

# CONTRACTOR'S PAST PERFORMANCE REPORT

## CONFIDENTIAL REPORT

**This form should only be used for projects not administered in ECMS.  
Form CS-4307G should be referenced for Contractor Evaluation Guidelines.**

**Interim Report** (major performance problems or outstanding performance)
  **Mid Term Report** (mandatory for projects exceeding 18 months duration)
  **Final Report**

District: \_\_\_\_\_ Contractor: \_\_\_\_\_

Contract No.: \_\_\_\_\_ Contractor ID No.: \_\_\_\_\_

Contract Amount: \_\_\_\_\_ Address: \_\_\_\_\_

County: \_\_\_\_\_

State Route No.: \_\_\_\_\_ Superintendent: \_\_\_\_\_

Evaluator: \_\_\_\_\_ Assist. Const. Engr./Mgr.: \_\_\_\_\_

Possible Points Agreed By: \_\_\_\_\_ (PENNDOT Initials) \_\_\_\_\_ (Contractor Initials) \_\_\_\_\_ (Date)

KEY TO DETERMINING PERFORMANCE				
1.00	0.85	0.70	0.50	0.0
C O N S I S T E N T L Y	E X C E E D S	E X P E C T E D	F A I L S  T O M E E T	C O N S I S T E N T L Y  F A I L S
E X C E E D S	E X P E C T A T I O N S	F O R M A N C E	E X P E C T A T I O N S	

SCORING SYSTEM				
*Value	X	Possible Points	=	Total Points
_____	X	13	=	_____
_____	X	13	=	_____
_____	X	12	=	_____
		<b>38 MAX</b>		_____
_____	X	19	=	_____
_____	X	12	=	_____
_____	X	7	=	_____
		<b>38 MAX</b>		_____
_____	X	6	=	_____
_____	X	7	=	_____
_____	X	5	=	_____
_____	X	6	=	_____
		<b>24 MAX</b>		_____
<b>TOTAL POINTS (100 MAX)</b>			=	_____

\*Values must be developed from the average scores on Supporting Evaluation (Pages 3 thru 8)

Notes: (1) If a category is non-applicable for a particular project, the possible points for that category must be distributed to the remaining categories in that section.  
 (2) Total Points between 95 and 100 or Total Points less than 70 and scores in Columns "D" and "E" require use of the Supporting Comments Form (Page 2)

Evaluator: \_\_\_\_\_ Date: \_\_\_\_\_

Assistant Construction Engr./Mgr.: \_\_\_\_\_ Date: \_\_\_\_\_

Assistant District Exec. for Construction: \_\_\_\_\_ Date: \_\_\_\_\_

Notes: (1) Total points less than 70 require ADEC signature.  
 (2) Scores in Columns "D" and "E" require ADEC signature.

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Use this form when: (1) Individual criteria score is “Fails to Meet Expectations” (Column D) or “Consistently Fails” (Column E).  
 (2) Total Points less than “70.0”  
 (3) Total Points between 95 and 100.

District: \_\_\_\_\_ Contractor: \_\_\_\_\_

Contract No.: \_\_\_\_\_ Contractor ID No.: \_\_\_\_\_

Section	Category	Criteria	Supporting Comments (Actual example of behavior demonstrated)
1	C	1	The superintendent usually submitted schedules of planned activities 3 days late after the established deadline as noted in the project’s diary on August 7, and August 28, as well as on other dates recorded. This schedule was to tell me what was going to happen next week and I received it well into that next week. (This is an example of behavior for a criteria.) (EXAMPLE)

THIS PAGE MAY BE REPRODUCED FOR ADDITIONAL COMMENTS, IF NECESSARY

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Contractor: \_\_\_\_\_

Contract No.: \_\_\_\_\_

Contractor ID No.: \_\_\_\_\_

**1. MANAGING THE PROJECT**

1A. Project Leadership	PERFORMANCE - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
There is an established chain of command used to make timely decisions that are beyond the authority of the superintendent.						
The superintendent has the authority to manage the project.						
The superintendent has the ability to manage the project.						
The superintendent or a person delegated with the authority of the superintendent is present on the project site.						
Established turn around times for extra work justification submittals are met.						
Paperwork is submitted by time required.						
The superintendent and foreman demonstrate knowledge of the contract specifications and special provisions.						
<b>TOTALS:</b>						

**Overall Result for this Category: AVERAGE =** \_\_\_\_\_

*Add the total score for values checked and divide by the number of applicable criteria. Transfer this average value to Page 1 of 10.*

1B. Communications	PERFORMANCE - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
The contractor is willing to meet and discuss issues that will have a potential impact on the successful completion of the project.						
If the contractor is not receptive to a request or proposal prepared by the Department, the contractor offers as least one alternate solution that is reasonably close to the cost of the original work.						
The contractor meets and discusses project issues on a regular basis.						
The contractor reviews quantities for payments and discusses payment issues within bi-weekly progress payments.						
The contractor discusses methods of payment prior to the start of additional or extra work.						
The contractor discusses specifications prior the start of an operation(s). Both parties know what to expect.						
<b>SUBTOTALS:</b>						

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1B. Communications (continued)	PERFORMANCE - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
The contractor keeps the Inspector-in-Charge informed of daily operations (what will be done, when, and by whom).						
The contractor works with the District to keep the public informed of project operations that impact the public.						
<b>TOTALS:</b>						

**Overall Result for this Category: AVERAGE =** \_\_\_\_\_

*Add the total score for values checked and divide by the number of applicable criteria. Transfer this average value to Page 1 of 10.*

1C. Scheduling	PERFORMANCE - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
The contractor submits schedule of daily or weekly work activities and changes to the schedule to the level of detail required by the time required.						
The contractor submits appropriate schedules and revisions to schedules to level of detail required by the time required.						
The contractor schedules and conducts operations in a logical sequence with minimal interference to the traveling public.						
The contractor completed project by required completion date (including time extensions.)						
The contractor adapts the schedule to meet Department concerns.						
The contractor schedules material deliveries and subcontractors to meet the schedule given to the Inspector-in-Charge.						
The contractor meets all milestone dates as established in the contract.						
The contractor notifies utilities of schedules for utility relocation work.						
The contractor makes an effort to meet original project dates when additional or extra work is required.						
<b>TOTALS:</b>						

**Overall Result for this Category: AVERAGE =** \_\_\_\_\_

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**2. MANAGING COMPLIANCE**

<b>2A. Quality of Work on Operations</b>	<b>PERFORMANCE</b> - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
The contractor completes all work in accordance with specifications and in accordance with accepted construction practices.						
The contractor, when required, submits an operational quality control plan and adheres to that plan to monitor and control the operation.						
The contractor does not perform work that damages any other work.						
The contractor independently takes measures to correct deficiencies with materials or workmanship to assure compliance with specifications.						
<b>TOTALS:</b>						

**Overall Result for this Category: AVERAGE =** \_\_\_\_\_ *Add the total score for values checked and divide by the number of applicable criteria. Transfer this average value to Page 1 of 10.*

<b>2B. Safety/Traffic</b>	<b>PERFORMANCE</b> - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
The contractor responds to safety concerns identified by inspectors.						
The contractor has an established safety plan and follows it.						
The contractor independently enforces the Department safety policies (hard hats, safety vests, etc.)						
The project superintendent and foremen demonstrate a concern toward workplace safety and towards traffic safety and traffic control.						
The contractor maintained traffic in accordance with the project traffic control plan and Pub. 203. The contractor suggested modifications, when appropriate, to the project traffic control plan.						
<b>TOTALS:</b>						

**Overall Result for this Category: AVERAGE =** \_\_\_\_\_ *Add the total score for values checked and divide by the number of applicable criteria. Transfer this average value to Page 1 of 10.*

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**2c. Compliance to Regulations**

**PERFORMANCE** - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature

	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
		<b>N/A</b>	<b>1.00</b>	<b>0.85</b>	<b>0.70</b>	<b>0.50</b>
There were no instances when the contractor did not comply with regulations; such as, but not limited to, Section 106 Historic Regulations, Section 404 Federal Permit Regulations, and Section 102 and Section 105 State Permit Regulations.						
<b>TOTALS:</b>						

**Overall Result for this Category:** AVERAGE = \_\_\_\_\_

*Transfer this average value to Page 1 of 10.*

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**3. MANAGING RESOURCES**

3A. Managing Subs	PERFORMANCE - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
The prime contractor pays subcontractors within seven days after receiving payment from PENNDOT, except when there are extenuating circumstances.						
The prime contractor manages and schedules subcontractors to perform all subcontracted work.						
The prime contractor submits subcontractor approval requests in sufficient time to obtain approval prior to subcontractors starting work.						
<b>TOTALS:</b>						

**Overall Result for this Category:** AVERAGE = \_\_\_\_\_

*Add the total score for values checked and divide by the number of applicable criteria. Transfer this average value to Page 1 of 10.*

3B. Personnel Skills	PERFORMANCE - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
The contractor employs skilled craftsmen who are capable of successfully completing the work, without rework.						
The contractor allows decisions to be made at the lowest possible level.						
<b>TOTALS:</b>						

**Overall Result for this Category:** AVERAGE = \_\_\_\_\_

*Add the total score for values checked and divide by the number of applicable criteria. Transfer this average value to Page 1 of 10.*

3C. Equipment Management	PERFORMANCE - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
The contractor uses proper equipment and an adequate quantity of equipment to meet the project specifications and schedule.						
<b>TOTALS:</b>						

**Overall Result for this Category:** AVERAGE = \_\_\_\_\_

*Transfer this average value to Page 1 of 10.*

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<b>3B. Personnel Skills</b>	<b>PERFORMANCE</b> - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	<b>N/A</b>	<b>1.00</b>	<b>0.85</b>	<b>0.70</b>	<b>0.50</b>	<b>0.00</b>
Materials were delivered at the proper time accompanied with the proper certifications or documentation.						
The contractor stores and handles materials properly.						
The contractor has QC plans in place, and takes action when action points are reached.						
The contractor employs a material quality control program to achieve quality levels.						
<b>TOTALS:</b>						

**Overall Result for this Category:** AVERAGE = \_\_\_\_\_

*Add the total score for values checked and divide by the number of applicable criteria. Transfer this average value to Page 1 of 10.*

## INSTRUCTIONS TO COMPLETE THE CONTRACTOR'S PAST PERFORMANCE REPORT

**Note:** This form can be used to document performance of prime contractors. It can be used for Interim, Mid-Term, or Final Evaluations. The electronic version of the form will do all the computations for the Evaluator.

This form contains:

- A. Three Parts:
  1. Contractor's Past Performance Report (Page 1)
  2. Supporting Comments (Page 2 – as needed)
  3. Supporting Evaluation (Pages 3-8)
- B. Three Sections to Past Performance Report: Managing the Project Managing Compliance Managing Resources
- C. Several Categories per Section: Such as Project Leadership, Communications, Scheduling, etc.
- D. Several Criteria per Category: Such as "The superintendent has the authority to manage the project."

The District Office representative and prime contractor meet at the Preconstruction Conference and jointly distribute the points, based on the characteristics of the particular project, within the three sections of the Contractor's Past Performance Report, keeping the total of possible points for the section equal to the maximum shown. The default distribution of points is shown on the form as a starting point and may be used as the agreed-upon distribution of possible points. The maximum possible points for each section are shown on the form at the end of each section. If a category, such as Managing Subs, is non-applicable for the project, the possible points should be shown as 0 and the points for that category are distributed among the other categories in that section. The Inspector-in-Charge and the contractor's representative initial and date the form to indicate agreement on the distribution of possible points.

**The Inspector-in-Charge completes the Contractor's Past Performance Report by completing Pages 3 thru 8.**

The average for each Category is transferred to Page 1 of 10 to be multiplied by the agreed-upon Possible Point distribution. The Total Points for each Category and the Total Points for the Past Performance Report are consequently determined. If the Performance for any criteria is rated as 0.50 or 0.00 the Inspector-In-Charge should provide Supporting Comments (Page 2) that justify the rating. If the Total Points are between 95 and 100, or if the Total Points are less than 70, the Inspector-in-Charge should also provide Supporting Comments (Page 2) that justify the Total Point score.

**Relationship to Prequalification:** The Total Points are the sum of the subtotal points for each section. An average of this and the last five (or more) performance ratings will determine the contractor's Ability Factor (reviewed semi-annually). The Ability Factor will, in turn affect the contractor's maximum capacity rating and, therefore, available capacity to bid or perform new work.

Following is a suggested procedure to complete the scoring for Supporting Evaluation:

- Review the criteria for the category and mark any criteria that are non-applicable.
- Grade the performance for the remaining criteria that are applicable.
- The actual value for the category is calculated as shown in the example on Page 10 of 10.

This information is transferred to Page 1 of 10 as the value for the graded category.

**EXAMPLE OF HOW TO FILL OUT PERFORMANCE SECTION**

**1. MANAGING THE PROJECT**

1A. Project Leadership	PERFORMANCE - Shaded columns require use of Supporting Comments Form (Page 2) and ADEC Signature					
	Non-Applicable	Consistently Exceeds	Exceeds Expectations	Expected Performance	Fails to Meet Expectations	Consistently Fails
	N/A	1.00	0.85	0.70	0.50	0.00
There is an established chain of command used to make timely decisions that are beyond the authority of the superintendent.			✓			
The superintendent has the authority to manage the project.				✓		
The superintendent has the ability to manage the project.				✓		
The superintendent or a person delegated with the authority of the superintendent is present on the project site.					✓	
Established turn around times for extra work justification submittals are met.	✓					
Paperwork is submitted by time required.						✓
The superintendent and foreman demonstrate knowledge of the contract specifications and special provisions.					✓	
<b>TOTALS:</b>		<b>0.00</b>	<b>0.85</b>	<b>1.40</b>	<b>1.00</b>	<b>0.00</b>

(EXAMPLE)

**Overall Result for this Category:** AVERAGE = \_\_\_\_\_ *Add the total score for values checked and divide by the number of applicable criteria. Transfer this average value to Page 1 of 10.*

**EXAMPLE OF HOW TO TRANSFER TOTALS TO PAGE 1**

KEY TO DETERMINING PERFORMANCE				
1.00	0.85	0.70	0.50	0.0
C	E	E	E	C
N	A	S	I	O
S	A	P	L	V
I	E	E	S	S
S	D	C	S	S
T	S	T	T	T
E		E	E	E

SCORING SYSTEM				
*Value	X	Possible Points	=	Total Points
.54	X	13	=	7.0
0.70	X	13	=	9.1
0.70	X	12	=	8.4
		<b>38 MAX</b>		<b>24.5</b>

- 1. Managing the Project
- 1A. Project Leadership
- 1B. Communications
- 1C. Scheduling

(EXAMPLE)