

INSTRUCTIONS AND GUIDELINES FOR CONTRACTOR'S PERFORMANCE REPORT*

POLICY STATEMENT:

The Kentucky Transportation Cabinet requires that a Contractor's Performance Report form be completed for every Contractor on every project. Evaluations shall be performed in an objective, consistent and well-documented manner. The Contractor's average performance rating (weighted by dollar amount of work performed) for the previous year will be used in the calculation of the Contractor's Maximum Eligibility Amount. Utilizing the scores from the Contractor's Performance Report will provide incentive for the Contractor to consistently perform at a high level of quality.

SCOPE:

Every Contractor or Subcontractor shall be furnished a copy of the completed Contractor's Performance Report for every project for which work has been performed. In the event of multi-year projects, evaluations will be completed at the end of each year, as well as at the end of the project and a copy will be sent to the Contractor.

For projects completed within one calendar year, a Contractor's Performance Report shall be completed for every Contractor and Subcontractor who has performed work on the project. For multi-year projects a Contractor's Performance Report shall be submitted for contractors who have performed a substantial amount of work within the previous year. Each performance evaluation will represent the quality of the Contractor's performance during the previous time period.

If a Subcontractor performs only a minimal amount of work within a calendar year, it is not necessary to complete a Contractor's Performance Report for that given year.

RESPONSIBILITIES:

The Contractor can obtain a blank copy of the Contractor's Performance Report (TC-14-19) at <http://dot/webpages/person/pdom/omb/forms/tc14.htm>. This form will provide the Contractor an example of what he/she is being evaluated on during the project.

A Contractor's Performance Report will be completed at the completion of every project once all work has been completed (including punch lists, final clean up, etc.), to reflect the quality of the Contractor's performance on the given project.

For projects spanning more than one calendar year, the Section Engineer must complete and submit Contractor Performance Reports for all current projects by December 31st of each calendar year.

Once an evaluation has been completed, the Section Engineer will sign and date the evaluation and forward to their TEBM for Project Delivery and Preservation for review and concurrence before submitting it to the Chief District Engineer (CDE). The CDE will sign and date the completed evaluation. After the Section Engineer and the CDE have signed the completed evaluation, it shall be sent to the Contractor with an appeal application.

COMPLETING THE CONTRACTOR'S PERFORMANCE REPORT:

Use form TC14-19 under the Division of Construction Procurement at the following link: <http://dot/webpages/person/pdom/omb/forms/tc14.htm>.

Contract Information: The Section Engineer shall complete all contract specific information so the evaluation data may be properly stored. The appropriate box as to the Prime Contractor or Subcontractor should also be marked.

Evaluation Items: The box indicating the Section Engineer is completing the form should be marked. No ratings should be entered in the CDE column unless an appeal has been submitted.

The evaluation portion of the Contractor's Performance Report consists of two sections. The first deals with the performance issues, while the second addresses project management and administration topics. The Section Engineer shall complete both sections for all evaluations and all questions shall be completed or marked "0" if the topic is not relevant or applicable.

Each question consists of a topic, five (5) rating scores or descriptors and a section for written comments. The Section Engineer should choose the rating that best fits the Contractor's performance with respect to the topic. The attached Criteria for Evaluation will provide guidance to the Section Engineer in determining which Rating is most appropriate for each segment. Ratings of "1" or "5" require supporting comments, but other comments are always encouraged.

Signatures and Review: The completed form should be signed and dated by the Section Engineer and forwarded to the TEBM for Project Delivery and Preservation for review and concurrence, before it is forwarded to the CDE.

TIMELINESS:

For "end-of-project" evaluations, the Section Engineer has ten (10) business days to submit the completed Contractor's Performance Report to the CDE.

For projects spanning one calendar year, and "annual" evaluation is required, The Section Engineer is responsible for seeing that the "end-of-year" evaluations are completed and submitted to the CDE by the December 31st of that year.

The CDE then has ten (10) business days to review the Contractor's Performance Report and have it sent to the Contractor with the appeal application. The TEBM for Project Delivery and Preservation is responsible for forwarding the completed report to all recipients including forwarding a copy to the Division of Construction Procurement after the Appeals Deadline has expired. Reports should be forwarded to the following address:

Kentucky Transportation Cabinet
Division of Construction Procurement
Attn: Brent Kropf
200 Mero Street, 3rd Floor
Frankfort, Kentucky 40622

APPEALS PROCESS:

An appeal form (TC 14-20) shall accompany every completed Contractor's Performance Report that is sent to the Contractor. This appeal form will give the Contractor the opportunity to object to a given rating by explicitly detailing the cause for the objection. The appeal form can be obtained at the following website <http://dot/webpages/person/pdom/omb/forms/tc14.htm>. The Contractor has ten (10) business days to submit the completed appeal application with the original Contractor's Performance Report to the CDE.

It is the responsibility of the CDE to address the appeal within ten (10) business days upon receipt of the appeal, and to settle the matter between the Section Engineer and the Contractor. The ruling on the appeal will be conducted at the district level, and the final Contractor's Performance Rating will then be sent to the Division of Construction Procurement.

PREQUALIFICATION COMMITTEE:

The Cabinet's Prequalification Committee will use the information collected from the Contractor's Performance Reports completed throughout the year to assist in determining a Contractor's maximum eligibility amount. During this process, the committee may review individual Contractor Performance Reports for clarification or justification.

*These guidelines were developed using the information published in the Kentucky Transportation Center Research Report KTC-01024/SPR-212-00-1F, Quality Based Prequalification of Contractors.