APPENDIX H
Section VIII - Evaluations

Appendix H-1	Consultant Performance Evaluations
Appendix H-2:	Consultant Electronic Transmittal Message
Appendix H-3:	Prime Contractor Performance Evaluation – Revised 2014
Appendix H-4:	Contractor Electronic Transmittal Message
Appendix H-5:	Contractor Concern Electronic Transmittal Message
Appendix H-6:	Subcontractor Performance Evaluation – Revised 2014

State of Vermont
VTrans - Construction Section
Consultant Evaluation Form

Name of Consultant Inspector:			
VTrans Position:			
Name of Consultant Firm:			
Project Name and Number:			
Evaluation Period:	From:	To:	
Name of VTrans employee who performed this evaluation:			

Key to Ratings:
1 - Unsatisfactory *(Comment Required)*
2 - Marginal
3 - Satisfactory
4 - Commendable
5 - Outstanding

Factor	Comments	Rating 1 2 3 4 5	Factor	Comments	Rating 1 2 3 4 5
1) Knowledge, Skill, Ability- Is the consultant competent to fulfill the requirements of the job and have the knowledge, skill, and ability necessary to perform the work, including appropriate certifications required.		☐ ☐ ☐ ☐ ☐	**6) Judgment-** Does the consultant have the ability to think clearly and impartially utilizing available information and experience to make mature, logical and timely decisions		☐ ☐ ☐ ☐ ☐
2) Quality of Work- Does the consultant provide quality work which is neat, accurate, thorough, and free of errors		☐ ☐ ☐ ☐ ☐	**7) Personal Relationships-** Does the consultant work well as a member of a group or team, maintain a hostile free work environment and act in a professional manner when interacting with others		☐ ☐ ☐ ☐ ☐
3) Work Habits- Is the consultant punctual, diligent, dependable, resourceful, not disruptive		☐ ☐ ☐ ☐ ☐	**8) Quantity of Work-** Consider workload to be accomplished, time lost in non-productive activity, consistency of output, amount of satisfactory work completed within a given time period.		☐ ☐ ☐ ☐ ☐
4) Attitude, Cooperation- Does the consultant sustain a positive attitude, willing to work when needed (days, nights, weekends), has the spirit of cooperation, maintains high morale		☐ ☐ ☐ ☐ ☐	**9) Work Under Stress-** Does the consultant have the ability to produce satisfactory work under the pressure of heavy volume and/or tight deadlines, maintain self-control, cope with the unexpected and maintain balance and poise		☐ ☐ ☐ ☐ ☐
5) Learning Ability- Does the consultant have the ability to grasp, understand and master new or changing duties or assignments		☐ ☐ ☐ ☐ ☐	**10) Overall Rating-** (Please enter in an overall rating) Would you consider utilizing this consultant again in the future? ☐ Yes ☐ Possibly ☐ Not Likely		☐ ☐ ☐ ☐ ☐

Consultant Name: _____ **Consultant Firm:** _____

Resident Engineer Comments:

Prepared by: Date:

Regional Construction Engineer Comments:

Reviewed and Approved by: Date:

Attached please find a Performance Evaluation for {*Consultant's name*} prepared by {*RE's name*}, Resident Engineer on the {*Project name and number*} Contract for this past construction season.

Please forward this evaluation to {*Consultant employee's name*} for {his/her} review. If {*Consultant's first name again*} *or you* have any questions or wish to discuss the evaluation, please contact {Regional's name}, *Regional Construction Engineer (include e-mail address/phone number) directly.*

Any comments must be made in the gray section following "Comments" to avoid being in a protected cell.

2014

Vermont Agency of Transportation

Construction Division

Contractor Project Performance Evaluation

Contractor Name:		Contractor Vendor ID:	
Project Name:		Project Number:	
Route:		Construction Region:	
Town/City:		County:	
Prepared By:		Date Prepared:	
Prequalification Project Type:		Total Performance Score	0.0%
Prepared By:		Reviewed and Approved by:	
Resident Engineer's Name:		Regional Construction Engineer's Name:	
Date:		Date:	

Section	Number of Questions in Section	Number of "No" Responses
Contract Administration	13	0
Personnel	4	0
Submitttals/Certifications	8	0
Environmental	10	0
Structures	13	0
Covered Bridges	3	0
Paving	9	0
Earthworks	9	0
Traffic Control	6	0
Incindental Construction	12	0
Safety	8	0

Instructions: Written comments must be provided for any question with a "NO" response.

Responses to questions must be either YES, NO, or NA

CONTRACT ADMINISTRATION

1	Did the Contractor provide a list of personnel to contact for non-working hour emergencies prior to the first day of work?	
2	Were the non-working hour emergency personnel available when called?	
3	Did the Contractor utilize "Dig Safe" prior to beginning any excavation on the project?	
4	Was a proper bulletin board with the required notices posted installed in an accessible place prior to the beginning of work and maintained throughout the duration of the project?	
5	Did the Contractor submit subcontractor requests prior to the subcontracted work being performed?	
6	Did the DBE subcontractors perform the work as identified in the bid proposal?	
7	Did the Contractor submit accurate certified payrolls within seven days of payment to the employee?	
8	Did the Contractor fulfill the employee traineeship requirement of the contract, including the required trainee reports?	
9	Did the Contractor provide information for processing Change Orders, Force Account or Extra Work in a timely manner?	
10	Did the Contractor attempt to resolve substantiated complaints in a positive, prompt, and professional manner. *(This should reflect the Contractor's overall conduct, not a singular occurrence.)*	
11	Did the Contractor coordinate with third parties as set out in the contract in a timely and courteous manner? *(This should reflect the Contractor's overall conduct, not a singular occurrence.)*	
12	Did the Contractor act quickly to resolve the issues from the Final Inspection and complete the project?	
13	Did the Contractor complete the project on time, taking into consideration weather days and days added to the contract?	

Comments Below: Percentage of No answers: 0.00%

PERSONNEL

1	Did the Contractor have an individual that was clearly the Superintendent as defined in 105.06, and did this individual have the ability to make decisions for the company?	
2	Did the Contractor have enough people available to maintain their operations in an acceptable fashion? (i.e. deck pours, paving, etc)	
3	Did the Contractor's personnel maintain and protect the original control points and other important layout features as required by the contract?	
4	Did the Contractor's personnel respond to requests and direction, such as written orders, of Agency personnel in a timely manner? *(This should reflect the Contractor's overall conduct, not a singular occurrence).*	

Comments Below: Percentage of No answers: 0.00%

SUBMITTALS/CERTIFICATIONS

1	Was th M schedule submitted at or before the pre-construction conference?	
2	Were there updates made to the CPM as delays were encountered, or did the Contractor at a minimum discuss how these delays might affect the progress of the project with the Resident Engineer?	
3	Were shop drawings submitted in a timely manner, and were they complete?	
4	Did the Contractor provide the appropriate certifications for materials prior to incorporating them into the project?	
5	Did the Contractor notify the Resident Engineer when materials would be available for testing in a timely manner?	
6	Did the Contractor respond quickly and positively to failing materials tests?	
7	Did the submitted erosion control plan conform to the contract requirements and the actual project situation?	
8	Were the temporary structures (temporary bridge, cofferdams, sheeting, shoring, etc.) designs submitted by the Contractor constructed as per the submittal and were they adequate to complete the work?	

Comments Below: Percentage of No answers: 0.00%

ENVIRONMENTAL

1	Did the Contractor make necessary changes to the Contract EPSC Plan to fit his proposal methods and means before beginning work on the project?	
2	Did the Contractor submit the EPSC Plan (including waste, borrow, and staging areas) for review at the pre-construction conference or before?	
3	Were temporary erosion control items installed in a timely manner and in accordance with the EPSC Plan?	
4	Were temporary erosion control properly maintained until replaced by permanent items?	
5	Did the Contractor's On-site Coordinator monitor the erosion control plan for effectiveness and complete the required monitoring forms in a timely manner?	
6	Did the Contractor's On-site Coordinator record modifications to the EPSC Plans as they occurred in the field?	
7	Were waste and borrow areas opened, maintained and closed in conformance with the specifications, project plans and local, state and federal requirements?	
8	Did the Contractor comply with archaeological/historical conditions specified in the contract and other pertinent clearances?	
9	Was the Contractor responsive and timely in correcting project environmental issues?	
10	Did the Contractor coordinate with appropriate regulatory agencies prior to making changes in the field?	

Comments Below: Percentage of NO answers: 0.00%

STRUCTURES

1	Were the Contractor's personnel highly skilled and knowledgeable about their work?	
2	Was the equipment provided of adequate size, acceptable condition and well maintained?	
3	Did the Contractor's personnel accurately layout all the structural components associated with this project, such as piles, abutments, wingwalls, retaining walls, and bridge seats?	
4	Did the Contractor's concrete removal procedures minimize the damage to reinforcing steel or structural steel that was designated to remain in place and be reused?	
5	Did the Contractor follow the deck placement plan as outlined in the pre-placement meeting and demonstrate an adequate level of quality control during the placement of the deck?	
6	Was all of the concrete properly cured in accordance with the specifications?	
7	Was the formwork and reinforcing steel properly installed to provide proper clearances and member dimensions in accordance with the contract documents?	
8	Was reinforcing steel and epoxy coated reinforcing steel properly stored and protected on the project prior to being incorporated into the work?	
9	Did the Contractor provide welding procedures for all field welding and have certified welders perform all field welding?	
10	Were mechanical bridge deck and curb expansion devices properly installed?	
11	Did the Contractor provide adequate equipment and personnel to skillfully install the bridge membrane waterproofing in conformance with contract specifications?	
12	If the structure was jacked and shored, did the Contractor submit and follow an acceptable plan prior to beginning the work?	
13	Did the Contractor's painting operations meet all specifications?	

Comments Below: Percentage of NO answers: 0.00%

COVERED BRIDGES

1	Did the Contractor install lumber and timber items in a high quality manner and within specifications?	
2	Were timber, lumber and glued laminated materials stored on site according to specifications?	
3	If only portions of the existing timber structure were specified to be removed, did the Contractor carefully remove those portions without damaging the elements that are to be retained?	

Comments Below: Percentage of NO answers: 0.00%

PAVING

1	Were the Contractor's personnel sufficiently skilled and knowledgeable about their work?	
2	Was the equipment provided of adequate size, number, in acceptable condition, and well maintained throughout the project?	

3	Did the actor place bituminous concrete pavements properly; i.e., clean truck beds hauling only the inous material, truck beds properly lubricated, materials maintained within the correct tempera. range, proper widths, proper placement and rolling best practices, etc.?	
4	Was the bituminous concrete pavement delivered to the project a consistent quality product meeting the specifications and did the production facility exhibit good control over production?	
5	After the cores were marked were they taken within the specification time limits and immediately stored in suitable transport containers?	
6	Did the contractor make a conscientious effort to place all of the material within the contract tolerances for thickness?	
7	Did the contractor work cooperatively and in a proactive manner to address all failing material samples and compaction results in a timely manner?	
8	Did all material meet specification requirements to the point that they did not fall under the provisions provided for under either Subsection 406/490.03(e)(5) or 406/490.14(e), REJECTED MATERIAL?	
9	Did all material placed as part of the project remain in place through to final acceptance?	

Percentage of No answers: 0.00%

Comments Below:

EARTHWORKS

1	Were the Contractor's personnel highly skilled and knowledgeable about their work?	
2	Was the equipment provided of adequate size, acceptable condition and well maintained?	
3	Did the Contractor's excavation and fill operations provide the required subgrade/embankment densities?	
4	Did the Contractor use the proper lift thicknesses and benching procedures in the construction of embankments?	
5	Did the Contractor perform blasting operations in such a manner as to avoid damage to public and/or private property?	
6	Was the rock excavation kept within the neat line on the plans by more than one foot (300 mm)?	
7	Was the earth excavation kept within the neat line on the plans by more than one foot (300 mm)?	
8	Did the contractor supply materials meeting the gradation requirements of the contract, or work cooperatively and timely to address materials falling outside of the specification?	
9	Did the Contractor place the subbase material(s) properly; i.e. proper lift thicknesses, proper compaction effort, placement so as to minimize contamination, etc. and did they protect the subbase material from contamination and segregation until it was paved over, if applicable?	

Percentage of No answers: 0.00%

Comments Below:

TRAFFIC CONTROL

1	Were temporary traffic signs and traffic control devices maintained in a clean and legible manner?	
2	Did the Contractor provide well trained, well equipped, properly attired, and trained Flaggers/UTOs when required by work on the project?	

3	Were temporary traffic control devices installed and maintained in accordance with the plans, specifications and the MUTCD?	
4	Were project signs covered, set aside, turned, removed, or relocated as necessary?	
5	Were temporary markings placed within the time frame specified in the contract?	
6	Were permanent markings placed within the time frame specified in the contract after the placement of the final wearing course of bituminous pavement?	

Comments Below: Percentage of No answers: 0.00%

INCIDENTAL CONSTRUCTION		
1	Were drainage structures properly installed in conformance with the contract specifications and the plans? *(The answer is "no" if there were failures to provide proper camber, grade, compaction, sealing of joints, or properly certified material.)*	
2	Were shoulders brought up to grade within contract specification after paving was complete?	
3	Was the guardrail/bridge railing installed in accordance with the plans and specifications?	
4	Did the Contractor provide proper handling, containment and removal of hazardous materials encountered on the project?	
5	Did the Contractor remain within the limits of the Right-of-Way and/or easement areas?	
6	If the Contractor disturbed areas outside the project limits, were the areas repaired quickly to the property owner's satisfaction and without action by the Resident Engineer?	
7	Were materials, designated to be salvaged in the contract, removed and salvaged without damage?	
8	Did the Contractor remove, maintain, and relocate signs, mailboxes, and all other items identified in the contract or encountered on the project in a satisfactory manner?	
9	Did the Contractor maintain access to all drives and side roads as required by the contract?	
10	Was the Field Office(s) installed and maintained in accordance with contract documents?	
11	Were the sanitary facility(s) installed and maintained in accordance with the contract documents?	
12	Did the Contractor's personnel have the ability to do layout on their own, or at a minimum did they subcontract the layout work out?	

Comments Below: Percentage of No answers: 0.00%

SAFETY		
1	Did the Prime Contractor have a Competent Person ("***Competent Person means:*** *one who is capable of identifying existing and predictable hazards in the surrounding or working conditions which are unsanitary, hazardous, or dangerous to employees, and who has the authorization to take prompt corrective measures to eliminate them*".) on sight at all times?	
2	Were all Contractor and Sub Contractor personnel appropriately outfitted with Personal Protective Equipment and did they wear it?	

3	Did Fa ection meet the requirements of 29 CFR 1926.500?	
4	Was a trench box or some other means of protection used for trenches deeper than 5 feet?	
5	Did the Contractor adhere to all safety regulations and requirements?	
6	Was the Contractor responsive and proactive in promoting a safe worksite?	
7	Did the Contractor correct safety issues without the issuance of a written order(s)?	
8	Was the project void of citations by VOSHA? Comment on any violations discovered by VOSHA.	

Percentage of No answers: 0.00%

Comments Below:

Attached please find a copy of the Resident Engineer's Evaluation for the {Contract name(s) and number(s) Contract. The Resident Engineer has answered a series of "Yes", "No", or "N/A" questions that have been developed to assess your firm's ability to complete an Agency contract within the specifications of the contract. Each question carries a specific weight for which an overall score is developed. The Resident Engineer does not know the weighted value of the questions; their only requirement is to answer "Yes", "No" or "N/A" to each question. Any question that has an "N/A" does not affect your final evaluation score.

The Evaluation form has been developed to eliminate subjectivity from the scoring process as much as possible; we believe it will allow for more reliable scorings. In addition to providing you constructive feedback, the evaluation form is included in the Prequalification Committee's information packet used to determine a Contractor's ability to bid on Vermont Agency of Transportation contracts.

If you have any questions, concerns, or comments, please contact Regional Construction Engineer _____. He/She can be reached at (802) *RCE #*. **If you would like to appeal the Evaluation, please do so in writing within 30 calendar days of this e-mail to the address below.** Please include a specific list of items in contention and include supporting documentation.

{Regional's Name}, *Regional Construction Engineer*
Vermont Agency of Transportation
{Region} Regional Construction Office
Street Address
Town, VT Zip Code

{IF ATTACHING SUBCONTRACTOR EVALUATIONS, INCLUDE THIS ADDITIONAL PARAGRAPH}
Also attached for your information are Evaluations prepared by {Resident's Name}, Resident Engineer on the Subcontractors who performed work for you under this Contract. Again, if you have any concerns that you would like to discuss with the Regional Construction Engineer, please feel free to contact *him/her at the address noted.*

Attached please find a copy of the Resident Engineer's Evaluation for the {Contract name(s) and number(s) Contract. The Resident Engineer has answered a series of "Yes", "No", or "N/A" questions that have been developed to assess your firm's ability to complete an Agency contract within the specifications of the contract. Each question carries a specific weight for which an overall score is developed. The Resident Engineer does not know the weighted value of the questions; their only requirement is to answer "Yes", "No" or "N/A" to each question. Any question that has an "N/A" does not affect your final evaluation score.

The Evaluation form has been developed to eliminate subjectivity from the scoring process as much as possible; we believe it will allow for more reliable scorings. In addition to providing you constructive feedback, the evaluation form is included in the Prequalification Committee's information packet used to determine a Contractor's ability to bid on Vermont Agency of Transportation contracts.

If you have any questions, concerns, or comments, please contact Regional Construction Engineer _____. He/She can be reached at (802) *RCE #*. **If you would like to appeal the Evaluation, please do so in writing within 30 calendar days of this e-mail to the address below.** Please include a specific list of items in contention and include supporting documentation.

{Regional's Name}, *Regional Construction Engineer*
Vermont Agency of Transportation
{Region} Regional Construction Office
Street Address
Town, VT Zip Code

{IF ATTACHING SUBCONTRACTOR EVALUATIONS, INCLUDE THIS ADDITIONAL PARAGRAPH}
Also attached for your information are Evaluations prepared by {Resident's Name}, Resident Engineer on the Subcontractors who performed work for you under this Contract. Again, if you have any concerns that you would like to discuss with the Regional Construction Engineer, please feel free to contact *him/her at the address noted.*

Attached please find a copy of the Resident Engineer's evaluation for the above mentioned contract. The Resident Engineer has answered a series of "Yes", "No", or "N/A" questions that have been developed to assess a Contractor's ability to complete an Agency contract within the specifications of the contract. Each question carries a specific weight for which an overall score is developed. The Resident Engineer does not know the weighted value of the questions; their only requirement is to answer "Yes", "No" or "N/A" to each question. Any question that has an "N/A" does not affect the final scoring. All Contractors receive a scoring through use of this form.

The overall performance score on this contract has raised concerns. This evaluation has been forwarded to the Agency's Prequalification Committee for their information. This evaluation could affect your future ability as a Contractor to become prequalified to bid on Vermont Agency of Transportation contracts.

If you have any questions, concerns, or comments, please contact {Regional's name}, Regional Construction Engineer at *{e-mail address/phone number}*. **If you would like to appeal or refute the overall evaluation's score, or any section thereof, please do so in writing within 30 calendar days of this letter to the address noted below.** Please include a specific list of the items in contention with supporting documentation.

{Regional's Name}, Regional Construction Engineer
Vermont Agency of Transportation
{Region} Regional Construction Office
{Street Address}
{Town}, VT {Zip Code}

{IF ATTACHING SUBCONTRACTOR EVALUATIONS, INCLUDE THIS ADDITIONAL PARAGRAPH}
Also attached for your information are Evaluations prepared by {Resident's Name}, Resident Engineer on the Subcontractors who performed work for you under this Contract. Again, if you have any concerns that you would like to discuss with the Regional Construction Engineer, please feel free to contact *him/her at the address noted.*

State of Vermont
Agency of Transportation
Construction Section

Subcontractor Performance Rating

Subcontractor Addess:

Project(s) name(s) and Number(s)

Type of subcontracted work (check all that apply):

Paving		Signing		Earthworks		Line Striping	
Drainage		GuardRail		Signals		Traffic Control	
Bridges		Other					

Start Date: End Date: Subcontract Amount:

Check the rating that best fits the following subjects:

Subject				Excellent	Satisfactory	Marginal	Unsatisfactory
Supervision	Quality						
	Quantity						
Equipment	Condition						
	Quantity						
Planning, organization and efficiency							
Quality of work							
Cooperation							
Public Relations	Property Owners						
	Traveling Public						
	Town/City Officials						
Timely submissions of schedule, reports and shop drawings							
Completion of Project in a timely manner							
Adhere to all safety regulations and requirements							
Overall Rating							

Remarks

Prepared by:

Resident Engineer Date Regional Construction Engineer Date