one for Major Construction project.
- Section 1-1. Add Final Selection Board recommendation of one CxA firm for major construction projects and for one firm for Open End Contract.
- Section 1-2. Add CxA Selection Board info.
- Section 1-4. Change number of firms from Preliminary Selection Board to seven in case of a tie.
- Section 1-4. Change the selection from three to four firms for Open-End Contract and add selection of one firm for Major Construction project.
- Section 1-4. Add selection of CxA firm for major construction project or for Open End Contract.
- Section 1-5. Add CxA Selection Criteria.
- Section 1-6.a.(1). Change "EER" to "NCOER".
- Section 1-6.b.(5). Change "Contracting Officer" to "Adjutant General".
- Section 1-6.e. Change to CFMO.
- Section 1-6.e.(1). Change to "Recommending President, Members and Secretary/Recorder to Deputy Chief of Staff, Personnel (DCSPER) for appointment to Preliminary and Final Selection Boards".
- Section 1-6.e.(2). Renumbered from Section 1-6.e.(1).
- Section 1-6.e.(3). Renumbered to Section 1-6.f.(2).
- Section 1-6.e.(4). Renumbered to Section 1-6.f.(3).
- Section 1-6.f. Add "Contracting Officer".
- Section 1-6-f.(1). Renumbered from Section 1-6.e.(1).
- Section 1-6.g. Renumbered from Section 1-6.f.
- Appendix B. Add Criteria for CxA
- Appendix D. New - Add Preliminary CxA Selection Board Worksheet
- Appendix E. Rename from Appendix D
- Appendix F. Rename from Appendix E

Architect/Engineer and Commissioning Agent Selection Board Procedures

**By Order of The
Adjutant General**

**Perry G. Smith
The Adjutant General**

Official:

History: This publication is a routine update.

Summary: This publication defines the purpose, composition, and procedures for boards that select Architects/Engineers and Commissioning Agents to provide professional services for the Alabama National guard utilizing Alabama State Contracts.

Applicability: This regulation applies to the Alabama Army National Guard and the Armory Commission of Alabama.

Proponency and Exception

Authority: The proponent for this regulation is the CFMO & SPDO. The CFMO & SPDO have the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulation. Activities may request a waiver to this regulation by providing justification, including full analysis to the CFMO & SPDO in writing.

Army management control

process: This regulation contains management control provisions but does not identify key management controls that must be evaluated.

Supplementation:

Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the CFMO & SPDO.

Suggested improvements:

Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes and Blank Forms) directly to the CFMO & SPDO.

Distribution: This publication is available in electronic media only and is intended for Alabama Army National Guard, State Military Department, and the Armory Commission of Alabama use.

Contents (Listed by paragraph and page number)

Chapter 1

Purpose of the Architect/Engineer (A/E) or Commissioning Agent (CxA) Selection Board 1-1, *page 3*
Composition of the A/E or CxA Selection Board 1-2, *page 3*
Preliminary Selection Board 1-3, *page 3*
Final Selection Board 1-4, *page 3*
A/E or CxA Selection Criteria 1-5, *page 3*
Conduct of the Board 1-6, *page 4*

Appendices

Appendix A, Statement of Ethics, *page 6*
Appendix B, Criteria for A/E or CxA Evaluation (Preliminary Selection Board), *page 7*
Appendix C, Preliminary A/E Selection Board Evaluation Worksheet, *page 9*
Appendix D, Preliminary CxA Board Evaluation Worksheet, *page 10*
Appendix E, Criteria for A/E or CxA Evaluation (Final Selection Board), *page 11*
Appendix F, Final Selection Board Evaluation Worksheet, *page 12*

Chapter 1

1-1. Purpose of the A/E or (CxA) Selection Board

The purpose of the Selection Board is to select the best qualified firm(s) to whom a State Contract will be awarded for either the design/commissioning of a major construction project or whom will be added to the Open-End Contract. This will be accomplished in two phases. Phase one will be a Preliminary Selection Board which will review the interested firms' SF 330 and references and select six (6) firms, or in the case of a tie no more than seven (7) firms, to be interviewed. Phase two will be a Final Selection Board which will conduct a personal interview with one (1) representative from each of the firms selected for an interview. For A/E's the Board will then recommend one (1) firm for a major construction project or four (4) firms for the Open-End Contract to The Adjutant General. For CxA the Board will recommend one (1) firm for major construction projects and also one (1) firm for the Open-End Contract to the Adjutant General. The Adjutant General will direct the Contracting Officer on the appropriate actions.

1-2. Composition of the A/E or CxA Selection Board

a. The Selection Board shall be composed of members who, collectively, have experience in architecture, engineering, commission, construction, facilities management, and federal or state related acquisition. Voting members shall include the President of the Board (Minimum Rank of Colonel with experience in design and construction of facilities), and not less than three (3) members selected as being highly qualified in the areas defined above. Members may serve on both the Preliminary Selection and Final Selection Boards. A secretary/recorder chosen by the President of the Board shall be a non-voting member.

b. A quorum of voting members shall be present to conduct a Preliminary Selection Board or Final Selection Board.

1-3. Preliminary Selection Board

The Preliminary Selection Board will review and consider all SF 330 submitted by a qualified firm based on the requirements of the project announcement. Prior to the Board meeting, members will be assigned the submitted SF 330's to review and verify the references and qualifications of the applicants. The Board shall select no more than six (6) of the most qualified firms to be interviewed by the Final Selection Board. In the case of a tie, no more than seven (7) firms will be submitted to the Final Selection Board. The firms selected for the interview will be notified no less than ten (10) days prior to the date of the interview.

1-4. Final Selection Board

The Final Selection Board will conduct an interview at the State Military Department with one (1) representative from each of the six (6), or seven (7) in the case of a tie, pre-selected firms. More than one representative may be present during the interview, but only one person will be allowed to be interviewed and represent the firm for questions and presentation. After interviewing each firm's representative, the Board will choose either: 1) the one (1) most qualified firm for the major construction project, 2) the four (4) most qualified A/E firms for the A/E Open-End Contract, 3) the one (1) most qualified CxA for the CxA Open-End Contract and present them to The Adjutant General in order of preference (if applicable) as selected by the Board.

1-5. A/E or CxA Selection Criteria

The A/E Selection Board shall select the best qualified and most appropriate firm based on:

- a.* Location of the firm.
- b.* Experience with State Code and Military & Unified Criteria.
- c.* Experience with like type projects.
- d.* Ability to accomplish required services.

- e. Final Interview.

The CxA Selection Board shall select the best qualified and most appropriate firm based on:

- a. Location of the firm.
- b. Experience with State Code and Military & Unified Criteria.
- c. Experience with like type facility.
- d. Ability to accomplish required services.
- e. Final Interview.

1-6. Conduct of the Board

a. Ethics

(1) Board Members shall avoid all conflicts of interest or the appearance of a conflict of interest, and shall be totally impartial in their evaluation and selection of the firms. No Board Member shall be allowed to participate on any selection board that evaluates firms in which he/she; (1) has a business or personal relationship, (2) is related to a principal/employee of the firm, or (3) is, or has been, superior or subordinate in OER/NCOER rating to a principal/employee of the firm who is or has been also a member of the Armed Forces of the United States.

(2) Board Members are responsible for notifying the President of the Board of a conflict of interest or appearance of a conflict of interest and requesting to be excused from that particular board.

(3) Board Members will not discuss the proceedings of the board and will not discuss the results of the board until authorized by the State Contracting Officer.

(4) Compliance is mandated by Alabama law, Code of Ethics for Public Officials, Employees, Etc., Alabama Code 36-25-1 et seq. and federal regulation, Joint Ethics Regulation (JER), DoD 5500.7-R.

b. President

The President of the Board is responsible for:

- (1) Ensuring that the Board Members are properly selected and appointed by written orders.
- (2) Presiding over the Preliminary Selection and Final Selection Boards.
- (3) Ensuring that a quorum is present and that minutes are taken and properly distributed.
- (4) Providing pertinent questions to be asked of the firms' representatives at the Final

Selection Board.

- (5) Presenting the results of the board to The Adjutant General.

c. Secretary/Recorder

The Secretary/Recorder shall be responsible for:

- (1) Notifying Board Members of the date/time of a board meeting.
- (2) Receiving SF 330's and distributing them to Board Members for verification at the board meeting.
- (3) Taking minutes of board meetings.
- (4) Tabulating the results of the board.
- (5) Notifying the Board Members and firms of the board results at the direction of the

President.

(6) Maintaining a file containing the minutes of the board, the board member tabulation forms, results of the board and any correspondence relating to the board.

- (7) Notifying firms to be interviewed by the Final Selection Board.

d. Board Members

The Board Members shall be responsible for:

- (1) Being familiar with the requirements of the specific project.
- (2) Reviewing the SF 330's under consideration.
- (3) Asking pertinent questions of the firm's representative at the Final Selection Board. The

President will assign questions to the members to be asked during a Q&A period. Board Members may ask other questions, but MUST ask the same questions of all firms.

- (4) Properly completing the tally sheets provided by the Secretary.

(5) Ensuring that a signed "Statement of Ethics" (Appendix B) is on file with the Board Secretary prior to participating on any board.

e. CFMO

The CFMO shall be responsible for:

- (1) Recommending the President, Members and Secretary/Recorder to the Deputy Chief of Staff, Personnel (DCSPER) for appointment to the Preliminary and Final Selection Boards.
- (2) Reviewing and concurring/non-concurring with the results of the Preliminary and Final Selection Boards.

f. Contracting Officer

The Contracting Officer shall be responsible for:

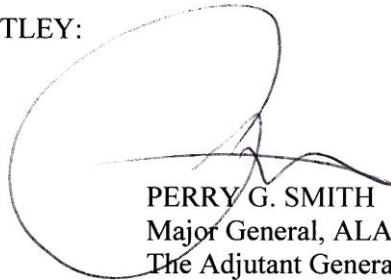
- (1) Reviewing and concurring/non-concurring with the results of the Preliminary and Final Selection Boards.
- (2) Notifying the approved Final Selection Board firm(s) that they have been chosen to be awarded the A/E contract.
- (3) Initiating and finalizing the contract with the approved firm(s).

g. Minutes

Minutes of the meetings will be taken by the Secretary/Recorder of the Board and filed. The minutes shall be retained at the State Military Department for a period of four (4) years and then shall be offered to the Department of Archives and History.

BY ORDER OF GOVERNOR BENTLEY:

OFFICIAL:



PERRY G. SMITH
Major General, ALARNG
The Adjutant General

APPENDIX A

STATEMENT OF ETHICS

I certify that I have read and understand the Architect/Engineer or Commissioning Agent Board Procedures and agree to comply with them as a Board member. I certify that, to my knowledge, there is no conflict of interest on my part as outlined in Para 1-6 of SMDR 200-3, and that I am in compliance with the applicable ethics guidance.

Board Member

Date

APPENDIX B

CRITERIA FOR A/E or CxA EVALUATION

AL ARNG PRELIMINARY SELECTION BOARD

Each Board Member should evaluate the A/E firms using the rating factors and values shown on the Evaluation Worksheet.

Each rating factor should be considered carefully when assigning point values.

The maximum assigned value for each rating factor may be 5 or 10 based on its importance. The associated points for the range of applicability are depicted below:

<u>Max Value</u>		<u>Range</u>	
	<u>Low</u>	<u>Mid</u>	<u>High</u>
10	0-3	4-7	8-10

The following criteria have been established to assist the evaluator in assessing each rating factor.

1. Location of the firm: (Main or Branch Office)
 - a. High Range – Office in Alabama
 - b. Mid Range – Office in adjacent state
 - c. Low Range – Other
2. (A/E Only) Experience with State Code and Military & Unified Criteria. Rate each of the following elements separately.
 - a. Architectural
 - b. Civil & Structural Engineering
 - c. Electrical Engineering
 - d. Mechanical Engineering
 - e. Information Technology Engineering
 - f. LEED Certified Projects
 1. High Range – Design Team has extensive experience with 15 or more years in the discipline
 2. Mid Range – Design Team has experience with 5-10 years in the discipline.
 3. Low Range – Design Team has none or minimal experience with 0-5 years in the discipline.
2. (CxA Only) Experience with applicable codes / criteria. Rate experience in each of the following commissioning areas separately.
 - a. Architectural

- b. Electrical
 - c. Mechanical
 - d. Plumbing
 - e. IT
 - f. LEED Certified Projects
 - 1. High Range – Design Team has extensive experience with 15 or more years in the discipline
 - 2. Mid Range – Design Team has experience with 5-10 years in the discipline.
3. Low Range – Design Team has none or minimal experience with Experience with like type projects:
- a. High Range – Design team has completed one or more projects with the same type and scope in the past three years.
 - b. Mid Range – Design team has completed one or more projects with similar type and scope in the past three years.
 - c. Low Range – Design Team has little or no recent experience with similar type and scope project.
4. Ability to accomplish required services: Rate each of the following elements separately.
- a. Meets Schedules:
 - 1. High Range – no indication of failure to meet schedule.
 - 2. Mid Range – one indication of failure to meet schedule.
 - 3. Low Range – multiple indications of failure to meet schedule.
 - b. Quality of Work:
 - 1. High Range - no indication of failure to meet design customer design standards or to provide quality Supervision, Inspections and Overhead (SIOH) services.
 - 2. Mid Range - one indication of failure to meet design customer design standards or to provide quality Supervision, Inspections and Overhead (SIOH) services.
 - 3. Low Range - multiple indications of failure to meet design customer design standards or to provide quality Supervision, Inspections and Overhead (SIOH) services.

APPENDIX C

PRELIMINARY ARCHITECT/ENGINEER (A/E) SELECTION BOARD WORKSHEET

DATE: _____

PROJECT: _____

Page _____ of _____

		Experience with State Code and Military & Unified Criteria						Experience with this type Facility	Ability to accomplish required services		TOTAL POINTS
		LOCATION OF AE FIRM	Architectural	Civil/Structural Engineering	Electrical Engineering	Mechanical Engineering	Information Technology Engineering		LEED	Meets schedules	
FIRM NAME AND ADDRESS	10	10	10	10	10	10	10	10	10	10	100

APPENDIX D

PRELIMINARY COMMISSIONING AGENT (CxA) SELECTION BOARD WORKSHEET

DATE: _____

PROJECT: _____

Page _____ of _____

		Experience with State Code and Military & Unified Criteria						Experience with this type Facility	Ability to accomplish required services		TOTAL POINTS
		LOCATION OF CxA FIRM	Architectural	Electrical	Mechanical	Plumbing	IT		LEED	Meets schedules	
FIRM NAME AND ADDRESS	10	10	10	10	10	10	10	10	10	10	100

APPENDIX E

CRITERIA FOR A/E or CxA EVALUATION

AL ARNG FINAL SELECTION BOARD

A set of questions and evaluation criteria will be developed by the President for each board with assistance from the CFMO and other stakeholders in the project. Each set of questions will be tailored to the scope and nature of the design(s) that the board is being held for and used as a basis of assigning points to candidate interviews as a basis for selection.

Prior to the individual interviews the members will review the SF 330s of the candidate firms as well as the questions of the board and ensure they understand the nature of the question and how criteria for points assignment should be applied to the answers.

Each Board Member should evaluate the A/E firms using the rating factors and values shown on the Evaluation Worksheet in Appendix E.

Each rating factor should be considered carefully when assigning point values.

APPENDIX F

FINAL SELECTION BOARD WORKSHEET

DATE: _____

PROJECT: _____

	QUESTION 1	QUESTION 2	QUESTION 3	QUESTION 4	PRESENTATION	TOTAL POINTS
NAME AND ADDRESS OF FIRM	0-3	0-4	0-4	0-4	0-10	25