

## Instructions for Completing CTDOT Contractor Evaluations (8/2020)

### Overview:

The Connecticut Department of Transportation requires that a **Prime Contractor Performance Evaluation Form** be completed annually or at the end of each project. The purpose of this is to support continuous quality improvement by providing direct feedback to the Contracting community regarding overall performance measures for each project. While various provisions of the Standard Specifications govern Contractor performance during the actual execution of the work, the performance rating score is generally a longer-term measure.

- It is not the intent to rate Subcontractors unless they perform more than 25% of the Original Contract Value.

### General Instructions:

- Give the Contractor a blank copy of the Department's Contractor Performance Evaluation Form at the Preconstruction meeting as an FYI.
- The performance evaluation shall be completed by the Resident/Chief Inspector who should consult with those personnel that actively participated in the inspection of the work and/or the administration of the Contract.
- The Project Engineer shall ensure that the rating reflects the Prime Contractor's **overall** performance on the Contract indicated.
- The rating form will be sent to the Contractor's home office for signature and will be included in Project closeout documentation.
- The Contractor's signature is preferred but is not required for processing.
- Any overall "Marginal" or "Poor" ratings must be reviewed with the Assistant District Engineer prior to being sent to the Contractor. Offer the Contractor an opportunity to meet with the DE/ADE for any rating less than "Satisfactory."
- The ADE/DE will have the final word as to the scoring of the Contractor's rating.

### Rating Questions and Scoring:

- Each question consists of a topic, five (5) grading levels and a section for written comments. The evaluator is required to choose the grading level score that best suits the **overall performance** of the Contractor for that particular question. The evaluator will list any comments they feel are necessary to explain the score.
- Each question will have a numerical score that will then be used to calculate the Contractor's overall score.
- If a question does not apply to the Project, it shall be marked N/A in the comments section meaning the question is not applicable.
  - That particular N/A question shall **not** be included in the calculation of the Contractor's **overall** score.
- Each question has an equal value of 5 points. N/A questions will not be used in the overall calculation of the rating. Therefore, you must scale the rating accordingly.
- For example, if two questions are N/A, they would be worth (2x5) 10 points total. The total rating score would then be adjusted to 90 (100-10=90) as the highest score possible. So a rating of say 75 would be scored as 75/90 or 83%.

### During Construction:

The Project staff must use the Project's progress meetings to discuss and document all of the elements that will be used to determine the Contractor's performance evaluation.

- Any poor or marginal performance in the rating categories must be documented in progress meeting minutes and, if necessary, through Project correspondence. This documentation is critical to afford the Contractor the opportunity to improve during the Project and to document the facts to support the Contractor Evaluation form completed by the Department.

- An interim\* Prime Contractor evaluation form may be issued with concurrence from the Assistant District Engineer for any “Marginal” or “Poor” Contractor performance.
- An interim evaluation can be issued to the Prime Contractor as early as 120 days after the Notice to Proceed.

\*Interim ratings **may** be used to further evaluate the Contractor’s final overall rating. ADE/DE concurrence is required for this.

### **Form Submission and Use:**

Prime Contractor evaluation forms will be used by the Office of Contracts to modify a Prime Contractors’ Prequalification/Work Classification status. Contractor evaluation forms must be completed in a **timely manner** as follows:

- Interim Rating: Should be completed after 120 days from the Notice to Proceed during the construction season with approval of the ADE/DE.
- Annual Rating: Should be completed no later than 60 days after the end of the calendar year.
- Final Rating: Should be completed no later than 60 days after the issuance of the CON-500.

### **Prequalification Workgroup Modification:**

The Prime Contractor rating forms will be used by the DOT Contracts Office to modify or revoke a Prime Contractor’s Prequalification Work Classification status.

A Contractor’s prequalification work group status will be modified if a Contractor rating of 65% or less is received for two (2) consecutive years.