

**STATE OF VERMONT
AGENCY OF TRANSPORTATION
CONSTRUCTION SECTION**

**2009
ENGLISH/METRIC
CONSTRUCTION MANUAL**

SECTION VIII

EVALUATIONS

8-100 GENERAL

8-100.10 Employee Evaluations

The evaluation process is an opportunity to provide the employee feedback of their performance as prescribed in the performance expectations section of their Annual Performance Evaluation and to detail new duties and expectations for the next evaluation period. Constructive feedback for areas requiring improvement or for exemplary performance should be clearly documented.

Employee evaluations shall be completed annually by each employee's supervisor, submitted to the Division Administration for review and signature, reviewed with the supervisor, and then reviewed with the employee as spelled out in the Vermont State Employees Contract that is available online: <http://www.vermontpersonnel.org>. It is the responsibility of each supervisor to keep track of when employee evaluations are due.

8-100.20 Temporary Employee Evaluations

The temporary employee evaluation shall be completed by the Resident Engineer, submitted to and reviewed with the Regional Construction Engineer, and then reviewed with the employee. The final version of the rating, with the appropriate signatures, should be forwarded to the Construction Executive Assistant.

8-100.30 Consultant Performance Evaluations

The Construction Section supplements its full time inspection staff with Consultant Inspectors. The evaluation of each Consultant Inspector is an essential piece in the selection of consultant firms that supply construction inspection services.

The *Consultant Performance Evaluation* form (Appendix H-1) shall be completed on a project-by-project basis at the end of each Construction Season, but no later than January 15th of the following year, for each Consultant Inspector that is assigned to the Resident Engineer. However, if a Resident Engineer is experiencing performance issues with a specific Consultant, it should be documented immediately in a *Consultant Performance Evaluation*. The Resident Engineer is encouraged to solicit comments or feedback from other VTrans employees who may have first hand knowledge of the Consultant's performance.

The following list provides a step by step procedure for filling out *Consultant Performance Evaluations* for the season's end.

Preparation of Evaluation:

1. Resident Engineer fills out the evaluation form electronically and is encouraged to solicit comments/feedback from other VTrans employees who have first hand knowledge of a Consultant Inspector's individual performance (if applicable).
2. Resident Engineer e-mails form to Regional Construction Engineer for review and comment, with a courtesy copy (cc'd) to the Regional Program Services Clerk.
3. Regional Construction Engineer reviews and responds via e-mail to Resident Engineer with his/her comments or approvals.
4. Resident Engineer makes any adjustments required.
5. If no adjustment is necessary, the evaluation will be distributed as follows.

Distribution of Evaluation:

1. If adjustments are required, the Resident Engineer will make them to the final electronic document and forward it to the Regional Program Services Clerk.
2. Regional Program Services Clerk saves the electronic evaluation in the appropriate G: drive file as a PDF file.
3. Regional Program Services Clerk e-mails copy of evaluation along with *Consultant Cover Letter* (Appendix H-2) to the Consultant Firm for their review. The firm can then also pass it along to the appropriate Consultant Inspector.
4. Regional Program Services Clerk forwards an electronic copy to the Construction Executive Assistant for filing in appropriate Consultant Firm file.

Consultant Firm Responsibilities:

1. When the cover letter and evaluation are received, he/she forwards it along to the appropriate Consultant Inspector for their review/comment.

Appeal Process:

1. If the Consultant Inspector/Firm appeals the evaluation, Regional Construction Engineer meets with the Resident Engineer and they do a thorough review of the evaluation and develop a response to the Consultant's objections.

Tracking Process:

1. The Regional Program Services Clerk is responsible for maintaining a tracking method that shows the status of all Consultant Inspector Evaluations within their region; and for making that tracking method available for review by their Regional Construction Engineer.
2. The Regional Construction Engineer is responsible for ensuring that each Consultant Inspector receives an evaluation.

8-100.40 Prime Contractor Performance Evaluations

The evaluation process is an opportunity to provide the Prime Contractor valuable feedback on their performance. Prime Contractor evaluations also play an extremely important role during the project prequalification process. These evaluations are included in the information packet used by the Prequalification Committee in forming their decisions to accept, deny, or modify the number of projects a Contractor is able to work on at any given time.

The Resident Engineer is encouraged to complete the *Prime Contractor Performance Evaluation* form (Appendix H-3) upon the completion and acceptance of the contract. When a project is held over a season for minor issues (such as vegetation growth, landscape plantings, etc.), the Resident Engineer is encouraged to prepare the evaluation as soon as possible after the Final Inspection is held. However, an evaluation may be completed at any time to document specific performance issues of the Prime Contractor that may be taking place on the project. The Construction Specialists (Environmental Engineer, Paving Engineer, Construction Safety Officer/Water Supply Technician and Structures Engineer) may request that the Resident Engineer complete a *Prime Contractor Performance Evaluation* form at any specific time to document any apparent performance problems.

When filling out the *Prime Contractor Performance Evaluation* form, the Resident Engineer should complete all sections that apply to the Contract regardless of whether the work was performed by a Subcontractor. The Prime Contractor is responsible for the quality of the work performed by their forces as well as all Subcontractors. In cases where work was performed by a Subcontractor and the rating for the specific work is answered "No", an explanation within the comments section of the *Prime Contractor Performance Evaluation* form should include the name of the Subcontractor.

The following process outlines the evaluation procedure that should be followed for Prime Contractor evaluations.

Preparation of Evaluation:

1. Resident Engineer fills out all sections of the evaluation including those performed by Subcontractors (when work was performed by a Subcontractor, Subcontractor's name shall be included).
2. Resident Engineer includes an explanation for all "No" responses.
3. If any Specialists have any concerns, they should present their comments to the Resident Engineer by the Final Inspection for consideration to be included in the Resident Engineer's evaluation.
4. Resident Engineer e-mails the evaluation to Regional Construction Engineer for his/her review and comments, as well as the appropriate Specialist(s) and Regional Program Services Clerk.

5. Regional Construction Engineer and Specialist(s) reviews and responds to Resident Engineer with his/her comments or approval as is.
6. Resident Engineer incorporates any comments if necessary. If no revisions are required, Regional Construction Engineer notifies Resident Engineer that he/she is satisfied with the evaluation and in the same e-mail asks the Regional Program Services Clerk to forward the Evaluation to the Prime Contractor.

Distribution Process for Evaluations with an Overall Evaluation of 80% or above:

1. If the evaluation needs adjustments made, the Resident Engineer does so and e-mails a copy to the Regional Construction Engineer and Regional Program Services Clerk for distribution.
2. Regional Program Services Clerk saves the evaluation in the appropriate Prime Contractor's folder in the G: drive as a PDF file.
3. Regional Program Services Clerk e-mails evaluation with an electronic transmittal message to the Contractor (Appendix H-4) to the appropriate Prime Contractor and the following individuals: Construction Engineer, Construction Services Engineer, Administrative Services Technician in Construction's Headquarters, and the Prequalification Technician in Contract Administration.

Distribution Process for Evaluations with an Overall Evaluation of Less Than 80% (or when 50% or more of the applicable questions are answered "No" in any section):

1. If it is necessary to make adjustments to the evaluation, the Resident Engineer does so and e-mails a copy to the Regional Construction Engineer and Regional Program Services Clerk.
2. Regional Program Services Clerk saves the evaluation in the appropriate Prime Contractor's folder in the G: drive as a PDF file.
3. Regional Program Services Clerk e-mails with an electronic transmittal message to the Contractor and also the following individuals: Construction Engineer, Construction Services Engineer, Administrative Services Technician in Construction's Headquarters, and the Prequalification Technician in Contract Administration.

Appeal Process:

1. If a Prime Contractor appeals, the Regional Construction Engineer and Resident Engineer get together to review the evaluation together and discuss whether any changes should be considered.
2. After thorough review, the Regional Construction Engineer responds to the Prime Contractor's appeal and includes in his/her response the right to appeal to the Construction Engineer.
3. Prime Contractor has 30 days to appeal to the Construction Engineer.
4. Regional Program Services Clerk sends response letter to the Prime Contractor and saves a copy in the appropriate G: drive folder.

Tracking Process:

1. Regional Program Services Clerk is responsible for maintaining a tracking method that shows the status of all Prime Contractor Evaluations for all contracts within their region; and for making that tracking method available for review by their Regional Construction Engineer.
2. Regional Construction Engineer is responsible for ensuring that each Prime Contractor receives an evaluation.
3. If the Contractor has not received an evaluation within 90 days of the date Completion and Acceptance is issued; the Regional Program Services Clerk shall notify the Regional Construction Engineer.
4. Regional Construction Engineer will follow up with the Resident Engineer.
5. Regional Program Services Clerk enters the "Contractor Evaluation Completion Date" and "Evaluation to Contractor Date" into CTS under the "Finals" Tab.

8-100.50 Subcontractor Performance Evaluation

These evaluations provide important information regarding a specific Subcontractor's performance to Construction Management and possibly the Prequalification Committee.

The Resident Engineer on the project shall complete the *Subcontractor Performance Rating* form (Appendix H-6) once the Subcontractor has finished their work on the project or upon issuance of completion and acceptance, at the latest.

The following is the procedure to be followed when completing a Subcontractor evaluation.

Preparation of Evaluation:

1. Resident Engineer is encouraged to complete as soon as the Subcontractor has completed their work. However, if this is not possible the very latest that the evaluation should be completed is 90 days after completion and acceptance has been issued.
2. Resident Engineer fills out all sections of the evaluation.
3. Resident Engineer e-mails the evaluation to Regional Construction Engineer for his/her review and comments with a copy to the Regional Program Services Clerk.
4. Regional Construction Engineer returns evaluation to Resident Engineer with his/her comments or approval as is. If no adjustments need to be made, then the evaluation is ready for distribution.

Distribution Process:

1. Regional Program Services Clerk saves the evaluation in the appropriate Subcontractor's folder in the G: drive as a PDF file.
2. Regional Program Services Clerk e-mails the evaluation with an electronic transmittal message to the Contractor (Appendix H-4) to the appropriate Prime Contractor with a copy to the Subcontractor, Administrative Services Technician in Construction Headquarters, and the Prequalification Technician in Contract Administration.

Tracking Process:

1. Regional Program Services Clerk is responsible for maintaining a tracking method that shows the status of all Subcontractor Evaluations for all contracts within their region; and for making that tracking method available for review by their Regional Construction Engineer.
2. Regional Construction Engineer is responsible for ensuring that each Subcontractor receives an evaluation.
3. If an evaluation is not received for an approved Subcontractor within 90 days of the date completion and acceptance is issued; the Regional Program Services Clerk shall notify the Regional Construction Engineer.
4. The Regional Construction Engineer will discuss with the Resident Engineer to ensure that one is completed and distributed to the prime.