

WAC 468-16-210 Prime contractor performance report. (1) The evaluation of contractor performance shall be made on a form substantially in the format as illustrated herein.

(2) A *Prime Contractor Performance Report Manual* provides detailed instructions for preparation of the prime contractor performance report.

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.

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 (C) Compliance with Laws and Contract Requirements. Each area contains statements which are weighted as to their importance within the rating area. The rater must consult the Prime Contractor Performance Report Manual (M 41-40) for criteria used for rating contractor performance. There is only one value for the rating of standard. 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 Region Administrator. The Region Administrator will enter narrative comments thereon only when the contractor's overall performance has been rated below standard, inadequate, or superior. The completed report is to be forwarded to the Secretary (Attn: Prequalification Branch) to arrive not later than 45 calendar days after project completion.

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)		Region	Contract No. Federal-Aid No.	County	SR
Company Name			Project Title			
Address		Phone No.	Auth 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						
A Administration / Management / Supervision	* Inadequate	* Below Std	Standard	Above Std	* Superior	Rating
A1. Supervision/Decision Making/Coordination with Subcontractors and suppliers	3	4	6	8	10	
A2. Submission of Documents and Reports	3	4	6	8	10	
A3. Coordination and Cooperation with Department Personnel on Project Matters	3	4	6	8	10	
A4. Relations with General Public, Other Agencies and Adjacent Contractors	2	4	5	6	7	
A5. Maintenance of Employee Safety Standards	1	1.5	2	2.5	3	
Section A Total	12	17.5	25	32.5	40	
Q Quality of Work						
Q1. Adherence to Plans and Specifications	9	12.5	15	18	21	
Q2. Standards of Workmanship	6	8	10	12.5	15	
Q3. Public Safety and Traffic Control	2	3	4	5	6	
Q4. Environmental Compliance	4	5	6	7	8	
Section Q Total	21	28.5	35	42.5	50	
P Progress of Work						
P1. Completion of project within allotted time	6	8	10	12	14	
P2. Baseline scheduling	2.5	3.5	5	7	8.5	
P3. Weekly look ahead schedule & schedule update	1.5	2.5	4	5.5	7.5	
P4. Number of days from Physical Completion Until contract completion	3	4.5	6	8	10	
Section P Total	13	18.5	25	32.5	40	
C Compliance with Laws and Contract Requirements						
C1. Compliance with EEO, On-the-Job Training and D/M/W/SBE Requirements	1.3	3.5	5	6.5	8	
C2. Compliance with Apprenticeship Requirements	1.3	3.5	5	6	7	
C3. Compliance with Laws, Ordinances and Regulations	1.4	3.5	5	5	5	
Section C Total	4	10.5	15	17.5	20	
Project Total	50	75	100	125	150	

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

Performance Score HQ Use Only

NOTE: An inadequate or below standard rating in any section shall limit the section total to a standard rating.

DOT Form 421-010 EF
Revised 01/2014

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

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Section IV Narrative Rating
A General Elements Enter comments that describe the contractor's overall performance and provide background data on the project.
B Below Standard Elements Enter comments here to substantiate below standard ratings. (See Instructions)
C Superior Elements Enter comments here to substantiate superior ratings. (See Instructions)

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.			
<table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Project Engineer's Name (Print)</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Project Engineer's Signature</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Date</td> </tr> </table>	Project Engineer's Name (Print)	Project Engineer's Signature	Date
Project Engineer's Name (Print)	Project Engineer's Signature	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.			
<hr/> <hr/> <hr/>			
Date Copy Given / Mailed to Contractor _____			
<table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Operations Engineer or Designee's Name (Print)</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Operations Engineer or Designee's Signature</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Date</td> </tr> </table>	Operations Engineer or Designee's Name (Print)	Operations Engineer or Designee's Signature	Date
Operations Engineer or Designee's Name (Print)	Operations Engineer or Designee's Signature	Date	
I have reviewed this Contractor Performance Report and make the following comments and changes as cited herein or on attached sheets.			
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<table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Region Administrator's Name (Print)</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Region Administrator's Signature</td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;">Date</td> </tr> </table>	Region Administrator's Name (Print)	Region Administrator's Signature	Date
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[Statutory Authority: RCW 47.01.101, 47.28.030, and 47.28.070. WSR 15-01-170, § 468-16-210, filed 12/23/14, effective 1/23/15; WSR 94-05-004, § 468-16-210, filed 2/2/94, effective 3/5/94; WSR 91-04-014 (Order 128), § 468-16-210, filed 1/28/91, effective 2/28/91.]