Appendix A  Rating Elements

Rating elements (e.g., supervision and decision making) are defined as the numbered statements in Section III of the Prime Contractor Performance Report and are to be used as a basis for evaluating a contractor's typical performance.

The following Appendixes provide more detail for rating the contractor under each rating element. The rating criteria cited under each element heading does not preclude other considerations by the rater, however, such other elements considered should be explained in detail.

These rating elements have been prepared to provide for uniform guidance in the evaluation process by all raters. They are not to be considered as all encompassing, but to describe as far as practical, standard, and superior performance. From these descriptions, the rater will be able to determine inadequate, below standard, and above standard performance. In preparing these statements, a comparison of contractors is not intended. The rater must determine whether the contractor has met the standard, or the degree to which he has failed to meet or exceeded the standard required by the rating element.

Standard performance is defined as the expected, acceptable quality of performance considered to meet the requirements of the project documents, plans, specifications, industry standards, and as otherwise prescribed herein.

It is suggested that a copy of these rating elements and the Prime Contractor Performance Report be given to and discussed with the contractor at Preconstruction meetings and also when deemed otherwise appropriate. Raters are encouraged to devise mathematical formulas for rating typical performance when possible.

Administration/Management/Supervision

A. Supervision and Decision Making (A1)

The following guidelines will be used to determine a standard performance:

1. Supervisors used personnel, equipment, and materials effectively.

2. Most supervisory decisions resulted in the project progressing smoothly.

3. Supervisors coordinated the working elements effectively with the result that conflicts among them were rare.

4. Supervisors strived to keep project expenses within the bid amount.

5. Sufficient managerial presence was always on the project site to direct the work with the result that few disruptions occurred in the construction effort.

6. Give consideration to such other supervisory activity deemed appropriate by the rater for undertaking the project.

The highest superior rating should be given only when no discrepancies in the foregoing criteria have been observed. Supervisory personnel must have demonstrated proficiency, competency, managerial ability, technical knowledge, and judgment to the highest degree. Documented examples must be cited.


**Appendix A**

**B. Coordination and Communication with Subcontractors and Suppliers (A2)**

The following guidelines will be used to determine standard performance:

1. Delivery of supplies was efficiently scheduled and the activities of suppliers and subcontractors effectively coordinated to result in minimal, infrequent delay of the work.

2. Effective communication was exercised to avoid confusion and conflict among the working elements.

3. Ample supervision was provided to assure satisfactory performance of all subcontractors and suppliers.

4. Contractor actively assumed responsibility for all project activities throughout the life of the contract.

The performance of the subcontractor must be considered in the prime contractor’s evaluation. Aspects such as how the subcontractor’s performance affected the project (e.g., delayed or hastened the work, increased or decreased costs, or enhanced the quality of the project) must be assessed. Of major importance is how the prime contractor influenced those factors when involved with subcontractor work.

Although a subcontractor may not have performed in a standard manner, the effort expended by the prime contractor to obtain standard performance must be noted and considered heavily when rating the prime contractor. Such effort might include guidance, supervision, and other appropriate assistance.

The highest superior rating would be given only when it was readily observed that no delay, conflict, or confusion could be attributed to a contractor’s coordination and communication efforts with subcontractors and suppliers. Documented examples must be cited.

**C. Submission of Documents and Reports (A3)**

Standard rating would be given only when a minimal number of delayed and/or inaccurate reports have been submitted. The terms documents and reports include all pertinent paper work, including but not limited to, change orders, certified payrolls, wage affidavits, final project documents, and other allied records. When reports have not been properly submitted, the number of discrepant reports and the effort expended to obtain them must be considered. Statement of the due date and the date the report or document was received should be made to document the timeliness in which a contractor made the required submittals.

The highest superior rating would be given only when no discrepancies or inaccuracies have been observed in document or report submission. Additionally, all reports must have been received in a timely fashion and none were returned for resubmission. Lower superior evaluations will be given when extremely minimal discrepancies have occurred. Documented examples must be cited.

**D. Adequacy and Timeliness of Progress Schedules (A4)**

A requisite for a standard rating would be that project schedules had been submitted on or before the prescribed date and required few revisions, if any. Exception to this requisite would be caused by authorized extensions of working days or by additional work. The number of required corrected schedules and the quality thereof will be considered. The report narrative should give examples of the date schedules that were required and when they were received.
A top superior rating would be achieved by schedules having been submitted without return for modification and without delay. Lower ratings may be given for minor deviations in required submission. Documented examples must be cited.

E. **Public Safety and Traffic Control (A5)**

For a standard rating, a contractor’s traffic control plan must have been submitted for approval at least ten (10) calendar days in advance of the date traffic control devices are required. The plan must have been submitted to conform with the Manual for Uniform Traffic Control Devices and Special Provisions when it was initially submitted. Any changes directed by the engineer must have been made immediately. Properly trained traffic control personnel in adequate numbers must have been present on the worksite and required equipment in place as prescribed.

For an uppermost superior rating, the traffic control plan and any necessary revisions must have been submitted well in advance of the date traffic control devices were required. Traffic control equipment and personnel were always properly managed, properly placed, and in the prescribed quantity with personnel having proper equipment and attire. Infractions to the requirements were not observed. A genuine sensitiveness to the safety needs of the public must have been evident throughout the contractor’s activities. Documented examples must be cited.

F. **Compliance With Laws, Ordinances, Regulations, and Environmental Rules (A6)**

A standard rating requires that only few, minor, dissimilar, and infrequent infractions have occurred throughout the life of the project. Any infractions must have been immediately corrected. Infractions, as discussed above, apply to regulations, rules, and conditions prescribed in permits (e.g., Shoreline Management, Hydraulic Project Approval, Corps of Engineers, Environmental rules, etc.). The failure to obey ordinances, laws, and environmental regulations cannot be condoned and would result in a below standard rating.

G. **Maintenance of Employee Safety Standards (A7)**

A standard rating under this element requires compliance with the Occupational Safety and Health Act (OSHA) and the Washington Safety and Health Act (WSHA) with few, immediately corrected, minor infractions. Employees must have demonstrated a consciousness of the need for safety and accident prevention through knowledge, proper practices, and use of proper equipment and apparel. A standard rating requires, among other requisites, that periodic safety meetings for employees had been held and that no serious safety infractions or accidents had occurred.

The maximum superior rating would be given only when there were no safety infractions and utmost stress to safety had been given through meetings, counseling, and supervision of employees, thus providing a highly noticeable daily appreciation for safety. Documented examples must be cited.
Appendix A

H. Coordination and Cooperation with Department Personnel on Project Matters (A8)

A standard rating requires that the contractor react to comments, suggestions, and instructions from authorized contracting agency personnel in a positive, constructive manner. Although disagreements may occur, the conduct of both the contractor’s and the department’s personnel must maintain attitudes conducive to a compatible, problem-solving relationship which furthers the timely completion and enhanced quality of the project. A standard rating anticipates a minimal number of disagreements, all of which must have been resolved readily and with finality. A reasonable effort to correct discrepancies is expected.

A rating in the top range of superior requires the explicit effort of the contractor to go well beyond the norm to assure outstanding coordination and communications with owner personnel. The contractor must have looked ahead for problem areas, bringing them to the attention of the contracting agency, thus causing the project to progress in an optimal fashion. Documented examples must be cited.

I. Compliance With EEO, Affirmative Action, and MBE/DBE/WBE Requirements (A9)

Ratings will be based on accomplishments and goal attainments in the three areas of (1) Equal Employment Opportunity, (2) Training Compliance, and (3) MBE/DBE/WBE participation. Each area will be valued at one-third of the total score and ratings will be computed as follows:

a. EEO/Work Force Compliance (Refer to Monthly Utilization Reports)
   (1) (Standard Score = .7) by satisfactorily complying with the contract requirements in the following areas:
      (a) Section 1-07.11 of the Standard Specifications related to dissemination of EEO policy, orientation, working conditions, and personnel items.
      (b) By adequate effort to meet the percentage goals for each craft employed on the job. Adequate effort is determined by the action taken to hire minority and/or female employees in any craft where the contractor is below the specified percentage.
   (2) (Maximum Superior Score = 1.0) by complying with a. (1) above and meeting the contract percentage in all crafts (or if below in some crafts), no hiring opportunities were available.

b. Training Compliance
   (1) (Standard Score = .6) by attaining the training goals specified in the contract.
   (2) (Maximum Superior Score = 1.0) by attaining 125 percent or more of the training hours with a majority of those hours engaging minority and/or female trainees.
c. MBE/DBE/WBE

(1) For contracts with a mandatory goal (COA)
   (a) (Standard Score = .6) by achieving the dollar value or contract percentage of participation as specified in the contract.
   (b) (Maximum Superior Score = 1.0) by attaining 125 percent or more of the attainment specified in the condition of award letter.

(2) For contracts with a voluntary goal:
   (a) Standard Score = .6) to be given in the absence of any attainment.
   (b) (Maximum Superior Score = 1.0) by attaining 100 percent or more of the voluntary goal specified in the contract award letter.

(3) For contracts with no goal:
   (a) (Standard Score = .6) to be given in the absence of any attainment.
   (b) (Maximum Superior Score = 1.0) to be given if the contractor achieves 5 percent or higher participation.

Intermediate scores for each of the above will be proportional to goal attainment. When none of the above is applicable to the contract, a standard score will be given.

J. Public Relations with the General Public, Other Agencies, and Adjacent Contractors (A10)

A standard rating requires that communication and association with the public, other agencies, and adjacent contractors resulted in good relationships, little disruption of the project, and few or no complaints from the general public, or other entities.

To attain a top superior rating, no adverse impacts to the project will have occurred as a result of public relations. The contractor shall have taken the lead in public announcements of activities on the project. The contractor shall have received complimentary comments relating such items as efficient services, adherence to rules, and courtesy observed during the construction operation. The position of the rating in the superior range will be determined by the quantity and quality of comments received. Documented examples must be cited.

Quality of Work

A. Adherence to Plans and Specifications (Q1)

A standard rating will be given when the work has been accomplished as required by the plans, specifications, and referenced standards (e.g., quality control), or other established industry standards with few deviations of minor significance occurring.
Appendix A

Work, that may have been redone as a result of failure to adhere to standards, will be rated below standard, although it has subsequently been brought up to specifications. The degree to which it is rated below standard will be dependent upon the subsequent quality attained, the number of substandard infractions encountered, and the effect the work item(s) has on the total project.

The optimum superior rating requires that the work shall have been completed exceptionally and well beyond the requirements of the specifications or standards. It must exhibit that extra polish that is not ordinarily experienced which stands out immediately as having been uniquely well executed. To receive a superior rating, specific documentation of examples of the work’s being of surpassing quality must be cited (e.g., large concrete slabs poured with uniform finish which provided for perfect drainage). A superior rating requires “perks” that add quality well beyond that which is required. This is a heavily weighted element and must be evaluated with care.

B. Standards of Workmanship (Q2)

Standard ratings entail adequate workmanship that produces an acceptable product. It is such workmanship that is considered merely sufficient to fulfill the requirements of the standards and specifications.

The maximum superior rating is appropriate only for outstanding, rarely observed, workmanship that exemplifies pride of accomplishment by both the workers and the contractor’s organization itself. Under such circumstances, workers were committed to excellence, extremely innovative, interested, and sought ways to excel in the construction effort. Documented examples must be cited.

C. Completion of Final (Punch-List) Work (Q3)

A standard rating would be given for the completion of all remaining work on the date agreed upon by the Project Engineer and the contractor as cited in the substantial completion letter. Long delays in completing punch-list items result in a below standard rating unless circumstances exist that are acknowledged as legitimate by the engineer.

The ideal performance, warranting an uppermost superior rating, is the completion of the punch-list to the maximum extent as the work progresses leaving none to accomplish at the scheduled completion date. The top rating requires that all punch-list work be completed upon the scheduled completion of the project. Documented examples must be cited. (This element should not be included in the narrative section of interim reports, but a standard rating should be entered in the numerical section).

Progress of Work

A. Completion of Project Within Allotted Time (P1)

1. Standard ratings are given when the project is physically completed within the working day allocation.
2. Below standard rating will be computed using the following formula:
Standard Rating minus \[ \left( \frac{\text{days overrun}}{\text{authorized days}} \times 4 \times (\text{standard rating} - \text{lowest possible rating}) \right) \] = rating for element =
Example 18 - \[ \frac{3}{100} \times 4 \times (18 - 9) \] = 16.92
Standard Rating = 18
Overrun Days = 3
Authorized days = 100
Lowest Rating = 9

3. Ratings for above standard and superior will be computed by using the formula below:
Standard Rating plus \[ \left( \frac{\text{days under run}}{\text{authorized days}} \times 4 \times (\text{standard rating} - \text{lowest possible rating}) \right) \] = rating for element =
Example 18 + \[ \frac{3}{100} \times 4 \times (18 - 9) \] = 19.08
Standard Rating = 18
Days Under run = 3
Authorized days = 100
Lowest Rating = 9

4. Under conditions of substantial completion, days authorized, overrun or under run shall be adjusted in accordance with the provisions of Section 1 2.5F of the Construction Manual.

5. The ratings from the foregoing formulas should be adjusted appropriately by taking into consideration, the effort expended to expedite the project, the appropriateness of the allocation of working days, and the circumstances affecting completion time that are beyond the contractor’s control.

6. This is a heavily weighted element and must be evaluated with care.

B. Scheduling and Execution of Schedule (P2)
This element will be rated for interim, final, interim/final, and special reports by measuring the contractor’s adherence to the progress schedule at the time the report is prepared.

1. A standard rating will be awarded when the contractor’s work has been completed as scheduled.

2. A below standard rating will be computed in a similar manner as in A2 above (completion of project within allotted time).

3. An above standard or superior rating will be computed similarly as in A3 above, but will consider the accuracy of the progress schedule and the contractor’s adherence thereto. The maximum superior rating requires utmost adherence to the approved progress schedule.

4. In each of the foregoing ratings, consideration will be given to the number of timely submissions, the number of resubmissions of corrected schedules, and the quality thereof.
Appendix A

C. **Delivery of Materials and Supplies (P3)**

A standard rating is based upon materials and supplies being on hand with minimal delay, or disruption to the progress of work, or diversion of equipment from other critical activities to handle them.

An above standard rating would be appropriate when materials and supplies are on hand when needed or are properly stored, so as not to disrupt the work or give cause for multiple handling. The maximum superior rating may be awarded when procurement of materials and supplies was complicated and exceptional effort was taken to obtain them on time or before they were needed. Documented examples must be cited.

D. **Operation and Use of Equipment (P4)**

A standard rating is given when the equipment used was suitable for project conditions. Operators are reasonably skilled and operated the equipment in a safe, effective manner.

The highest superior rating will be given only when equipment fulfills the requirements to the optimum degree for efficiency (e.g., proper equipment for haul distance or task and equipment operated with highly skilled personnel in the most effective manner to expedite completion of the project). Equipment must have been operated with extreme care to avoid disturbing areas outside the construction zone, in wetlands, and streambeds, and in areas where construction had been completed. Documented examples must be cited.

E. **Use of Personnel (P5)**

A standard rating requires that personnel have been generally available, possessing the appropriate skills and in sufficient numbers to accomplish the required tasks with minimal delay to the scheduled completion of the task.

A maximum superior rating will be given only when there have been no instances when personnel with requisite skills, in sufficient numbers, have not been available for the required tasks. Additionally, the superior rating requires that no delays have been attributed to personnel aspects. Documented examples must be cited.

Equipment

A. **Condition (E1)**

A standard rating will be given when equipment, regardless of age, is in a condition to provide the necessary support in a safe, effective, and dependable manner with few breakdowns, if any. It also requires that all necessary equipment, attachments, or modifications have been made available that are necessary for effective operation and the equipment was readily available for the work at hand.

Above standard and superior ratings may be given, dependent upon the degree the equipment exceeds the criteria for standard rating.
B. Maintenance (E2)

Standard ratings will be given when equipment maintenance has been responsible only for minor project delay as a result of the unavailability. This rating also requires that safety hazards and damage to the project or equipment were not the result of improper maintenance.

The top superior rating may be awarded when no maintenance problems, breakdowns or delays as a result of inadequate maintenance have occurred during the life of the project. Extraordinary provisions for maintenance personnel should be noted. Documented examples must be cited.