

Prime Contractor Performance Report Manual

M 41-40
February 2006



**Washington State
Department of Transportation**

Contract Ad & Award Office
Transportation Building 47360
Olympia, WA 98504-7360

Americans with Disabilities Act (ADA) Information

Materials can be provided in alternative formats: large print, Braille, cassette tape, or on computer disk for people with disabilities by calling the Office of Equal Opportunity (OEO) at 360-705-7097. Persons who are deaf or hard of hearing may contact OEO through the Washington Relay Service at 7-1-1.

Title VI Notice to Public

It is the Washington State Department of Transportation's (WSDOT) policy to assure that no person shall, on the grounds of race, color, national origin or sex, as provided by Title VI of the Civil Rights Act of 1964, be excluded from participation in, be denied the benefits of, or be otherwise discriminated against under any of its federally funded programs and activities. Any person who believes his/her Title VI protection has been violated, may file a complaint with WSDOT's Office of Equal Opportunity (OEO). For Title VI complaint forms and advice, please contact OEO's Title VI Coordinator at 360-705-7098 or 509-324-6018.

To get the latest information on WSDOT administrative and engineering manuals, sign up for e-mail updates for individual manuals at: www.wsdot.wa.gov/publications/manuals

Washington State Department of Transportation
Administrative and Engineering Publications
PO Box 47304
Olympia, WA 98504-7304

Phone: 360-705-7430

E-mail: engrpubs@wsdot.wa.gov

Internet: www.wsdot.wa.gov/publications/manuals

Foreword

The Prime Contractor Performance Report Manual is prepared to give Project Office, Region, and other personnel of the Washington State Department of Transportation (WSDOT) a working reference of uniform standards and procedures for the preparation and processing of the Prime Contractor Performance Report.

The Prime Contractor Performance Report is an important part of the feedback process to the contractor about their performance on WSDOT contracts. This report is valuable during active contract administration as well as in the prequalification process.

As a contract administration tool, it provides the Project Engineer a forum to communicate performance issues being observed while there is still time to make corrections. Frequently timely feedback can help prevent small issues from developing into larger long-term issues. This real time communication is a fundamental principle of our partnering philosophy of contract administration.

The Prime Contractor Performance Evaluation is a major consideration in a contractor's ability to be prequalified. Satisfactory performance reports are necessary in order for a contractor to increase their prequalification in new work classes. Unsatisfactory performance ratings will typically result in a "freezing" of a contractor's current work class levels as well as pointed letters to the home office addressing our concerns of their performance. In extreme cases, unsatisfactory performance will result in denial of proposals and total revocation of bidding rights on WSDOT projects.

In order to be most effective as a tool in pre-qualification, this report must be an overall summary of the contractor's performance on the entire contract, and not a reflection based on a few challenging days. This report must be fair, objective, and supported by adequate documentation. As you will see from the review process outlined in this manual, the Department takes these reports very seriously.

Thank you for your continued efforts in making this a valuable tool in our project delivery process.

Kevin J. Dayton, P.E.
STATE CONSTRUCTION ENGINEER

Foreword

Contents

	<i>Page</i>
Foreword	i
<hr/>	
Introduction	1
References.....	1
Definitions.....	1
Instructions	2
<hr/>	
Prime Contractor Performance Report	5
Section I — Contractor Data	5
Section II — Project Data.....	5
Section III — Numerical Rating.....	6
Section IV — Narrative Rating	7
Section V — Authentication and Review	8
<hr/>	
Appeal of Performance Report	11
<hr/>	
Conditional Qualification	13
<hr/>	
Headquarters Review of Reports	15
<hr/>	
Public Disclosure of Performance Reports	17
<hr/>	
Appendices	
Appendix A — Rating Elements.....	A-1
Appendix B — Sample Report	B-1
Appendix C — Sample Cover Letter.....	C-1
Appendix D — Prequalification Work Classes.....	D-1

This manual has been prepared to guide Project Office, Region, and other personnel in successive steps, through the preparation of the Prime Contractor Performance Report. Attached is a sample copy of a completed report with related comments.

The rater is cautioned that this report is not a comparison of contractors, but an evaluation of the performance of a specific contractor on a specific project. It records whether a contractor typically meets or does not meet the requirements for standard performance (i.e., performance which meets the demand or need).

Diligence and objectivity in the preparation of a factual report is imperative to ensure that the report is an effective tool for measuring and recording a contractor's typical performance since the rating given will influence the firm's bidding ability. The report must be submitted in a timely fashion. Delayed reports may adversely affect a contractor's bidding ability.

All sections of the Prime Contractor's Performance Report must be neatly and legibly prepared. Prime Contractor Performance Reports are to be submitted to the Secretary, ATTN: Contractor Prequalification Office.

References

1. RCW 47.28.070
2. Chapter 468-16 WAC, Prequalification of Contractors
3. E 1012.00, "Delegation of Authority"

Definitions

1. Superior
A range of preeminent performance, which is consistent at an extremely high level. It is that performance readily recognized as exceeding well beyond that which is required or specified. A superior rating is given only when performance is exceptional and ample justification can be provided.
2. Above Standard
An above standard range of performance extends from standard to the lower range of superior. It extends beyond merely adequate or acceptable to a point verging on superior. It exceeds the quality of performance usually anticipated in this type of project work.
3. Standard
Standard performance - The expected, acceptable quality of performance considered to meet the requirements of the project documents, plans, specifications, industry standards, and as otherwise prescribed herein. Unlike the other rating categories, standard performance has no range. If that performance level has been achieved by the contractor, the rater places the markings on the scale directly in the standard category shown on the performance report form.

Introduction

4. Below Standard
Below standard performance borders on standard and has a range that extends downward to the upper limit of inadequate. It is performance that entails repetitive and frequent below standard practices or activities that should slant the rating toward inadequate.
5. Inadequate
A range of performance that fails demonstrably and completely to meet the prescribed standards or requirements. Repetitive and frequent unacceptable performance and practices should slant the rating towards the lower portion of the scale.
6. Typical Performance
Performance that is repetitive. Occurs more than once throughout the life of the contract. Not an isolated incidence. Several occurrences that are representative of performance throughout the life of the contract.

Instructions

There are four types of Prime Contractor Performance Reports.

1. The types of Prime Contractor Performance Reports are described as follows:

Final Report

A final report will be prepared immediately following the project completion date as defined in Section 1-01.3 of the Standard Specifications when all work specified in a contract is completed, when a contract is terminated, or upon physical completion when the completion date is anticipated to occur within the subsequent sixty (60) days. A final report must evaluate a contractor's performance for the duration of the project although interim reports have been prepared.

Interim reports, prepared during the life of the project, will be considered in preparing the final report. An overall summary of the contractor's total performance, considering interim reports and current data, shall be included in the narrative.

Interim/Final Report

When the project completion date will extend more than sixty (60) days beyond physical completion, a report marked "Interim/Final" will be submitted.

Rating elements which cannot be evaluated will be annotated "Interim/Final" on the space adjacent to the rating element description. A narrative need not be prepared for these elements. Upon project completion, a final report with numerical and narrative ratings prepared for those uncompleted items on the Interim/Final report must be submitted. The numerical ratings from the Interim/Final report will be repeated on the final report.

Interim Report

Prepared as follows:

- A. Annually on the anniversary of the work starting date for all projects exceeding one year's duration.
- B. When the current Project Engineer will no longer be involved with the project, providing the project has been in progress for 25 percent of the assigned working days.
- C. To include all contract working days either from the starting date of the project, or from the date of the last interim report to the beginning of a subsequent interim report, or to the project completion date. (Ref. Section 1 01.3 Standard Specifications).
- D. When a contractor's total, overall work has become less-than-standard and conditional qualification is being considered.
- E. At 60-calendar day intervals, for two consecutive 60-day periods, after a contractor has been placed in conditional qualification status; after written notification to the contractor of below standard performance by the Region Administrator.
- F. When final completion is anticipated to extend more than sixty (60) days beyond physical completion.

Under no conditions should an interim report cover a period of more than one year.

Special Report

Prepared when a nonscheduled evaluation is needed, when a report is needed to facilitate a counseling session, or at the request of the contractor. Such a report will not be referenced in the final report.

2. Final and interim reports are required for projects of a completed value of \$100,000 or more. Qualification rating information may be obtained from the Contractor Prequalification Office.
3. Under no circumstances will copies of any reports be filed in Records Control before having reviewed at Headquarters and stamped "Filed in Office of the Secretary", dated and initialed by the Prequalification Engineer.

Introduction

Prime Contractor Performance Report

The Prime Contractor Performance Report, DOT Form 421-010, consists of two pages:

1. Page 1 consists of Sections I, II, and III.
2. Page 2 consists of Sections IV and V.

Each section is described in detail below.

Section I — Contractor Data

1. Type of Report — Enter “Final,” “Interim,” “Interim/Final,” or “Special.”
2. Company Name — Enter the complete name, address, and phone number of the firm shown on the contract.
3. Superintendent — Enter name.
4. Foreman — Enter name.

Section II — Project Data

1. Region — Enter region.
2. Contract No. and FA No. — Enter applicable numbers.
3. County and SR — Enter county and sign route(s) where project is undertaken.
4. Project Title — Enter complete name of the project as shown on the contract.
5. Authorized Working Days — Enter currently assigned number of working days. (As reported in Construction Contracts Information System (CCIS))
6. Working Days Charged — Enter number of working days charged to the contract as of the date of physical completion or completion as applicable. (CCIS)
7. Work Starting Date — Enter the date of the first charged working day. (CCIS)
8. Completion Date — Enter physical completion or completion date (CCIS) as defined in Section 1.01.3 of the Standard Specifications for Interim/Final and Final reports respectively. If physical completion date is used, delete the word “Final” and write in the word “Physical.”
9. Contract Award Amount — Enter the contract amount as awarded. (CCIS)
10. Contract Completion Amount — Enter the total contract cost (CCIS) before sales tax. If total cost cannot be determined accurately when the report is prepared, compute an estimated completion cost. Designate such amount as “estimated.”
11. Work Classes Performed by Contractor — List such work using the headings used in the list of Prequalification Work Classes attached as Appendix D. Do not list work performed by subcontractors.
12. Description of Work — Provide a brief description of contract work based upon the Description of Work in the project documents.

Section III — Numerical Rating

This section contains four weighted rating areas. Each contains rating elements which are further weighted as to their importance within that area. The rater evaluates a contractor's performance in relation to each statement by:

1. Placing a "tick" mark within the adjectival rating space that best indicates the contractor's typical performance in relation to each statement. These marks should in general, be spread between the vertical spaces delineating the adjectival ratings.
2. Placing a corresponding numerical value in the "Rating" column for each rating element.
3. Total the values for each subsection and enter those totals and the grand total in the appropriate spaces.

It should be extremely rare when the numerical section of the report would show "tick" marks for all or mostly all statements in a straight vertical line. This might be appropriate however, on limited occasions when a project is very small, of short duration, and no problems had been encountered during its term.

The Prime Contractor Performance Report must provide an accurate, detailed account of a contractor's typical performance over the life of the project. Inadequate, below standard, above standard, and superior ratings will be based upon and compared with the requirements for a standard rating described below and in Appendix A. All adjectival ratings will be measured from the standard position on the rating scale on the form. They are defined as follows:

1. **Superior**
A range of preeminent performance, which is consistent at an extremely high level. It is that performance readily recognized as exceeding well beyond that which is required or specified. A superior rating is given only when performance is exceptional and ample justification can be provided.
2. **Above Standard**
An above standard range of performance extends from standard to the lower range of superior. It extends beyond merely adequate or acceptable to a point verging on superior. It exceeds the quality of performance usually anticipated in this type of project work.
3. **Standard**
Standard performance - The expected, acceptable quality of performance considered to meet the requirements of the project documents, plans, specifications, industry standards, and as otherwise prescribed herein. Unlike the other rating categories, standard performance has no range. If that performance level has been achieved by the contractor, the rater places the markings on the scale directly in the standard category shown on the performance report form.
4. **Below Standard**
Below standard performance borders on standard and has a range that extends downward to the upper limit of inadequate. It is performance that entails repetitive and frequent below standard practices or activities that should slant the rating toward inadequate.

5. Inadequate

A range of performance that fails demonstrably and completely to meet the prescribed standards or requirements. Repetitive and frequent unacceptable performance and practices should slant the rating towards the lower portion of the scale.

A range of possible numerical values for each statement's adjectival rating (superior, above standard, etc.) is shown at the top of Section III of the form.

The rater is encouraged to develop numerical ratings through use of a mathematical formula. Refer to page A-7 of Appendix A for an example.

The rater is to be guided by the Rating Element descriptions cited in Appendix A to determine the numerical rating which best fits the contractor's typical performance for each rating element statement. The rating element description statements are not intended to be all inclusive but only intended to give general guidance for rating typical performance. The requirements for a standard rating are specified under the heading of each rating element. Guidance for determining a superior rating is also stated. (See Appendix A, Rating Elements.)

Section IV — Narrative Rating

The Narrative Section is divided into three parts. These relate to general elements, below standard elements, and superior elements to be discussed by the rater which describe the contractor's typical performance on the project. The rater must be cautious to assure that good and outstanding performance is considered in determining typical performance on the same basis as poor performance. The narrative should be prepared from project records which must be referenced in the comments. If more space is needed, use additional sheets (bond paper). The rater should enter data as follows in this section:

1. General Elements

Make any general statements pertinent to the contractor's work activity, e.g., innovativeness in performing the work, manner in which the project was undertaken, explanations of differences between initial contract and final contract amounts, and any other noteworthy activities to give a picture of the contractor's effort. Remarks pertaining to above standard ratings may also be entered in this section though not required. Describe the basis for time extensions granted or changes made in the required work.

If an interim, interim/final, or special report is prepared, state the reason for its preparation (e.g., Departure of Project Engineer, Periodic Report for Multi Season Project, Conditional Status Report, etc.) in this section.

2. Below Standard Elements

Explain those rating elements that were rated below standard in the numerical section in this space. The statements must be keyed to the numerical section by identifying the rating element, e.g., Q-1 for "Adherence to Plans and Specifications." Adequate documentation must be cited to backup any below standard remark so that justification may be located readily for an appeal, litigation, investigation, revocation of prequalification, or for any other need.

References to documentation should be made as follows:

IDR 10/16/92 (Inspector's Daily Report dated October 16, 1992); Ltr 8/18/92, DOT J.D. Smith (letter dated August 18, 1992, Department of Transportation, signed by J.D. Smith); CO #23 6/5/92 (Change Order No. 23, dated June 5, 1992); or L&I Cit 6/16/92 (Labor and Industries Citation dated June 16, 1992).

Since the narrative explains typical contractor performance, below standard or superior performance must be justified by stating several, rather than a single example, and examples of such performance that apply over the duration of the project. Comments must be based upon fact rather than on unsubstantiated opinion. (See Appendix B, Sample Report.)

3. Superior Elements

Contractors must be given credit for outstanding work or performance. It is easy to observe and to document poor work and performance. By the same token, it is appropriate that special attention be given to the contractor's outstanding aspects on a job and to document them. Practicing objectivity and fairness should be the rater's maxim.

Of necessity, superior ratings also require justification. This is necessary to avoid accusations by contractors that the rater has engaged in favoritism. In some instances, contractors have been rated at the very top of the superior scale with no remarks or backup justification. Superior ratings that are not adequately justified and documented will be revised to a maximum "above standard" rating upon Headquarters review.

The Regional Administrator will be advised of such changes and copies of the revised report will be distributed to the contractor and to the region. If a contractor's performance has been superior, it should not be difficult to find something to be said that would substantiate a superior rating. The higher the rating, the greater the number of examples and the better the quality of the remarks that should be made. Be sure to state facts rather than opinions. If opinions are cited, back them up with facts from project documentation.

Section V — Authentication and Review

This section records the review and verification of the accuracy and veracity of the report by the rater, the endorser, and the reviewer. Its purpose is also to document the contractor's receipt of a copy of the report and that the contractor has been made aware of the right to appeal. It also gives assurance that the report has been reviewed for objectivity in its preparation and for the elimination of the influences of personalities. The report will be prepared, reviewed, and endorsed as follows:

1. Project Engineer

Prepare a draft Prime Contractor Performance Report based on data in project records after the appropriate completion date as defined in Section 1.01.3 of the Standard Specifications. Review the draft report with the contractor. The contractor should be encouraged to call any performance considered to be exemplary to the project engineer's attention, so that it may be verified, recorded, and if appropriate, entered in the report. Prepare and sign the finalized report and forward it to the Operations Engineer/Designee (or other individual of corresponding title).

2. Operations (Construction) Engineer/Designee
 - a. Review the report for objectivity, correctness, and documentation. Documentation will be of utmost importance in the event of an appeal or litigation. In no circumstance should the Project Engineer sign at this level as the Operations Engineer/Designee.
 - b. Provide a copy of the report to the contractor with an appropriate cover letter. (See Appendix C, Sample Cover Letter.) The report may be delivered in person, or by certified mail with return receipt.
 - c. Inform the contractor that an appeal of the rating to the Regional Administrator may be made in writing within twenty (20) calendar days from the receipt of the report. Appeals received after twenty days have elapsed will not be considered.
3. Regional Administrator — Review all contractor performance reports after endorsement by the Operations Engineer/Designee.
 - a. The Regional Administrator may modify the rating, if appropriate, on the form and/or on additional sheets. The Regional Administrator must advise the contractor of any changes that have been made. Appropriate comments will be made when a contractor's overall rating is inadequate, below standard, or superior. In no circumstance should the Regional Administrator's Designee at this level be the same as the Project Engineer or Operations Engineer/Designee. The report requires three independent reviews and signatures.
 - b. Performance reports, when completed at region level, will be submitted to the Secretary, Attn: Manager, Contractor Prequalification Office, not later than forty-five calendar days following final completion of the project.
 - c. Forward original copy to the Manager Contractor Prequalification Office. Final distribution of remaining copies, whether revised or not, will be made by Headquarters subsequent to review and approval for filing in the Office of the Secretary.

Refer to additional instructions attached to the Prime Contractor Performance Report, DOT Form 421-010.

Appeal of Performance Report

1. A contractor may appeal in writing the rating received on a performance report to the Regional Administrator within twenty (20) calendar days of its receipt. An appeal must state the specific basis for the appeal. The Regional Administrator may extend the appeal period upon the request of the contractor for an additional twenty (20) calendar days. If the report is not given to a contractor in person, the date of the certified return receipt shall be considered the date of receipt.
2. The Regional Administrator shall cause the appeal to be investigated to determine whether the facts substantiate a contractor's basis for the appeal. If the basis for appeal is justified, the report may be modified by striking those portions of the originally prepared report, and modifying the relevant numerical section and changing the narrative as appropriate on separate sheets. The Regional Administrator's response to the contractor shall be made by certified mail, return receipt requested, within twenty (20) days of the receipt of the appeal. Forward a copy of the appeal and response including copies of all data used to substantiate any action taken with regard to the contractor's appeal to the Secretary, Attn: Contractor Prequalification Office.
3. The contractor may further appeal to the Secretary of Transportation in writing setting forth the specific basis for the appeal. The contractor's appeal shall be made within ten (10) calendar days of the date of receipt of the Regional Administrator's response. When making the appeal the contractor may also present information in person. The Secretary will consider the appeal and respond to it by certified mail within sixty (60) calendar days of receipt of the appeal. This determination shall be the final administrative act of the department.
4. If the Secretary modifies a report that has not been previously appealed, the contractor may appeal the modified report. The contractor's appeal shall be made within ten (10) calendar days of the date of receipt of the modified report and in the manner set forth in section (3) above. The Secretary will consider the appeal and respond to it by certified mail within sixty (60) calendar days of its receipt. This determination will also be considered the final administrative act of the department.
5. A prime contractor performance report shall be considered a preliminary paper until all reviews and appeals have been accomplished and it shall have been stamped and initialed as having been "filed in the Office of the Secretary."

Appeal of Performance Report

Conditional Qualification

Conditional qualification of a contractor may be affected when the overall performance of that contractor has become less-than-standard and upon recommendation of the Regional Administrator to the Secretary. A contractor placed in conditional status may be restricted in bidding ability for highway projects or other sanctions may be placed in effect.

A contractor may be placed in Conditional Qualification status under the following conditions:

1. When an overall performance rating of less than 100 has been given on a final performance report.
2. When a firm's performance is reported as below standard in either "quality of work" or "progress of work" on an interim report for a current project, and the Region Administrator has requested the Director Environmental and Engineering Programs to place the firm in conditional status. The Director Environmental and Engineering Programs will advise the contracting firm of its having been placed in conditional status and the consequences of being placed in such status. The contractor will be advised of the preparation of interim performance reports while in that status.

Interim Performance Reports will be prepared at sixty-day (60) calendar intervals to record a contractor's performance while in conditional qualification status. If overall performance has not been brought to standard after two consecutive 60-day interim reports have been prepared, no further interim reports need be prepared unless specifically requested by the contractor or other circumstances require their preparation. In the event the contractor request completion of an interim report the date of the report shall be the date of the contractor's request.

Conditional Qualification

Headquarters Review of Reports

All prime contractor performance reports will be reviewed by the Office of the Secretary for completeness, objectivity, and substantiation of numerical ratings. The Secretary may modify the report as deemed appropriate as a result of the review. The rated contractor and the Region Administrator shall be given a copy of the modified report. An analysis of reports will be made at Headquarters to determine trends in ratings and other pertinent factors relating to performance reports. Unsupported below standard or superior ratings will be appropriately modified. Region Administrators will be advised of the findings, discrepancies, and suggestions for improving the reporting process when appropriate.

Headquarters Review of Reports

Public Disclosure of Performance Reports

Prime contractor performance reports, shall be considered a preliminary draft until all reviews and appeals, have been accomplished and the report has been stamped and initialed as “filed in the Office of the Secretary.” Once the report is finalized in this manner, the report, appeals, correspondence and other related data may be subject to public disclosure. Performance reports and related data will be released to individuals, other than the rated contractor, only by the Public Disclosure Office at Headquarters.

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.

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.

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.

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 [(days overrun divided by authorized days times 4 times (standard rating-lowest possible rating)] = rating for element =
 Example $18 - [3/100 \times 4 (18-9)] = 16.92$
 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 [(days under run divided by authorized days times 4 times (standard rating-lowest possible rating)] = rating for element =
 Example $18 + [3/100 \times 4 \times (18-9)] = 19.08$
 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.

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.



Prime Contractor Performance Report

Section I Contractor Data		Section II Project Data			
Report Type <input type="checkbox"/> Interim <input checked="" type="checkbox"/> Final <input type="checkbox"/> Special	Contractor No. (HQ Use Only) 000169	Region NWR	Contract No. 996961 Federal-Aid No. STP-0099 (063)	County King	SR 99
Company Name Ken's Super Duper Construction		Project Title Super Duper Example Grading & Paving Project			
Address POB 47360 Olympia WA 98504-7360		Phone No. (360) 705 7017	Auth. Working Days 91	Working Days Charged 85	Work Starting Date 5/28/2004 Completion Date 9/28/2004
Superintendent Super Duper	Foreman Duper	Contract Award Amount \$727,678.22		Contract Completion Amount \$720,901.10	
Work Class Performed by Contractor: Cl 2 Production and Placing crushed materials Cl 4 Asphalt concrete paving, Cl 12 pavement marking, Cl 17, Cement curbs and gutters and Cl 53 Traffic Control					
Description of Work: Improves 29 intersection corners on SR 99, MP 1.08 to MP 1.90, in Superville. Remove existing sidewalk, ramps, curbs, and gutters, obstructions, crosswalks, and constructing cement sidewalk, commercial HMA sidewalks, ramps, curbs and gutter, detectable warning pattern devices, adj valve and junction boxes and other work					

Section III Numerical Rating									
A Administration / Management / Supervision	* Inadequate	* Below Standard	Standard	Above Standard	* Superior	Rating			
1. Supervision and decision making	2	3.8	4.5	!	5.7	6.4	4.7		
2. Coordination and communication with subcontractors and suppliers	2	2.2	3.2		4.3	!	4.8	4.6	
3. Submission of documents and reports	1	!	1.8	2.7	3.5	4	!	1.3	
4. Adequacy and timeliness of progress schedules	1	!	1.8	2.7	3.5	4	!	1.3	
5. Public safety and traffic control	2	2.2	3.2	4.4	!	4.8	!	4.6	
6. Compliance with laws, ordinances and regulations	1	1.2	1.9					1.9	
7. Maintenance of employee safety standards	1	1.2	1.9	!	2.6	4	!	2.5	
8. Coordination and cooperation with department personnel on project matters	1	1.2	1.9	2.6	!	4	!	2.7	
9. Compliance with EEO, affirmative action, and MBE/DBE/WBE requirements	1	1.2	1.9	2.6	!	4	!	2.7	
10. Relations with the general public, other agencies and adjacent contractors	1	1.4	2.1	!	2.8	3	!	2.5	
Total	13	18	26	!	32	39	!	28.8	
Q Quality of Work									
1. Adherence to plans and specifications	10	14	20	26	!	30	!	28.0	
2. Standards of Workmanship	8	11.5	16	21.5	!	24	!	22.0	
3. Completion of final (punch list) work	2	2.5	4	!	5.5	6	!	5.0	
Total	20	28	40	53	!	60	!	55.0	
P Progress of Work									
1. Completion of project within allotted time	9	12.5	18	!	24	27	!	20.3	
2. Scheduling and execution of schedule	3	4.6	6.6	!	8.8	9.9	!	7.6	
3. Delivery of materials and supplies	1	1.3	1.8	!	2.4	2.7	!	2.0	
4. Operation and use of equipment	1	1.3	1.8	!	2.4	2.7	!	2.0	
5. Use of personnel	1	1.3	1.8	!	2.4	2.7	!	2.0	
Total	15	21	30	!	40	45	!	33.9	
E Equipment									
1. Condition	1	1.5	2	2.5	3	!	!	2.5	
2. Maintenance	1	1.5	2	2.5	3	!	!	2.5	
Total	2	3	4	5	6	!	!	5.0	
Grand Total (A+Q+P+E)	Performance Rating	50	70	100	!	130	150	!	122.9
Range		(50-69)	(70-99.9)	(100)	(100.1-130)	(130.1-150)			

* Explain any inadequate, Below Standard, and Superior ratings in Narrative Section (IV)

DOT Form 421-010 EF Page 1 of 2
Revised 11/03

Distribution: Original - Prequalification Branch
Copy - Region Administrator
Copy - Project Engineer
Copy - Contractor

Performance Score

HQ Use Only

Contract No. 996961

Section IV Narrative Rating

A General Elements Enter comments that describe the contractor's overall performance and provide background data on the project.

Ken's Super Duper Construction started work without delay doing high quality work with a cooperative attitude and a committent to complete the job on time. There wa heavy, sporadic traffic and required many changes in work sequencing and traffic control. (P2) Although the timeliness and quality of the schedule was below standard , the contract was completed early. The difference in the award and completion amount was the result of good personnel and equipment management. The overall project was completed in an above standard manner.

B Below Standard Elements Enter comments here to substantiate below standard ratings. (See Instructions)

(A3) The contractor was slow in submitting its paperwork and some documents were returned for correction. Manufacturer's cerand material approvals required several reminders. (See ltrs by P.A. Engineer 6/2/04, 6/10/04 and 7/12/04. IDRs J. A. Inspector dated 5/29/04, 5/30/04 6/7/04, 7/7/04 and 7/11/04.) (A4) A mont and half was required to get and acceptable initial CPM. (Ltrs P.A. Engineer 6/1/04 and 7/12/04.)

C Superior Elements Enter comments here to substantiate superior ratings. (See Instructions)

(A2) The striping subcontractor initially posed many problems as result of inexperience. Through Ken's Super Duper's expert expert supervision and assistance, the subcontractor improved in their specialty and did not delay completion. (PED 9/18/04, IDRs 8/31/04 & 9/15/04).
(A5)
The contractor conducted weekly safety meeting and showed great concern for motorist safety by outstanding maintenance of traffic control devices and placement of personnel. There were no accidents or near accidents on this project. (PED 6/10, 6/17, & 7/2/04

Section V Authentication and Review

I certify that I have objectively prepared this report basing it upon data contained in available project records and discussed the report with the contractor.

at the work site 710/01/04

PE Signature

Project Engineer

10/01/04

Date

I have reviewed this report for objectivity and accuracy. I have given a copy of this report to the rated contractor and I have advised the contractor that any appeal must be made within twenty (20) calendar days.

Given to Ken Duper 10/05/04

Date Copy Given / Mailed to Contractor

Operations Engineer's signature

Operations Engineer or Designee

10/05/04

Date

I have reviewed this Contractor Performance Report and make the following comments and changes as cited herein or on attached sheets.

RA's signature

Region Administrator

10/26/04

Date

(A8) Outstanding communication efforts by the foreman to coordinate staking and inspection activities (IDRs 6/19, 6/23/6/25, & 6/30/04)

(A9) The DBE goal was \$122,600 and was met with one subcontractor for \$138,300. Final DBE participation exceeded the dollar value of the goal. EEO/workforce compliance was achieved and more than 125% of the required training hours were attained.

(Q1) Numerous changes were made to the original plans. One involved a potentially hazardous unstable slope, which if not corrected immediately, would entail costly repair. Ken's Super Duper Construction quickly agreed to a change order to expedite the work at the lowest possible cost. (CO #1 7/20/04).

The contractor consistently followed the plans and specifications. No deviations were noted in the project records.

(Q2) High quality workmanship was shown in the smoothness of pavement, the appearance of its edges and shoulders and adherence to mix design, (PED 9/18/04, IDRs 9/21 & 9/23/04).



Northwest Region
POB 00000
Seattle WA 98500-0000

SAMPLE COVER LETTER

October 5, 2004

Ken Duper, President
Ken's Super Duper Construction
PO Box 47360
Olympia WA 98504-7360

Re: Prime Contractor Performance Report
Contract 996961 SR 99
Super Duper Example Grading & Paving Project

Dear Mr. Duper:

Enclosed is a copy of the Prime Contractor Performance Report for the referenced Project. A copy of this report was also sent to you by facsimile today.

This report will be used as a part of the documentation for maintaining your qualifications for bidding on contracts let by this department.

Since this report may affect your firm's future bidding ability, you are advised that you may appeal the rating to the Region Administrator under the provisions of WAC 468-16-150.

Any such appeal must be made in writing within 20 calendar days of the receipt of this report. The appeal, if made, must set forth the specific basis upon which it has been made.

Sincerely,

John O. Engineer

John O. Engineer, P.E.
Operations Engineer

JOE:kw
Attachment

Class 1 Clearing, Grubbing, Grading, and Draining

Removal of tree stumps, shrubs, modification of the ground surface by cuts and fills, excavating of earth materials, and the placement of drainage structures.

Class 2 Production and Placing of Crushed Materials

Production and placing crushed surfacing materials and gravel.

Class 3 Bituminous Surface Treatment

Placing of crushed materials with asphaltic application.

Class 4 Asphalt Concrete Paving

Production and placing Asphalt Concrete Plant Mix Pavement.

Class 5 Cement Concrete Paving

Production and placing cement concrete pavement.

Class 6 Bridges and Structures

Construction of bridges, walls, and other major structures of timber, steel, and concrete.

Class 7 Buildings

Construction of buildings and related structures within the right-of-way and major reconstruction and remodeling of such buildings.

Class 8 Painting

Painting bridges, buildings, and related structures.

Class 9 Traffic Signals

Installation of traffic signal and control systems.

Class 10 Structural Tile Cleaning

Cleaning tunnels, large buildings, structures, and storage tanks.

Class 11 Guardrail

Construction of a rail secured to uprights and erected as a barrier between or beside lanes of a highway.

Class 12 Pavement Marking (Excluding Painting)

Thermoplastic markings, stripes, bars, symbols, etc. Traffic buttons, lane markers, guide posts.

Class 13 Demolition

Removal of timber, steel, and concrete structures and obstructions.

Class 14 Drilling and Blasting

Controlled blasting of rock and obstructions by means of explosives.

Class 15 Sewers and Water Mains

Draining, pipe jacking, water systems, pumping stations, storm drainage systems, sewer rehabilitation, sewage pumping stations, pressurized lines.

Class 16 Illumination and General Electric

Highway illumination, navigational lighting, wiring, junction boxes, conduit installation.

Class 17 Cement Concrete Curb and Gutter

Sidewalks, spillways, driveways, monument cases and covers, right of way markers, traffic curbs, and gutters.

Class 18 Asphalt Concrete Curb and Gutter

Sidewalks, spillways, driveways, monument cases and covers, right of way markers, traffic curbs, and gutters.

Class 19 Riprap and Rock Walls

Mortar, rubble, and masonry walls, rock retaining walls, and placing of large broken stone on earth surfaces for protection against the action of water.

Class 20 Concrete Structures Except Bridges

Cast-in-place median barrier, prestressing, post-tensioned structures, footings, prefabricated panels and walls, retaining walls and ramps, foundations, rock bolts, and concrete slope protection.

Class 21 Tunnels and Shaft Excavation

Tunnel excavation, rock tunneling, and soft-bore tunneling.

Class 22 Piledriving

Driving concrete, steel, and timber piles.

Class 23 Concrete Surface Treatment

Exposed aggregate, fractured-fin and rope textured finishes, waterproofing concrete surfaces (clear or pigmented sealer)

Class 24 Fencing

Wire and metal fencing, glare screens.

Class 25 Bridge Deck Repair

Bridge expansion joint repair and modification, bridge deck resurfacing and repair.

Class 26 Deck Seal

Waterproof membrane.

Class 27 Signing

Sign structures and signs.

Class 28 Not Used

Class 29 Slurry Diaphragm and Cut-Off Walls

Slurry excavation and the construction of structural concrete walls and slurry cutoff walls.

Class 30 Surveying

Highway construction surveying.

Class 31 Water Distribution and Irrigation

Irrigation systems and heavy duty water distribution.

Class 32 Landscaping

Landscaping irrigation, planting, sodding, seeding, fertilizing, mulching, herbicide application, insecticide application, weed control, mowing, liming, soil binder, topsoil.

Class 33 Engineering

Work other than surveying, including engineering calculations, drawing, and other related work for highway construction.

Class 34 Erosion Control

Seeding, fertilizing, mulching, slope protection, topsoil application, hydroseeding, soil stabilization, soil sampling.

Appendix D

Class 35 Precast Median Barrier

A concrete barrier that is cast and cured in other than its final position used to divide the median of two adjacent highways or temporarily placed to divert traffic in construction zones.

Class 36 Permanent Tie-Back Anchor

Installation of permanent rock and soil anchors, soldier piles, and timber lagging. Soldier pile tieback anchor wall construction.

Class 37 Impact Attenuators

Installation of approved protective systems filled with sand, water, foam, or other substances which prevent errant vehicles from impacting roadside hazards.

Class 38 Paint Striping

Painting bars, letters, symbols, and striping.

Class 39 Wire Mesh Slope Protection

The installation of a zinc-coated steel wire mesh anchored by wire rope and reinforced concrete posts or anchor rods. Used for dampening the effects of rolling rocks onto the highway. Slope sealing, horizontal drains, rock dowels, and rock bolts for slope stabilization.

Class 40 Gabion and Gabion Construction

Construction of walls made with containers of galvanized steel hexagonal wire mesh and filled with stone.

Class 41 Intelligent Transportation Systems (ITS)

Traffic Sensor Systems, Highway Advisory Radios, Environmental Sensing Stations, Variable Message Signs, Non fiber optic based closed circuit television and video systems

Class 42 Electronics-Fiber Optic Based Communications Systems

Design and installation of fiber optic based communication systems.

Class 43 Mechanical

Plumbing work and the installation of heating or air conditioning units.

Class 44 Asbestos Abatement

Asbestos abatement (L&I certified workers).

Class 45 Hazardous Waste Removal

The containment, cleanup, and disposal of toxic materials. Companies seeking this classification shall have full-time personnel with current hazardous waste training (certification).

Class 46 Concrete Restoration

Pavement subseal, cement concrete repair, epoxy coatings, epoxy repair, masonry repair, masonry cleaning, special coatings, epoxy injection, gunite, shotcrete grouting, pavement jacking, gunite repair, and pressure grouting.

Class 47 Concrete Sawing, Coring, and Grooving

Concrete sawing, concrete planning and grooving, bump grinding, joint repair, concrete coring, and rumble strip.

Class 48 Dredging

Excavating underwater materials.

Class 49 Marine Work

Underwater surveillance, testing, repair, subaquatic construction.

Class 50 Ground Modification

Pressure Grouting, blast densification, stone column, jet grouting, compaction, dynamic compaction, soil mixing, gravel drain.

Class 51 Well Drilling

Drilling wells, installing pipe casing, and pumping stations.

Class 52 Sewage Disposal

Hauling and disposing liquid and solid wastes.

Class 53 Traffic Control

Providing piloted traffic control, traffic control labor, and maintenance and protection of traffic.

Class 54 Railroad Construction

Construction of railroad subgrade, placing of ballast, ties, and track and other items related to railroad work.

Class 55 Steel Fabrication

Welding of steel members, heat straightening steel.

Appendix D

Class 56 Street Cleaning

Street sweeping with self-propelled sweeping equipment.

Class 57 Materials Transporting

Truck hauling.

Class 58 Sand Blasting and Steam Cleaning

Steam cleaning, sand blasting, shot blasting, and water blasting.