Contractor Performance Evaluation Guide

(Revised February 2017)

Instructions: Start with the description associated with a numerical rating of 4 in each category. If the description does not match the Contractor's performance on the project during the rating period, move to the next lower rating. Repeat this process until the description matches the performance of the Contractor, and then use the corresponding numerical value to populate the Contractor Performance Evaluation form.

Evaluated Item		Rating	Description
A.1.	Prime Contractor's Work	4	Workmanship exceeded Contract requirements.
		3	Workmanship met Contract requirements. No corrective work required after initial completion of that portion of the construction. Some elements of the work remain incomplete prior to semi-final inspection.
		2	The majority of the work did not require corrective actions but a minor portion of the work required corrective work after initial completion of that portion of construction. Some elements of the work remain incomplete prior to semi-final inspection.
		1	A substantial portion of the work required corrective actions (more than 5%) or continual oversight of the work by inspection staff. Repeated requests were required by Department representatives for the Contractor to perform corrective work.
A.2.	Subcontracted Work & Material Suppliers	4	All subcontractor and supplier work was coordinated and performed timely or ahead of schedule and all subcontractors and suppliers were directly supervised by the Prime Contractor Superintendent, qualified Prime Contractor Foreman or other qualified Prime Contractor personnel. No Department direction or Department-initiated correction of subcontractor or supplier work was required. No delays were attributable to subcontractor or suppliers.
		3	Almost all subcontractor and supplier work was coordinated and performed timely or ahead of schedule and all subcontractors and suppliers were directly supervised by the Prime Contractor Superintendent, qualified Prime Contractor Foreman or other qualified Prime Contractor personnel. Only minor instances where the work was not fully supervised and Department communication to the Subcontractor was required. Minimal correction to subcontractor or supplier work was required. No delays were attributable to subcontractors or suppliers.
		2	The majority of subcontractor and supplier work was coordinated and performed timely or ahead of schedule and the majority of subcontractors and suppliers were directly supervised by the Prime Contractor Superintendent, qualified Prime Contractor Foreman or other qualified Prime Contractor personnel. Recurring instances where the work was not fully supervised and Department communication to the subcontractors was required. More than 2 instances of Department initiated correction of subcontractor or supplier work were required. One or more delays were attributable to subcontractors or suppliers, but the Prime Contractor mitigated those delays.
		1	Subcontractor and supplier work was poorly coordinated or scheduled. Subcontractors and/or suppliers were not adequately supervised by the Prime Contractor. Recurring instances where direct Department communication to the subcontractor or supplier was required. More than 2 instances of Department initiated correction of subcontractor/ supplier work were required. One or more delays were attributable to subcontractor work.

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A3	Quality Practices & Procedures	4	Proactively makes efforts to exceed Quality Control requirements. No instances of Department intervention, guidance or field directives were necessary.
		3	Constant efforts are made to comply with Quality Control requirements. Quick responses to field directives. Less than 3 instances of Department intervention, guidance, or field directives required.
		2	Efforts are made to comply but there are occasional compliance issues with Quality Control requirements. Responsive to field directives, but more than 3 instances of Department intervention, guidance, or field directives are required.
		1	Disregards Quality Control requirements. Not responsive to field directives. More than 5 instances of Department intervention, guidance, or field directives are required.
A.4.	Punch-List Items & Nonconforming Work	4	Responds to and addresses immediately all corrective work and punch list items.
		3	Responds to and addresses in a timely manner all corrective work and punch list items generally within 30 days.
		2	Corrective work and punch list items are addressed, but some issues take longer than 30 days from notification. No delays to project completion have resulted from the nonconforming work.
		1	Corrective work and/or punch list items take longer than 30 days with no valid reason for not being completed. Delays to project milestones or delays to project completion or other financial impacts to the Department have occurred.
B.1.	Maintenance & Protection of Traffic & Limits of Operation	4	Proactively makes efforts to strictly comply with M&PT and LOO. No instances of Department intervention, guidance or field directives are required.
		3	Constant efforts are made to comply with M&PT and LOO. Quick responses to field directives. Less than 3 instances of Department intervention, guidance, or field directives required.
		2	Efforts are made to comply but there are occasional compliance issues with M&PT and LOO. Responsive to field directives, but 3 to 5 instances of Department intervention, guidance, or field directives are required.
		1	Disregards M&PT and LOO. Not responsive to field directives. More than 5 instances of Department intervention, guidance, or field directives are required.
B.2.	Project Housekeeping & Cleanliness	4	Daily efforts and communication to ensure the Project is kept orderly, clean, and free of trash and debris with no need for reminders or field directives.
		3	Normally daily efforts and communication are witnessed, with only a few exceptions, to ensure the Project is kept orderly, clean, and free of trash and debris. There is minimal need for reminders or field directives.
		2	Reasonable efforts to ensure the Project is kept orderly, clean, and free of trash and debris. Less than 5 occasions of reminders or field directives were required.
		1	Constant reminders or field directives are required for the Contractor to take action to keep the project orderly, clean, and free of trash and debris. Contractor is not responsive to Project housekeeping and cleanliness issues.
B.3.	Environmental Requirements	4	Proactively makes efforts to strictly comply with requirements. No instances of Department intervention, guidance, or field directives are necessary.

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Evaluated Item		Rating	Description
		3	Complies with requirements. Quick response to field directives. Less than 3 instances of Department intervention, guidance, or field directives are necessary.
		2	Occasional problems complying with requirements but makes efforts to perform without Department intervention. Responsive to field directives. More than 3 instances of Department intervention, guidance, or field directives are necessary.
		1	Disregards requirements or does not perform requirements without Department direction. Cooperation is inconsistent and reminders are required to obtain compliance. More than 5 instances of Department intervention, guidance, or field directives are necessary.
B.4.	Work Zone Safety	4	Proactively makes efforts to maintain a safe Work Zone. Safe public access is provided and maintained where necessary, and controlled or restricted whenever hazardous conditions exist. No instances of Department intervention, guidance, or field directives are necessary.
		3	Constant efforts are made to maintain a safe Work Zone. Quick responses to field directives. Less than 3 instances of Department intervention, guidance, or field directives required.
		2	Efforts are made to comply but there are occasional compliance issues with Work Zone Safety requirements. Responsive to field directives, but 3 to 5 instances of Department intervention, guidance, or field directives are required.
		1	Disregards Work Zone Safety requirements. Not responsive to field directives. More than 5 instances of Department intervention, guidance, or field directives are required.
B.5.	Knowledge of Work Performed	4	Vast experience and knowledge of the Project requirements and expectations of the Department such that no corrective actions or Department intervention is required to complete the work. Usually offers constructive solutions to project issues.
		3	Considerable experience and knowledge of the Project requirements and expectations of the Department. Minimal corrective work, Department intervention or guidance is required. Sometimes offers constructive solutions to project issues.
		2	General experience and knowledge of the Project requirements and expectations of the Department such that corrective actions do not impact the work progress. Department intervention or guidance required but on less than 3 occasions. Occasionally, Contractor will propose a solution to project issues.
		1	Less experienced with the Project requirements and expectations of the Department such that corrective actions impact the work progress. Constant supervision by the Department is necessary to ensure the Contract requirements are met. The Contractor does not offer solutions to project issues, but rather waits for the Department to solve problems/issues.
C.1.	Project Schedules	4	Baseline schedule and schedule updates are complete, accurate and submitted on time. Corrections are seldom required.
		3	Baseline schedules and schedule updates are complete, accurate, updated to reflect actual project progress and planning, and are submitted on time. Department comments are only required for minor adjustments and are such that they may be addressed on the next monthly update. Resubmissions (not corrections made with the next monthly update) were required on less than 3 occasions and the Contractor is cooperative.

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Evaluated Item		Rating	Description
		2	Baseline schedules and schedule updates are typically complete, accurate and updated to reflect actual project progress and planning, and are submitted on time. Comments are required by the Department but are addressed in a timely manner prior to or through the next update. Resubmissions (not corrections made with the next monthly update) were required but the Contractor is cooperative.
		1	Baseline schedules and schedule updates are incomplete/inaccurate and/or not updated to reflect actual project progress and planning. The Department has requested submission and/or resubmission (not corrections made with the next monthly update) on more than 3 occasions.
C.2.	Project Resources	4	Resources are suitable for the work and always available when needed. Additional resources are available for all critical operations, and always available when needed, without delays.
		3	Resources are suitable for the work and generally available when needed. Additional resources are quickly obtained when necessary with no delays.
		2	Resources are suitable for the work with minimal down time. Additional resources are obtained with minimal delays.
		1	Resources are not available or reliable resulting in repeated delays or downtime. Additional resources are not obtained without delay to the Project schedule.
C.3.	Notification of Possible Delays	4	Proactive communication by the Contractor to inform the Department of possible delays allowing more than 30 days advance notice. Self-initiates no-cost mitigation strategies where possible and offers other mitigation strategies to the Department for evaluation with no delay to the Project.
		3	Proactive communication by the Contractor to inform the Department of possible delays allowing as much advance notice as possible. The Contractor sometimes offers mitigation strategies to the Department for evaluation.
		2	Notification of Project delays is provided with little or no advance notice or as the situation is occurring. The Contractor offers some help in mitigating the delay.
		1	Notification is not provided until after the delays have occurred. The Contractor does not help with delay mitigation.
C.4.	Shop Drawings & Procurement of Material	4	Procurement schedule submitted in advance of the shop drawing process and updated with monthly Project schedule updates. Shop drawing submissions are generally complete and accurate and made in advance of the scheduled need. Resubmittals are seldom required. Material procurement supports the project schedule with no delays.
		3	Procurement schedule submitted in advance of the shop drawing process and updated with monthly Project schedule updates. Shop drawing submissions are usually approved on the first submittal. Material procurement supports the project schedule with no delays.
		2	Procurement schedule submitted in advance of the shop drawing process and generally adhered to. Most shop drawing submissions and procurement of material on time and complete. Some submittals require resubmittal. Some delays obtaining shop drawing approval but no delay to project completion.
		1	Procurement schedule not submitted and/or not maintained. Submissions not on time and/or are repeatedly incomplete, causing multiple submissions or, extra effort by the Department and/or delays to milestones or Project completion.
D.1.	Prompt Payment to Subcontractors & Suppliers	4	Proactive efforts made to supply information to the Department documenting efforts made to avoid late payments. No prompt payment issues identified.

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Evaluated Item		Rating	Description
		3	No prompt payment issues identified and documentation provided when requested to document efforts made to ensure all payments are made within 30 days.
		2	Minimal complaints received. Immediate efforts are made to correct an oversight or delay in payment. Corrective or preventative measures are documented with documentation provided to the Department without request. Generally payments are made within 30 days, with few delays.
		1	Complaints received on more than 3 occasions without valid reasons for late payments and immediate efforts to correct the oversight; or delay in payment with documentation provided to the Department; or evidence of payments being frequently not made within the 30 days is found.
D.2.	Prevailing Wage & Payroll Submission	4	Proactive efforts made related to compliance and documentation. Payroll submissions are current and there are no compliance issues with current labor standards.
		3	Consistent efforts made related to compliance and documentation. Complies with current labor standards and prevailing wage rates, but payroll submissions may lag a bit. Self identifies and corrects issues then provides documentation of efforts to the Department.
		2	Generally complies with current labor standards and prevailing wage rates. Immediately corrects discrepancies with minimal guidance or intervention by the Department. Provides documentation of measures to correct issues and avoid problems in the future. Cooperative in resolving wage discrepancies. Some payroll submissions may lag by 1-2 months.
		1	Makes little effort to comply with labor standards and prevailing wage rates. Prevailing wage rates are violated frequently. Not cooperative and/or does not take immediate action to resolve issues and provide documentation to the Department. Payroll submissions are behind by three months or more.
D.3.	Compliance with AA/EEO Requirements	4	AA/EEO requirements are exceeded.
		3	Proactive efforts to ensure AA/EEO requirements are met. Minimal issues with meeting the requirements are experienced. Immediate efforts are taken to correct deficiencies and avoid future occurrences with documentation provided to the Department.
		2	AA/EEO requirements are generally met. Effort is demonstrated to satisfy the requirements and take measures to avoid issues in the future. Documentation is provided to the Department of efforts made.
		1	AA/EEO requirements are not met. Department intervention is required to ensure correction of deficiencies, documentation of the corrective action, and plans to avoid issues in the future.
D.4.	Worker Safety	4	Proactive efforts are continually made to ensure all safety requirements of the work, Contract, and OSHA are met or exceeded.
		3	Consistent efforts are made to ensure all safety requirements of the Contract and OSHA are met. Usually complies with HASP and OSHA requirements. No field directives are required.
		2	Generally complies with HASP and OSHA requirements without intervention from the Department and no safety violations are issued by a regulatory entity. Responds immediately to field directives.
		1	Disregards requirements and/or 1 or more safety violations issued by a regulatory agency. Field directives not immediately addressed.
D.5.	Compliance with DBE/SBE Requirements	4	Proactive efforts are made to ensure the DBE/SBE percentage exceeds requirements. Contractor and subcontractors comply with all DBE/SBE provisions. Contractor provides documentation of efforts and compliance to the Department without request.

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		3	Consistent efforts are made to ensure the DBE/SBE percentage meets requirements. Contractor and subcontractors comply with DBE/SBE provisions. Documentation is supplied as requested.
		2	DBE/SBE percentage not met, however, a "good faith effort" to satisfy goal is demonstrated and documented. Minimal problems in following DBE/SBE provisions. Documentation is supplied as requested.
		1	DBE/SBE requirements are not met. A "good faith effort" to satisfy goal is not demonstrated. Disregards the DBE/SBE provisions. Documentation is not supplied when needed and/or without significant effort by the Department.
D.6.	Training Requirements	4	Trainee requirements are exceeded and documentation supplied without request.
		3	Trainee requirements are met and documentation supplied without request.
		2	Trainee requirements are not met but effort to fulfill training requirement is demonstrated and documented.
		1	Trainee requirements are not met. Effort to fulfill training requirement is not demonstrated.
E.1.	Knowledge and Experience of Supervisory Personnel	4	Supervisors have many years of experience with the administrative and procedural requirements for the type of construction being performed. Proactive efforts are made and measures are self-implemented to exceed Contract requirements and avoid or mitigate problems.
		3	Supervisors have many years of experience with the administrative and procedural requirements for the type of construction being performed. Proactive efforts are made and measures are self-implemented to meet Contract requirements and avoid or mitigate problems.
		2	Supervisors have adequate experience with the administrative and procedural requirements for the type of construction being performed. Some administrative issues exist but the supervisory personnel cooperate and continually make efforts to meet Contract requirements and avoid or mitigate problems. Problems are resolved in a reasonable amount of time.
		1	Supervisors have minimal or no experience with the administrative and procedural requirements for the type of construction being performed. Efforts are generally not made and/or measures are not taken to meet Contract requirements and avoid or mitigate problems Resolution of problems consistently requires Department intervention or assistance and/or there is a lack of supervision and general communication.
E.2.	Cooperation with Engineer	4	Always cooperative and accommodating. Proactive efforts are made to keep the Department informed of Contractor plans at all times and exceed the Contract requirements. Contractor makes efforts to inform the Department of issues early and suggests resolutions, resulting in issues being resolved without impacting the project. All directions of the Department are immediately carried out. Department representatives always treated in a respectful manner.
		3	Generally cooperative and accommodating. Proactive efforts are made to keep the Department informed at all times and meet the Contract requirements. Contractor makes efforts to inform the Department of issues early and assists the Department with issue resolution, resulting in issues being resolved without impacting the project. All directions of the Department are carried out in a timely manner with no objections except for respectful discussion of alternatives. Open communication.

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Evaluated Item		Rating	Description
		2	Not overly cooperative but generally accommodating. Efforts are made to keep the Department informed and meet the Contract requirements. Contractor informs the Department of issues in a timely manner and usually assists the Department with issue resolution. All directions of the Department are carried out in a timely manner with only minimal delays. Project issues are resolved through a respectful discussion of alternatives. Contactor maintains a professional demeanor in its actions and communications.
		1	Uncooperative. Efforts are not continuously made to keep the Department informed and meet the Contract requirements. Directions of the Department are met with argument or protest and/or are not carried out in a timely manner. Contractor employees act in a disrespectful or unprofessional manner toward Department representatives.
E.3.	Cooperation with Other Contractors & Third Parties	4	No problems. Always cooperative and accommodating.
		3	Minor problems. Usually very cooperative.
		2	Some problems. Usually cooperative.
		1	Uncooperative, causing conflicts.
E.4.	Constructive Participation at Project Meetings	4	All required personnel are present and prepared at project meetings. The Contractor's representatives actively participate in the discussion and provide the necessary information. Action items from meetings are always swiftly resolved.
		3	Less than 3 instances of all required personnel not being present and prepared at project meetings. Action items from meetings are resolved in a timely manner with minimal additional assistance or guidance by the Department.
		2	3-5 instances of all required personnel not being present and prepared at project meetings. Action items from meetings are resolved but often involve additional Department assistance.
		1	More than 5 instances of all required personnel not being present and prepared at project meetings. Action items from meetings are resolved but often involve additional Department assistance or guidance.