

## PRIME CONTRACTOR PERFORMANCE REPORT INSTRUCTIONS

The Prime Contractor Performance Report, DOT Form 421-010, consists of two parts — page 1 and page 2. Page 1 consists of Sections I, II, and III. Page 2 consists of Sections IV and V. Please note that both pages are four-part forms. After completing all sections, forward the appropriate copies as indicated on the distribution list.

### Section I CONTRACTOR DATA

This section denotes the type report being submitted and provides data relating to the contracting firm, its status and supervisors. Interim reports must be submitted annually on the anniversary of the project start date for all projects exceeding a duration of one year.

### Section II PROJECT DATA

This section provides basic project data to assist those reviewing or otherwise using the report to place this evaluation in proper perspective with regard to project size, costs, complexity, and completion time. Under Work Class Performed by Contractor, list that work using the general headings in the description of project documents (e.g., preparation, grading, structure, asphalt concrete paving, etc.)

### Section III NUMERICAL RATING

This section contains the four weighted rating areas of (A) Administration/Management and Supervision, (Q) Quality of Work, (P) Progress of Work, and (E) Equipment. Each area contains statements which are weighted as to their importance within the rating area. The rater must consider the contractor's merits in relation to each statement by checking the adjectival rating space that best describes the contractor's typical performance for each statement and by assigning an appropriate numerical score in the Rating column, e.g., Supervision and decision making — Inadeq. 2-3.7; Below Sta. 3.8-4.4; Standard 4.5; Above Sta. 4.6-5.6; Superior 5.7-6.4.\* The rater must enter the chosen score for each statement under the heading Rating, total each area and enter the grand total of all scores. The rater must be as objective as possible. There is only one value for the rating of standard. Standard may be equated with satisfactory. Standard is defined as the performance sufficient to meet the demand, need, or requirement. Those statements warranting an inadequate, below standard, or superior rating require justification in the narrative section of the report. If more space is needed, use additional blank sheets.

\*Shaded areas indicate the range of inadequate and superior ratings. Unshaded areas indicate below standard and above standard ranges, which are separated by a line representing a standard rating.

### Section IV NARRATIVE RATING

This section is divided into three parts.

- A General Elements — Make any general statements pertinent to reporting the contractor's work activity, e.g., innovativeness in performing the work and any other noteworthy contractor activities.
- B Below Standard Elements — List any actions or activities which substantiate a numerical rating for each statement falling within the range of inadequate or below standard. Each comment must be correlated to identify the rating area and statement number. Each comment must be related to substantiating data reported during the life of the project in the Inspector's Daily Report, Project Engineer's Diary, correspondence, or other pertinent records. This data must be available as a part of the administrative record in the event of hearings or litigation.
- C Superior Elements — Make supportive comments for superior ratings. Substantiation by recorded data should be available in the form of reports, letters, and other documents if not included in diaries and journals.

Comments made in response to B and C above should make reference to documented activities that describe the typical performance of the contractor.

### Section V REVIEW AND AUTHENTICATION

This section provides for the recording of the review and authentication of the report by the rater, endorser, and reviewer. Its purpose is to verify that the contractor has been given a copy of the report and that the contractor is aware of his right to appeal. It also serves the purpose of verifying that the report has been reviewed for the purposes of assuring objectivity in its preparation and for the elimination of the influences of personalities. The report will be reviewed by the District Administrator. The District Administrator will enter narrative comments thereon only when the contractor's performance has been rated below standard, inadequate, or superior. The completed report is to be forwarded to the Secretary (Attn: Manager, Precontract Administration) to arrive not later than 45 calendar days after project completion.

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complete their work, extension of time requests, or any other thing or document that might delay processing the final estimate.

### **1-2.8E Statement of Materials and Labor, Form FHWA-47**

This report shall be prepared in accordance with the requirements and instructions contained on the form and in the "Required Contract Provisions Federal-aid Construction Contracts" on Federally financed projects over \$1,000,000 in contract cost. Secondary (S, BRS, TQS, SG, ES, ESG, RSG, OS, SOS, SOSG, RRO, RRP, LSF, LSZ or RS) projects are excluded.

When this report is a requirement of the contract, the Project Engineer will obtain it from the Contractor, complete Section A, and submit it directly to the Olympia FHWA office.

It is mandatory that the materials be reported in the units shown, i.e., tonnes, meters, etc. Materials not listed on the report form need not be reported.

In the event that the monetary total of labor plus the material and supplies exceeds the amount of the final estimate, the transmittal letter must state that this fact has been verified by the Contractor, and is not the result of errors in calculation.

### **1-2.8F Contractor's Performance Reports**

The procedures for completing and submitting the Prime Contractor Performance Report, Form 421-010, are described in WAC 468-16-150 and WAC 468-16-160 and the *Prime Contractors Performance Report Manual*, M 41-40.

At the preconstruction meeting and discussions, the Contractor shall designate, in writing, the individual who will be representing the Contractor in meetings with the Regional Operations/Construction Engineer regarding interim and final Contractor performance reports.

Should the Contractor's performance on a current contract become typically below standard, the Project Engineer shall immediately notify the Regional Operations/Construction Engineer of the facts of the matter. The Regional Operations/Construction Engineer shall consult directly with the Chief Construction Engineer for guidance.

When completing Section III of the form, the rater will use the following statements when evaluating the Contractor's performance with regards to each numbered rating element:

### **Administration/Management/Supervision**

1. **Supervision and Decision Making** — The ability of supervisors to make maximum utilization of personnel, equipment, and materials. The ability to make effective decisions for the execution of the project and exercise effective coordination between the various working elements on the project. Providing sufficient on-site supervisory presence. The Contractor's effectiveness in reducing project costs.
2. **Coordination and Communication With Subcontractors and Suppliers** — The Contractor's ability to properly schedule the delivery of supplies and coordinate the various activities and those of the subcontractors and suppliers to produce the smooth flow of work and the elimination of delay in completing the contract. The ability of the Prime Contractor to minimize conflict between working elements of the project is also considered.
3. **Submission of Documents and Reports** — The Contractor's prompt and accurate submission of change orders, certified payrolls, wage affidavits, final project documents, and other requested paperwork.
4. **Adequacy and Timeliness of Progress Schedule** — The suitability of progress schedule submitted by the Contractor at the beginning and throughout the duration of the project and the suitability of any needed supplemental progress schedules during the performance of the work. The timeliness in which these schedules were submitted.
5. **Public Safety and Traffic Control** — Adequacy of the Contractor's traffic control plan and adherence to the plan. Attention should be given to the manner of performance of traffic control personnel. The utilization and placement of personnel, equipment, and devices to enhance public safety is considered.
6. **Compliance With Laws, Ordinances, and Regulations** — Under this element, a rating is given to reflect the Contractor's adherence to laws, ordinances, regulations, rules, and any court orders affecting the project. Among applicable examples, but not limited thereto, are load limits, road weight restrictions, covered truck bed requirements, environmental regulations, and prevailing wage rules.
7. **Maintenance of Employee Safety Standards** — Compliance with the Occupational Safety and Health Act and the Washington Safety and Health Act must be considered in this rating area. Additionally, the safety enhancement activities of the Contractor should also be reflected upon under this element. The personal attention given by supervisory personnel to safety should be rated.
8. **Coordination and Cooperation With Department Personnel on Project Matters** — This element relates to the

## Administration

manner in which the Contractor reacts to comments, suggestions, and instructions; particularly those relating to the Contractor's furthering timely completion and enhancing the quality of the project. Also, consider the Contractor's coordinating effort for the smooth flow of activities and information between WSDOT and the Contractor.

9. Compliance With EEO, Affirmative Action Requirements, and MBE/DBE/WBE Requirements — Rate the complete and timely manner in which the Contractor complied with the laws, rules and regulation (State and/or Federal), and the contract requirements for EEO, Affirmative Action, and MBE/DBE/WBE.

10. Public Relations With the General Public, Other Agencies, and Adjacent Contractors — Rate the Contractor's actions which promoted smooth working relationship with adjacent contractors, goodwill with public and private agencies, and the general public, by providing efficient services, adherence to rules, and courteous interactions.

### Quality of Work

1. Adherence to Plans and Specifications — Rate the degree to which the Contractor complied with the plans and specifications throughout the life of the project.
2. Standards of Workmanship — Rate the impact made by supervisory personnel on the quality of the project by their instructions and standards set by management. The quality of work exhibited by workers is also considered.
3. Completion of Final (punch-list) Work — Rate the Contractor's diligence and promptness in completing the cleanup and other work after major phases of the project have been completed.

### Progress of the Work

1. Completion of Project Within Allotted Time — The Contractor's effort to complete the project as scheduled, considering authorized time extensions and stop work orders. Any special effort or lack thereof in the Contractor's making up lost time.
2. Scheduling and Execution of Schedule — The manner in which the Contractor scheduled the work and how effectively the Contractor has adhered to the schedule throughout the life of the project.
3. Delivery of Materials and Supplies — The timely delivery of materials and supplies and coordination of equipment needed for their installation and utilization to preclude delay in project progress.
4. Operation and Use of Equipment — The use of the proper equipment for the assigned task, e.g., the proper

haul equipment for the size of project and haul distance. Consider safe operation and potential or actual damage to the project by the manner of the operation.

5. Use of Personnel — The use of the proper personnel to accomplish the required task, e.g., personnel with requisite skills and in sufficient numbers to preclude delays in project completion.

### Equipment

1. Condition — The state of, and suitability of, the equipment to efficiently perform the work required by the contract. Consider whether the equipment has appropriate attachments.
2. Maintenance — The Contractor's maintenance efforts. Evaluate the degree to which the equipment had breakdowns while in operation on the project. Evaluate the detrimental effects of inadequate maintenance on the finished product, e.g., oil leaks on ACP, etc.

## 1-3 Estimates and Records

### 1-3.1 Estimates

#### 1-3.1A General

Payment for work performed by the Contractor and for materials on hand shall be made in accordance with Section 1-09 of the *Standard Specifications*. To facilitate payments to the Contractor and ensure proper documentation, WSDOT utilizes an automated computer system to record project progress in terms of bid item quantity accomplishment and to actually pay the Contractor for work performed or materials on hand. The latest version of the Contract Administration and Payment System (CAPS), installed in 1987, completes an electronic tie between each project office data terminal and the mainframe computer. This provides high visibility to a large volume of corporate data and allows for the following procedures:

1. Contract Initiation — An Olympia Service Center action whereby new contracts are created and stored in a computer file. The information consists of the names of the Contractor and the Project Engineer, project descriptive data, accounting identifier numbers, preliminary estimate, proposal date, bid opening date, award date, execution date, accounting groups and distributions, and an electronic ledger.
2. Project Ledger — An updating process by the Project Office which keeps track of work performed on the contract as it happens.
3. Estimate Payments — A Project Office action whereby progress estimates and Regional final estimates are processed directly from the Project Office. The Olympia Service Center final estimate process activates



# Prime Contractor Performance Report

Section I Contractor Data				Section II Project Data			
Report type <input type="checkbox"/> Interim <input type="checkbox"/> Final <input type="checkbox"/> Special	Contractor no. (HQ use only)	District	Contract no.  FA no.	County	SR		
Company Name			Project title				
Address		Phone no.	Authorized working days	Working days charged	Work starting date	Completion date	
Superintendent		Foreman	Contract award amount		Contract completion amount		
Work class performed by contractor:							
Description of work:							

Section III Numerical Rating						
	*Inadequate	*Below Standard		Above Standard	*Superior	Rating
<b>A ADMINISTRATION / MANAGEMENT / SUPERVISION</b>						
1. Supervision and decision making	2	3.8		5.6	6.4	
2. Coordination and communication with subcontractors and suppliers	2	2.2		4.2	4.8	
3. Submission of documents and reports	1	1.8		3.5	4.0	
4. Adequacy and timeliness of progress schedules	1	1.8		3.5	4.0	
5. Public safety and traffic control	2	2.2		4.4	4.8	
6. Compliance with laws, ordinances and regulations	1	1.2		2.5	3.0	
7. Maintenance of employee safety standards	1	1.2		2.5	3.0	
8. Coordination and cooperation with department personnel on project matters	1	1.2		2.5	3.0	
9. Compliance with EEO, affirmative action requirements and MBE/DBE/WBE requirements	1	1.2		2.5	3.0	
10. Public relations with the general public, other agencies and adjacent contractors	1	1.4		2.8	3.0	
<b>Total</b>	<b>13</b>	<b>18</b>		<b>34</b>	<b>39</b>	
<b>Q QUALITY OF WORK</b>						
1. Adherence to plans and specifications	10	14.0		26	30	
2. Standards of workmanship	8	11.5		21	24	
3. Completion of final (punch list) work	2	2.5		5	6	
<b>Total</b>	<b>20</b>	<b>28</b>		<b>52</b>	<b>60</b>	
<b>P PROGRESS OF WORK</b>						
1. Completion of project within allotted time	9	12.5		23.5	27.0	
2. Scheduling and execution of schedule	3	4.6		8.6	9.9	
3. Delivery of materials and supplies	1	1.3		2.3	2.7	
4. Operation and use of equipment	1	1.3		2.3	2.7	
5. Use of personnel	1	1.3		2.3	2.7	
<b>Total</b>	<b>15</b>	<b>21</b>		<b>39</b>	<b>46</b>	
<b>E EQUIPMENT</b>						
1. Condition	1	1.5		2.5	3.0	
2. Maintenance	1	1.5		2.5	3.0	
<b>Total</b>	<b>2</b>	<b>3</b>		<b>5</b>	<b>6</b>	
<b>Grand Total (A+Q+P+E)</b>	<b>50</b>	<b>70</b>		<b>130</b>	<b>150</b>	
RANGE (50-69) (70-99.9) (100) (100.1-130) (130.1-150)						

\* Explain any inadequate, below standard, and superior ratings in narrative section.

PERFORMANCE SCORE



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DISTRIBUTION: White — Precontract Administration  
Canary — District Administrator  
Goldenrod — Project Engineer  
Pink — Contractor

Contract No. \_\_\_\_\_

**SECTION IV NARRATIVE RATING**

**A GENERAL ELEMENTS** Enter comments which generally describe the contractor's overall performance and provide background data on the project.

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\_\_\_\_\_  
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\_\_\_\_\_  
\_\_\_\_\_

**B BELOW STANDARD ELEMENTS** Enter comments here to substantiate below standard ratings. (See instructions)

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\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**C SUPERIOR ELEMENTS** Enter comments here to substantiate superior ratings. (See instructions)

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\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**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.

\_\_\_\_\_  
PROJECT ENGINEER

\_\_\_\_\_  
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 20 calendar days.

\_\_\_\_\_  
DATE COPY GIVEN/MAILED TO CONTRACTOR

\_\_\_\_\_  
OPERATIONS ENGINEER OR DESIGNEE

\_\_\_\_\_  
DATE

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

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
DISTRICT ADMINISTRATOR

\_\_\_\_\_  
DATE

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DISTRIBUTION:

White -- Precontract Admin.  
Canary -- District Administrator

Goldenrod -- Project Engineer  
Pink -- Contractor