



South Carolina Department of Transportation

**CONTRACTOR
PERFORMANCE
EVALUATION
POLICIES
&
PROCEDURES**

ISSUED BY THE OFFICE OF THE DIRECTOR OF CONSTRUCTION "

".....

Effective Date: JULY 1, 2010

TABLE OF CONTENTS

I. PREFACE.....	3
II. CONTRACTOR PERFORMANCE EVALUATION.....	4
A. CONTRACTOR PERFORMANCE SCORE.....	4
1. Scoring Categories.....	4
2. Impact Windows.....	4
3. Calculation of Category Points.....	5
4. Default Index Values and Default Points.....	5
5. When is CPS Issued?.....	6
6. Safety Category	6
7. On-Budget Category	8
8. On-Time Category	10
9. Quality Management Team Category	12
10. Claims Denied Category	14
11. Assessment by RCE Category	18
12. Summation of Category Points.....	20
B. REQUEST FOR REVIEW OF CPS.....	23
C. RIGHT TO APPEAL.....	23
D. CONTRACTOR PERFORMANCE THRESHOLD.....	23
E. CPS BELOW THE CPT.....	24
F. PROJECT TERMINATED FOR DEFAULT.....	24
G. MINIMUM REQUIRED CPS.....	25
CONTACT INFORMATION.....	26
APPENDIX A: TABLE OF ACRONYMS.....	A1
APPENDIX B: SC CODE OF REGULATIONS SECTION 63-307.....	B1
APPENDIX C: ASSESSMENT BY RCE FOR SWKC BEFORE 01/01/2008.....	C1
APPENDIX D: ASSESSMENT BY RCE FOR SWKC AFTER 01/01/2008.....	D1

I. PREFACE

(A Table of Acronyms used in this document is included as Appendix A.)

The South Carolina Code of Regulations, Chapter 63, Article 8, Section 63-307 (see Appendix B), allows the South Carolina Department of Transportation to establish a Contract Performance Evaluation System to determine and assign a Contractor Performance Score. It further allows the Department to set a Minimum Required Contractor Performance Score for certain projects, and to prohibit Contractors with Contractor Performance Scores below this minimum required performance score from bidding on these projects. For projects not subject to a Minimum Required Contractor Performance Score, any prequalified Contractor may bid the projects regardless of their Contractor Performance Score. The method for determining the Contractor Performance Score and for setting the Minimum Required Contractor Performance Score for bidding is part of the Contractor Performance Evaluation as described herein.

The Contract Performance Evaluation System includes the Contractor Performance Evaluation, the Resident Construction Engineer Performance Evaluation, and the SCDOT Performance Evaluation. The latter two evaluations are the subject of two separate policy and procedure documents. This document provides an overview and brief explanation of the Contractor Performance Score, Contractor Performance Threshold, and the Minimum Required Contractor Performance Score for bidding.

The explanations in this document are not in any way a limitation of the Contract Performance Evaluation System or the Contractor Performance Evaluation. Both may be amended in the future as the Department deems necessary and in accordance with the SC Code of Regulations.

II. CONTRACTOR PERFORMANCE EVALUATION

A. CONTRACTOR PERFORMANCE SCORE

1. Scoring Categories

The Contractor Performance Evaluation is based on a 100 point scoring system. The evaluation results in a score, which is called the Contractor Performance Score (CPS). Eighty percent (80%) of the CPS, or eighty (80) points, are derived from five categories of objective measurements, which are Safety, On-Budget, On-Time, QMT, and Claims Denied. The remaining twenty percent (20%) of the CPS, or twenty (20) points, is derived from an Assessment by the RCE of the Contractor's performance and use of resources during the project. The scoring categories and their Maximum Point Value are shown in the table below.

Scoring Category	Maximum Point Value
Safety	15
On-Budget	15
On-Time	20
QMT	20
Claims Denied	10
Assessment by RCE	20
TOTAL	100

2. Impact Windows

An impact window is a period of time during which performance data is used in calculating a Contractor's CPS. When an impact window expires, any data associated with that impact window also expires. The starting date and length of the impact window for each scoring category is shown in the following table:

Scoring Category	Starting Date	Length of Impact Window
Safety	Effective Date of EMR ¹	12 Months
On-Budget	SWKC ² Date	36 months
On-Time	SWKC ² Date	36 months
QMT	Date of Field Audit	36 months
Claims Denied	Date of Claim Resolution	36 months ³
Assessment by RCE	SWKC ² Date	36 months

1. EMR = Experience Modification Ratio

2. SWKC = Substantial Work Complete

3. There are two possible impact windows for Claims Denied data. One starting between the Claim Certification Date and the Date of the DRB Decision, and a second starting between the DRB Decision and the Date of the Court Decision if the claim is taken to litigation.

3. Calculation of Category Points

In order to compare Raw Scores, indices were established for each scoring category. The Index Values can be thought of as corresponding to a grade for the Raw Score. When there is data from multiple projects, the Raw Scores are indexed individually, and then an Average Index Value is determined. Category Points are then determined by multiplying the Average Index Value by the Maximum Points for that category.

4. Default Index Values and Default Points

A Default Index Value is assigned for those categories with no project generated scoring data. The Claims Denied category has a Default Index Value set at 100%, but for all other categories, the Default Index Value is set equal to the median of all the Raw Scores in the category. The median is the score that has an equal number of scores above it and below it. These Index Default Values are set at the median, so as not to substantially hurt nor help a Contractor's CPS. Category Default Points are determined by multiplying the Default Index Value by the Maximum Points for the category.

The Default Index Value and Default Points of each category are shown in the following table:

Scoring Category	Default Index Value	Default Points
Safety	75%	11.3
On-Budget	75%	11.3
On-Time	75%	15.0
QMT Field Audit	75%	15.0
Claims Denied	100%	10.0
Assessment by RCE	80%	16.0

Once data is available in a category, the Default Index Value and Default Points are no longer used, and the actual Raw Score and Category Index Value are used to determine the Category Points. Default Index Values are assigned to the category as a whole, not for each project.

5. When is CPS Issued?

When a Contractor is initially prequalified, it has no project generated scoring data to use in calculating a CPS, but it does have Safety category data, namely an Experience Modification Rate (EMR). See Item 6 below. A CPS is calculated using the Safety category data and Default Index Values in the other five scoring categories. This initial CPS is provided on the Prequalification Certificate, and will not be recalculated until the renewal of the Prequalification Certificate or project generated data becomes available. Once project generated data is available, the Contractors CPS will be issued at the end of the next calendar quarter and every calendar quarter thereafter.

When all the impact windows for project generated data have closed, the Contractor must inform SCDOT of this, and the procedures for calculating and issuing its CPS will be the same as for a newly prequalified Contractor.

6. Safety Category

The Safety category is an objective measure of the Contractor's current Experience Modification Ratio (EMR). The EMR is based on Workers Compensation claims filed by the Contractor, and is issued annually. The EMR compares losses of similarly classified employers, which in this case are Contractors. A Contractor whose losses are equal to industry standard would have an EMR equal to 1.00. Most states use the National Council of Compensation Insurance, Inc. (NCCI) as the EMR source, but a few states have their own Rating Bureaus that issue experience modification rates. The EMR is not related to a particular size or type of project.

Unless verification of an updated EMR is provided by the Contractor, the EMR that is used in the Raw Score is the one provided in the *SCDOT Prime Contractor Prequalification Questionnaire* either submitted for initial prequalification or for renewal of prequalification. Verification requires submission of documentation from the issuing source. The Contractor is solely responsible for notifying the Department of changes in the EMR. The submitted updated EMR data will be used in the next quarterly CPS that is calculated and issued.

The Safety Raw Score is equal to the EMR:

$$\text{Safety Raw Score} = \text{EMR}$$

The Safety Index Value is calculated using one of the following formulae depending on the Raw Score:

$$\text{For } 0.50 \leq \text{Raw Score} \leq 1.00, \text{ I} = (2.50 - \text{Raw Score}) \times 50.0\%$$

$$\text{For } 1.00 < \text{Raw Score} \leq 1.50, \text{ I} = (1.50 - \text{Raw Score}) \times 150.0\%$$

The table below is an abbreviated Safety Index Table showing some Raw Scores and the corresponding Index Values for the Safety category.

SAFETY INDEX TABLE	
RAW SCORE	INDEX VALUE
0.50	100%
0.55	98%
0.60	95%
0.65	93%
0.70	90%
0.75	88%
0.80	85%
0.85	83%
0.90	80%
0.95	78%
1.00	75%
1.05	68%
1.10	60%
1.15	53%
1.20	45%
1.25	38%
1.30	30%
1.35	23%
1.40	15%
1.45	8%
1.50	0%

Default Index Value

←

The Safety Index is capped at the maximum and minimum values shown in the table above.

The following is an example of the calculation of Safety Category Points:

Given:

Contractor's EMR = 0.92 (from their last prequalification questionnaire)

Calculate Safety Category Points:

Raw Score = EMR = 0.92

Index Value = (2.50 – Raw Score) X 50.0%

= (2.50 – 0.92) X 50.0%

= (1.58) X 50.0%

= 79.0%

Category Points = Maximum Points X Index Value

= 15.0 points X 79.0%

= 15.0 points X 0.790

= 11.9 points

7. On-Budget Category

The On-Budget category is an objective measure of the Paid Amount compared to the Bid Amount. The On-Budget category is the only category that has an Index that is based on the monetary size of the project. There are 3 project sizes, which are based on the original bid amount of the project. The 3 project sizes are as follows:

1. Less than \$1,000,000
2. Between \$1,000,000 and \$10,000,000
3. Greater than \$10,000,000.

It is important to note that the On-Budget data is only measured after the SWKC date, and it may still change up until the Final Estimate is paid and the project is closed out. The On-Budget Raw Score is determined by the following formula:

$$\text{On-Budget Raw Score} = \frac{\text{Paid Amount} - \text{Extensions} + \text{LDs}}{\text{Bid Amount}}$$

The Paid Amount has two adjustments made to it, Extensions and Liquidated Damages (LDs). An Extension is work that is beyond the original scope or limits of the project such as adding a road to a resurfacing project or extending the paving of a road beyond the original limits of the project. Liquidated Damages is a monetary penalty withheld from the amount paid to a Contractor because of the failure to meet the contract completion requirements. The LDs are added back to the Paid Amount, so that the Contractor does not benefit in the On-Budget category for completing the project behind schedule.

Although almost all contracts have Change Orders (COs), there are no adjustments for specific individual COs in the On-Budget Raw Score for such things as overrun or underrun of plan quantities, incorrect plan details or plan errors (unless gross errors are found), required rework by the Contractor, or asphalt or fuel adjustments. Contractors generally take the position that COs are beyond their control, and although it is rare for a project not to have any COs, over many projects the plus and minus COs balance out. Even for the Contractor that has only a few or even only one project, there are ways to avoid or minimize the effect of COs. These measures include, but are not limited to, Value Engineering, implementing strict loss control procedures in the use of materials, assigning their best trained personnel to the project, avoiding re-work, careful planning of the work, adhering to a well developed project schedule, and avoiding liquidated damages.

However, occasionally there may be some projects with COs beyond the normal number or dollar amount. For this reason, the On-Budget Indices include a 2% increase beyond the historic amount paid on projects that included COs.

The On-Budget Index Value for each size category is calculated by one of the following the formulae corresponding to the project size:

For Projects Less than \$1M;	$I = (1.75 - \text{Raw Score}) \times 100.0\%$
For Projects \$1M to \$10M;	$I = (1.77 - \text{Raw Score}) \times 100.0\%$
For Projects Greater than \$10M;	$I = (1.82 - \text{Raw Score}) \times 100.0\%$

Below is an abbreviated table showing some Raw Scores and their corresponding Index Values.

ON-BUDGET INDEX TABLE					
GREATER THAN \$10M		\$1M TO \$10M		LESS THAN \$1M	
RAW SCORE	INDEX VALUE	RAW SCORE	INDEX VALUE	RAW SCORE	INDEX VALUE
0.82	100%	0.77	100%	0.75	100%
0.87	95%	0.82	95%	0.80	95%
0.92	90%	0.87	90%	0.85	90%
0.97	85%	0.92	85%	0.90	85%
1.02	80%	0.97	80%	0.95	80%
1.07	75%	1.02	75%	1.00	75%
1.12	70%	1.07	70%	1.05	70%
1.17	65%	1.12	65%	1.10	65%
1.22	60%	1.17	60%	1.15	60%
1.27	55%	1.22	55%	1.20	55%
1.32	50%	1.27	50%	1.25	50%
1.37	45%	1.32	45%	1.30	45%
1.42	40%	1.37	40%	1.35	40%
1.47	35%	1.42	35%	1.40	35%
1.52	30%	1.47	30%	1.45	30%
1.57	25%	1.52	25%	1.50	25%
1.62	20%	1.57	20%	1.55	20%
1.67	15%	1.62	15%	1.60	15%
1.72	10%	1.67	10%	1.65	10%
1.77	5%	1.72	5%	1.70	5%
1.82	0%	1.77	0%	1.75	0%

Default Index Value

The On-Budget Index is capped at the maximum and minimum values shown in the table above.

The following is an example of the calculation of On-Budget Category Points:

Given:

\$ Bid Amount = \$1,500,000

\$ Paid Amount = \$1,600,000

\$ Extension = \$225,000

\$ LDs = 25 days late X \$800/day = \$20,000

Calculate Category Points:

$$\begin{aligned}\text{Raw Score} &= \frac{\text{Paid Amount} - \text{Extensions} + \text{LDs}}{\text{Bid Amount}} \\ &= \frac{\$1,600,000 - \$225,000 + \$20,000}{\$1,500,000} \\ &= 0.930\end{aligned}$$

For project size = \$1,500,000, use Index formula for \$1M to \$10M

$$\begin{aligned}\text{Index Value} &= (1.77 - 0.930) \times 100.0\% \\ &= (0.84) \times 100.0\% \\ &= 84.0\%\end{aligned}$$

$$\begin{aligned}\text{Category Points} &= \text{Maximum Points} \times \text{Index Value} \\ &= 15.0 \times 84.0\% \\ &= 15 \times 0.840 \\ &= \underline{12.6 \text{ points}}\end{aligned}$$

8. On-Time Category

The On-Time score is an objective measure of how well the Contractor met the project SWKC date. The On-Time Raw Score is a ratio of time it took to reach SWKC to the required time and is calculated by the following formula:

$$\text{On-Time Raw Score} = \frac{\text{SWKC Date} - \text{NTP Date}}{\text{Completion Date} - \text{NTP Date}}$$

Where:

SWKC Date = Substantial Work Complete Date

NTP Date = Notice To Proceed Date

Completion Date = Original Completion Date or Adjusted Completion Date,
whichever is greater

The On-Time Index is calculated by the following formula:

$$\text{On-Time Index Value} = (2.50 - \text{Raw Score}) \times 50.0\%$$

The table below is an abbreviated On-Time Index table showing some Raw Scores and their corresponding Index Values.

ON-TIME INDEX TABLE	
RAW SCORE	INDEX VALUE
0.50	100%
0.60	95%
0.70	90%
0.80	85%
0.90	80%
1.00	75%
1.10	70%
1.20	65%
1.30	60%
1.40	55%
1.50	50%
1.60	45%
1.70	40%
1.80	35%
1.90	30%
2.00	25%
2.10	20%
2.20	15%
2.30	10%
2.40	5%
2.50	0%

Default Index Value

The On-Time Index is capped at the maximum and minimum values shown in the table above.

The following is an example of the calculation of On-Time Category Points:

Given:

NTP Date = 03/01/2006

Original Completion Date = 10/31/2007

Original Completion Date was adjusted 38 days by COs for utility delays.

Adjusted Completion Date = 10/31/2007 + 38days = 12/08/2007

SWKC Date = 11/08/2007 (30 days early)

Calculate the Category Points:

$$\begin{aligned} \text{On-Time Raw Score} &= \frac{\text{SWKC Date} - \text{NTP Date}}{\text{Completion Date} - \text{NTP Date}} \\ &= \frac{11/08/2007 - 03/01/2006}{12/08/2007 - 03/01/2006} \\ &= \frac{617}{647} \\ &= 0.953 \end{aligned}$$

$$\begin{aligned} \text{On-Time Index Value} &= (2.50 - \text{Raw Score}) \times 50.0\% \\ &= (2.50 - 0.953) \times 50.0\% \\ &= (1.547) \times 50.0\% \\ &= 77.4\% \end{aligned}$$

$$\begin{aligned} \text{On-Time Points} &= \text{Max. Points} \times \text{Index Value} \\ &= 20.0 \times 77.4\% \\ &= 20.0 \times 0.774 \\ &= \underline{15.5 \text{ points}} \end{aligned}$$

9. Quality Management Team Category

The Quality Management Team (QMT) category is an objective measure of the adherence to proper procedures during the field work on the project. The QMT visits the site and conducts an in-depth audit of the RCE's office, the Contractor's work, and the field conditions on the project. The RCE, Contractor, and Project each receive a QMT Field Audit score. The Contractor's score is the only one used in the CPS.

The Raw Score for QMT category is equal to the QMT Field Audit score:

QMT Raw Score = QMT Field Audit Score
--

When a QMT field audit results in a substandard score, a follow-up visit is scheduled to the project, usually within a few weeks of the original audit. The QMT score from follow-up visit is not used in the QMT category because in the follow-up audit only deficient areas are re-audited, and using them would diminish the value of the original field audit score.

If a project receives two or more QMT field scores, an Index Value for each QMT field score on the project is determined, and an average Index Value for the project is found. The average Index Value for the project is then averaged with the Index Values

from any other projects to determine the Averaged Index Value and is used to determine the Category Points (i.e., Raw Scores are not averaged, only Index Values are averaged).

The QMT Index Value is calculated using the following formulae depending on the QMT Raw Score:

For QMT Raw Scores from 2.60 to 3.00:
QMT Index Value = (Raw Score – 2.20) X 125.0%

For QMT Raw Score from 2.50 to 2.59:
QMT Index Value = (Raw Score – 2.50) X 500.0%

Below is an abbreviated QMT Index Table showing some Raw Scores and their corresponding Index Values.

QMT INDEX TABLE	
RAW SCORE	INDEX VALUE
3.00	100%
2.95	94%
2.90	88%
2.85	81%
2.80	75%
2.75	69%
2.70	63%
2.65	56%
2.60	50%
2.55	25%
2.50	0%

Default Index Value

←

The QMT Index is capped at the maximum and minimum values shown in the table above.

The following is an example that illustrates how QMT Category Points are calculated when there is more than one field audit.

Given:

1st QMT field score on 07/14/2006 = 2.58

Follow-up QMT field score on 8/01/2006 = 2.87

2nd QMT field score on 03/15/2007 = 2.92

Calculate Category Points:

$$\begin{aligned}\text{Raw Score 1} &= 1^{\text{st}} \text{ QMT field score on 07/14/2006} \\ &= 2.58\end{aligned}$$

$$\begin{aligned}\text{Index Value 1} &= (\text{Raw Score} - 2.50) \times 500.0\% \\ &= (2.58 - 2.50) \times 500.0\% \\ &= (0.08) \times 500.0\% \\ &= 40.0\%\end{aligned}$$

$$\begin{aligned}\text{Raw Score 2} &= 2^{\text{nd}} \text{ QMT field score on 05/15/2007} \\ &= 2.92\end{aligned}$$

$$\begin{aligned}\text{Index Value 2} &= (\text{Raw Score} - 2.20) \times 125.0\% \\ &= (2.92 - 2.20) \times 125.0\% \\ &= (0.72) \times 125.0\% \\ &= 90.0\%\end{aligned}$$

$$\begin{aligned}\text{Average Index Value} &= (\text{Index Value 1} + \text{Index Value 2}) \div 2 \\ &= (40.0\% + 90.0\%) \div 2 \\ &= 130.0\% \div 2 = 65.0\%\end{aligned}$$

$$\begin{aligned}\text{Category Points} &= \text{Maximum Points} \times \text{Average Index Value} \\ &= 20.0 \times 65.0\% \\ &= 20.0 \times 0.650 \\ &= \underline{13.0 \text{ points}}\end{aligned}$$

10. Claims Denied Category

The purpose of this category is to encourage Contractors to resolve a potential claim before a claim is Certified, and to make sure that if a claim is Certified and submitted to a Dispute Review Board (DRB), the Contractor has thoroughly reviewed its claim and that the claim is not inflated by questionable damages. Filing a *SCDOT Form 100.04, Contractor Notice of Claim*, merely reserves the Contractor's right to submit a claim at a later date, and it has no impact on a Contractor's CPS. A claim could only negatively impact the Contractor's CPS if the claim is **Certified** in accordance with the **Subsection 105.16.8** of the *2007 Standard Specifications for Highway Construction*. If 100% of the claim amount is awarded to the Contractor, the claim has no impact on the Contractor's CPS.

Only the amount of a Certified Claim that is or not awarded nor paid to a Contractor, either by settlement or by a DRB or Court decision, is used in the CPS scoring. The Raw Score for Claims Denied is determined by the following formula:

<p>Claims Denied Raw Score = $\frac{\text{Percent of the Claim Amount Denied}}{\text{Number of Projects}}$</p> <p>Where: Number of Projects = The number of projects with a SWKC date within the 3 years previous to Claim Certification date.</p>

The Claim Denied Index Value is calculated using the following the formula:

<p>Claim Denied Index Value = (10.00% – Raw Score) X 10.0</p>
--

There are two possible impact windows in which a Claim Denied score can impact the Contractor's CPS. After a claim is certified, the first 36-month impact window starts when the Contractor accepts a settlement offer from the SCDOT or the date of the DRB decision, whichever comes first. If the Contractor takes the claim to litigation, a second impact window starts when the Contractor accepts a settlement offer from the SCDOT or the date of the Court decision, whichever comes first. The claim actions and impact windows are summarized in the table below.

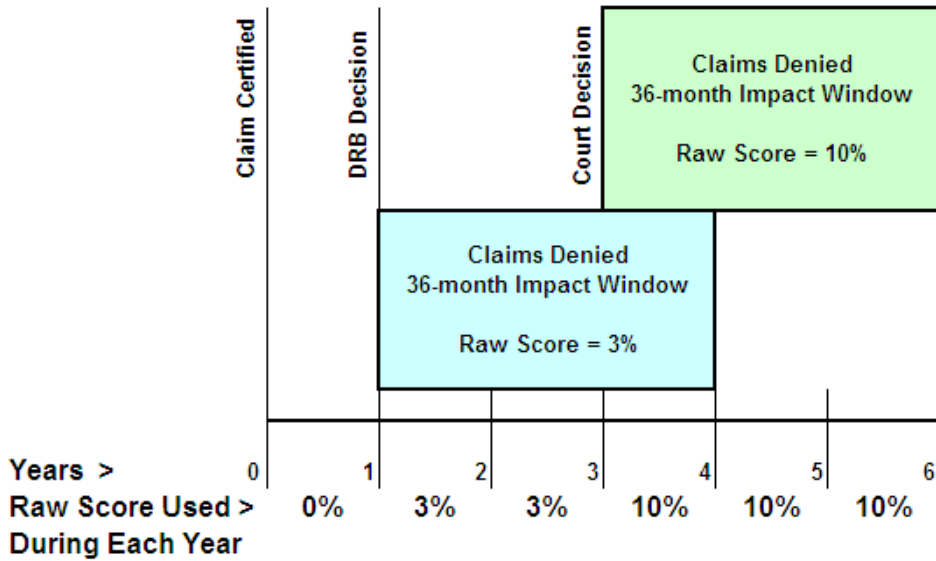
Action by Contractor	Start of Impact Window	Length of Impact Window
<i>Form 100.04</i> is submitted	NA	NA
Claim is Certified	Contractor accepts settlement offer from SCDOT or date of DRB Decision, whichever comes first.	36 Months
Claim is taken to Litigation	Contractor accepts settlement offer from SCDOT or date of Court Decision, whichever comes first.	36 Months

If the two impact windows overlap, the highest Raw Score would govern during the overlap period.

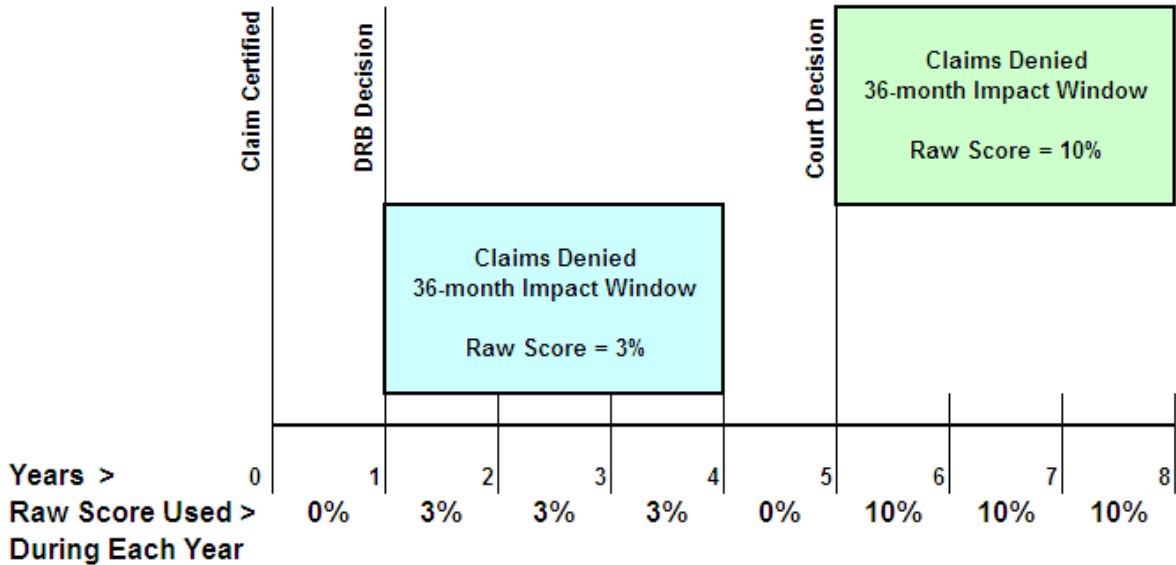
Example:

An overlap would occur if a Contractor certifies a claim and does not accept the DRB decision. The Raw Score for the claim is 3% calculated using the DRB decision. The impact window would start on the date of the DRB decision. The Contractor does not accept the DRB decision and takes the claim to litigation. The date of the Court decision is two years after the DRB decision and results in a Raw Score of 10%. If the Contractor does not accept a settlement offer before the Court decision, a second impact window starts on the date of the Court decision. An

overlap of the impact windows occurs during the last year of the first impact window and the first year of the second impact window. This example is illustrated in the diagram below:



Using the same example, what if the date of the Court decision is not until 4 years after the DRB decision? The illustration would change to the following:



The amount of the claim awarded to the Contractor will not be counted in the On-Budget category.

Below is an abbreviated Claims Denied Index Table showing some Raw Scores and their corresponding Index Values:

CLAIMS DENIED INDEX TABLE	
RAW SCORE	INDEX VALUE
0.0%	100%
1.0%	90%
2.0%	80%
3.0%	70%
4.0%	60%
5.0%	50%
6.0%	40%
7.0%	30%
8.0%	20%
9.0%	10%
10.0%	0%
>10.0%	0%

Default Index Value

←

The Claims Denied Index is capped at the maximum and minimum values shown in the table above.

The following is an example of the calculation of Claim Denied Category Points:

Given:

Claim Certification Date = 10/31/2007

Amount of Claim = \$500,000

Calculate Category Points:

Decision of the DRB = \$300,000 awarded to the Contractor

Percent of Claim Denied = $\frac{\$500,000 - \$300,000}{\$500,000}$

= 0.400 = 40.0%

Date of Decision by DRB = 1/27/2008

Number of Projects = 7 projects with SWKC date within 3 years previous to the Claim Certification date (10/31/2007)

Raw Score = $\frac{\text{Percent of the Claim Amount Denied}}{\text{Number of Projects}}$

= $\frac{40.0\%}{7}$

= 5.71 %

$$\begin{aligned}
\text{Index Value} &= (10.00\% - \text{Raw Score}) \times 10.0 \\
&= (10.00\% - 5.71\%) \times 10.0 \\
&= (4.29\%) \times 10.0 \\
&= 42.9\%
\end{aligned}$$

$$\begin{aligned}
\text{Category Points} &= \text{Max. Points} \times \text{Index Value} \\
&= 10.0 \times 42.9\% \\
&= 10.0 \times 0.429 \\
&= \underline{4.3 \text{ points}}
\end{aligned}$$

11. Assessment by RCE Category

The Assessment by the RCE consists of 18 multiple choice questions about the Contractor's performance and its use of resources on the project. The Assessment questions were first issued in January 2005, and in January 2007, the original 18 questions were re-examined. Some of the original questions were revised, and the revised question became effective 01/01/2008. The 18 original questions are numbered 1 through 9 and 11 through 19 and are used on projects with a SWKC date before 01/01/2008. The original questions are attached to this document as Appendix C. The table below shows the original question numbers and their maximum point value.

Original Assessment Questions and Maximum Points for Projects with SWKC before 01/01/2008																				
Question No.	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	Total
Max. Points	10	5	5	10	5	5	5	5	5	NA	5	5	5	5	5	5	5	5	5	100

The 18 revised questions are numbered 1 through 18 and are used for projects with a SWKC after 01/01/2008. The revised questions are attached to this document as Appendix D. The table below shows the question numbers and their maximum point value.

Assessment Questions and Maximum Points for Projects with SWKC after 01/01/2008																				
Question No.	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	Total
Max. Points	10	5	5	10	5	5	5	5	5	5	5	5	5	5	5	5	5	5	NA	100

The RCE fills out the Assessment and submits it on-line as soon as he or she has all the information needed to answer the applicable questions. The questions have a maximum value of 5 points each, except for Question No. 1 and Question No. 4 in both the original and revised sets. Question No.1 concerns safety, and Question No.4 concerns

environmental issues. These two areas are very important to the SCDOT; and therefore, they are given twice the weight as the other questions and are worth a maximum of 10 points each. Each of the multiple choice answers selected by the RCE corresponds to the points scored for that question. There is no Index used in this category because the Raw Scores are already a percentage that ranges from 0% to 100%.

The Raw Score for Assessment by RCE is determined by the following formula:

$\text{Raw Score for Assessment by RCE} = \frac{\text{Points Scored}}{\text{Maximum Points}} \times 100.0\%$
--

Not all questions will apply to all projects, so some questions will have a NA (Not Applicable) choice selected. If the NA box is selected the maximum points for that question is not included in the Maximum Points in the formula above.

Example:

Given:

The following table shows the results of an Assessment by RCE for project that has a SWKC date of 11/08/2007.

Question No.	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	Total
Max. Points	10	5	5	10	5	5	5	0	5	NA	5	5	5	5	5	5	0	5	5	90
Points Scored	8	4	5	10	1	3	3	NA	4	0	4	5	3	1	3	4	NA	3	4	65

Question No. 10 is not included because the SWKC date for this project is before 01/01/2008. Question Nos. 8 and 17 received a NA response; and therefore, the maximum 5 possible points for those two questions are not included in the Total of the Max. Points row or the Points Scored row.

$$\begin{aligned}
 \text{Raw Score} &= \frac{\text{Number of Points Scored}}{\text{Maximum Possible Points}} \times 100.0\% \\
 &= \frac{65}{90} \times 100.0\% \\
 &= 72.2\%
 \end{aligned}$$

Since there is no index used in this category, the Category Points are determined as follows:

$$\begin{aligned}
 \text{Category Points} &= \text{Maximum Points} \times \text{Raw Score} \\
 &= 20.0 \times 72.2\% \\
 &= 20.0 \times 0.722 \\
 &= \underline{14.4 \text{ points}}
 \end{aligned}$$

12. Summation Of Category Points for CPS

If the CPS for the project illustrated in Section Nos. 6 through 11 above is calculated on 03/31/2009, the Category Points and CPS would be as shown in the table below.

Scoring Category	Category Index	Category Points
Safety	79.0%	11.9
On-Budget	84.0%	12.6
On-Time	77.4%	15.5
QMT	65.0%	13.0
Claims Denied	42.9%	4.3
Assessment by RCE	72.2%	14.4
Total CPS =		71.7

Not all projects will have a **QMT** or a **Claims Denied** Raw Score data. If that were the case for the Example project and it was the Contractor's only project, the Default Point Values would be used in those categories as shown in the table below.

Scoring Category	Category Index	Category Points
Safety	79.0%	11.9
On-Budget	84.0%	12.6
On-Time	77.3%	15.5
QMT	75% (Default)	15.0 (Default)
Claims Denied	100%(Default)	10.0 (Default)
Assessment by RCE	72.2%	14.4
CPS =		79.4

It is important to remember that when two or more projects have Raw Scores in a category, an Index Value is calculated for each individual Raw Score, then the Index Values are averaged. The Average Index Value is multiplied by the Maximum Points to determine the Category Points.

Example:

Given:

The CPS for a Contractor is being calculated for the end of the 2nd Quarter of 2009, and on 06/30/2009, the Contractor has 2 completed projects and one active project with the following information:

Safety: (Not Project Related)

EMR (Effective Date 12/31/2005) = None issued - company just 3 years old

Use Default Raw Score = 1.00 Default Value
Default Index Value = 75.0%

EMR (Effective Date 12/31/2006) = 0.90

Raw Score = 0.90
Index Value = 80.0%

EMR (Effective Date 12/31/2007) = 0.95

Raw Score = 0.95
Index Value = 77.5%

EMR (Effective Date 12/31/2008) = 1.10

Raw Score = 1.10
Index Value = 60.0% ✓

Project 1:

SWKC = 06/05/2004 (limit of 36-month impact window is 06/05/2007)

On-Budget Index = 87.9%
On-Time Index = 80.2%
Assessment by RCE Index = 88.6%

QMT Index = 92.8%,

Audit Date = 06/15/2003 (limit of 36-month impact window is 06/15/2006)

Claim Denied (Claim Certified 05/25/2004)

DRB Decision on 02/7/2007 (limit of 36-month impact window is 02/7/2010)

Raw Score based on DRB Decision = 3.0%
Index Value based on DRB Decision = 70.0%

DRB not accepted by Contractor, and claim taken to litigation.

Court Decision on 10/3/2008 (limit of 36-month impact window is 10/3/2011)

Raw Score based on Court Decision = 6.0%
Index Value based on Court Decision = 40.0% ✓

There is an overlap of impact windows on 06/30/2009

Since the higher Raw Score on 06/30/2009 is from Court Decision,

Use Index Value = 40.0% ✓

Project 2:

SWKC = 05/12/2007 (limit of 36-month impact window is 05/12/2010)

On-Budget Index = 63.2% ✓

On-Time Index = 72.3% ✓

Assessment by RCE Index = 65.6% ✓

QMT Index = 71.0% ✓

Audit Date = 09/15/2006 (limit of 36-month impact window is 09/15/2009)

No Claims

Project 3:

SWKC = not substantial complete

On-Budget Index = No SWKC

On-Time Index = No SWKC

Assessment Index = No SWKC

QMT Index = 67.5% ✓

Audit Date= 09/15/2008 (limit of 36-month impact window is 09/15/2011)

Claim certified on 05/01/2009

No accepted settlement yet

No DRB decision yet

Claim has not gone to litigation

The Category Index Values, Category Points, and CPS on 06/30/2009 are shown in the following table:

Scoring Category	Category Indices Project 1	Category Indices Project 2	Category Indices Project 3	Average Category Index	Max. Category Points	Category Points
Safety	NA	NA	NA	60.0%	15.0	9.0
On-Budget	Expired	63.2%	No data yet	63.2%	15.0	9.5
On-Time	Expired	72.3%	No data yet	72.3%	20.0	14.5
QMT	Expired	71.0%	67.5%	69.3%	20.0	13.9
Claims Denied	40.0%	NA	NA	40.0%	10.0	4.0
Assessment RCE	Expired	65.6%	No data yet	65.6%	20.0	13.1
CPS =						64.0

The NA is used for the Safety category because the EMR is not associated with a project. The current annual EMR is used for any CPS that is calculated.

On Project 1, the Raw Scores and Category Index Values for the On-Budget, On-Time, and Assessment by RCE categories have all expired with the end of the SWKC 36-month impact window on 06/05/2007. Similarly the Raw Score and Category Index Value for the QMT category expired with the end of the QMT 36-month impact window on 06/13/2006.

On Project 3, there are no Raw Scores or Category Index Values for On-Budget, On-Time, and Assessment by RCE categories because data for those categories is only available on projects with a open SWKC impact window.

There are no Default Index Values used because there is at least one calculated Category Index Value in every category. If the claim in Project 1 had not had a DRB decision as of 06/30/2009 (date of the CPS), then the Average Category Index for Claims Denied category would have been the Default Category Index of 100% instead of 40%.

B. REQUEST FOR REVIEW OF CPS

A Contractor may request a conference with the Director of Construction or his designee to review the data and calculations that were used to determine its latest CPS. At the conference all the data and Raw Scores will be reviewed, and the methodology and calculations that were used to determine each Category Index Values, Category Points, and the aggregate CPS will be reviewed. The Department urges all Contractors to request such a CPS review meeting before filing a formal Appeal of its CPS. A Contractor is welcome to request a CPS review conference at any time. New Contractors that do not have a CPS are especially encouraged to request a conference to go over the entire Contract Performance Evaluation System.

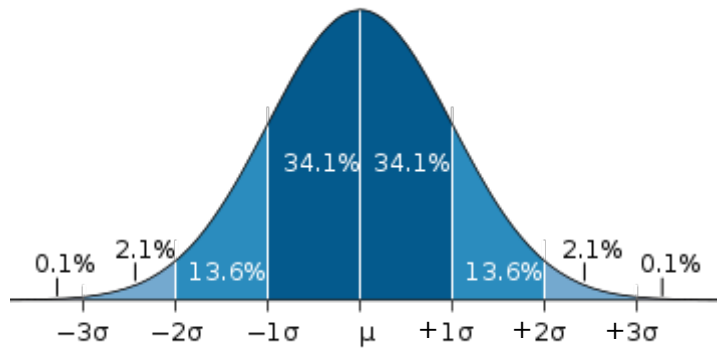
C. RIGHT TO APPEAL

If the Contractor thinks there may have been an error in calculating its CPS, the Contractor may appeal its CPS by submitting a written appeal along with relevant evidence concerning the appeal to the Deputy Secretary for Engineering. The appeal must state a specific reason or basis for the appeal. The Deputy Secretary may consider evidence submitted by the contractor and any other relevant evidence and consult with SCDOT staff and any other person or entity for recommendations concerning the appeal. After review, the Deputy Secretary for Engineering will make a recommendation for a decision to the Secretary of Transportation, who will issue the final agency decision on the appeal within ninety (90) days of the appeal submission date.

D. CONTRACTOR PERFORMANCE THRESHOLD

The Contractor Performance Threshold (CPT) is the CPS below which performance is judged to be substandard. The CPT is calculated in January and remains in effect for the remainder of the calendar year unless there is a change in methodology or procedures for determining the CPS. Using all of the CPS scores containing project generated data that are effective January 1st as the data population, the CPT is set equal to the statistical point equal to the 2nd standard deviation of a normal distribution.

The graphic representation of a normal distribution is also known as a bell curve and is commonly used for predicting results or assigning grades for test scores. The horizontal axis is the value of the score, and the curve is formed by the distribution of the number occurrences of each score around the mean or average score. The more scores the smoother the curve. A typical bell curve is shown below.



The μ on the horizontal scale is the location of the mean or average score. Typically, the number of occurrences of each score diminishes in both directions away from the mean score. The -1σ and $+1\sigma$ are the 1st standard deviation in each direction. For a normal distribution as shown above, the standard deviation is a calculation of the variance of the distribution away from the mean score. Typically it is located at a point that contains 34.1% of the scores on each side of the mean. Theoretically, 68.2% of all the scores should fall between the two 1st standard deviations. The -2σ and $+2\sigma$ are the 2nd standard deviations. Theoretically, 13.6% of all the scores should fall between the 1st and 2nd standard deviations on each side of the mean. Approximately 95% of all the scores would fall between -2σ and $+2\sigma$.

On January 1, 2009, the mean CPS or μ was 77.9422, the high CPS was 87.4, and the low CPS was 62.3. With this information and assuming a normal distribution, a standard deviation is calculated to be 4.4766. The standard deviation values (rounded to one decimal place) for 2009 are shown in the table below.

-2σ	-1σ	μ	$+1\sigma$	$+2\sigma$
69.0	73.5	77.9	82.4	86.9

The CPT for 2009 was set at the -2σ or 69.0 (rounded to one decimal place). If there is a change in the scoring system during the year, the CPT will be adjusted accordingly.

E. CPS BELOW CPT

If a Contractor's quarterly CPS falls below the CPT, the Contractor, upon notification, must schedule and participate in a CPS review meeting with the Director of Construction. This meeting is optional for Contractors with a CPS without project generated data. The review meeting must take place before the end of the next quarter. All the data, Raw Scores, and Category Indices that were used to calculate the CPS will be reviewed. An in-depth explanation of the CPES, Contractor Performance Evaluation, and QMT Field

Audit procedures will be discussed at the meeting. The intent is to provide the Contractor with an in-depth knowledge of the system, determine the causes of the substandard CPS, and determine ways to improve scores on active projects.

A consequence of having a CPS below the CPT is that the Contractor will be prohibited from bidding on projects with a Minimum Required CPS because the Minimum Required CPS is never be set below the CPT. Setting of the Minimum Required CPS is discussed in the Item F below.

F. PROJECT TERMINATED FOR DEFAULT

If a project is terminated for default, the project's On-Time and On-Budget Index Values will be set at 0.0% for 36 months from the SWKC date set for the defaulted project. All others category indices and points will be calculated as normal.

G. MINIMUM REQUIRED CPS

The Department may set a Minimum Required CPS on a project as a prequalification for bidding in accordance with SC Code of Regulations, Chapter 63, Article 8, Section 63-307. If a Minimum Required CPS is set on a project, it means that the Department will not accept a bid from a Contractor whose latest effective CPS is below the Minimum Required CPS set for the project. The Minimum required CPS will be clearly stated in the project advertisement and the project proposal.

Not all projects will have a Minimum Required CPS, which means there is no minimum CPS required for bidding. If a Contractor has appealed its last CPS within 30 days of issue, and the final decision has not been issued, the Contractor's CPS from the previous quarter will apply.

The Minimum Required CPS is determined by evaluating the project using ten (10) categories. These categories are list below:

1. Has complex engineering design
2. Has critical time constrains that must be met
3. Is an environmentally sensitive project
4. Is a high profile project
5. Requires complex traffic control
6. Requires high level of interaction between Subcontractors and/or with Utilities
7. Requires highly specialized equipment not normally required
8. Is located in a densely populated area, or surrounding properties and business will be severely impacted
9. Has an ADT greater than 10,000 vpd
10. Engineer's Estimate is greater than \$1,000,000

Projects that qualify for 0, 1, or 2 of these categories will not have a Minimum Required CPS. Projects that qualify for 3 of these categories will have a Minimum Required CPS set equal to the value of the low 2nd standard deviation of all of the CPS at the beginning of the calendar year. Projects that qualify for 4, 5, or 6 of these categories

will have a Minimum Required CPS set equal to the value of the low 2nd standard deviation + 1.0 point. Projects that qualify for 7 or more of these categories will have a Minimum Required CPS set equal to the value of the low 1st standard deviation of all of the CPS at the beginning of the calendar year. The Minimum Required CPS values are shown in the table below.

No. of Qualifying Categories	0, 1, or 2	3	4, 5, or 6	7 or more
Minimum Required CPS Equals	None	Low 2 nd Standard Deviation	Low 2 nd Standard Deviation + 1.0 Point	Low 1 st Standard Deviation

CONTACT INFORMATION

For any questions concerning the Contract Performance Evaluation System or the Contractor Performance Evaluation, please contact the Construction Data Support Engineer by telephone at (803) 737-1308, or by mail at the following address:

SCDOT
 Construction Data Support, Room 330
 PO Box 191
 Columbia, SC 29202

A copy of this document is available on-line at the following Internet web site:
<http://www.scdot.org/doing/prequalified.shtml>

APPENDIX A

TABLE OF ACRONYMS	
BRD	Dispute Review Board
CPES	Contract Performance Evaluation System
CPS	Contractor Performance Score
CPT	Contractor Performance Threshold
CO (or COs)	Change Order (or Orders)
EMR	Experience Modification Ratio (or Rate)
LDs	Liquidated Damages
NTP	Notice to Proceed
QMT	Quality Management Team
RCE	Resident Construction Engineer
SWKC	Substantial Work Complete

APPENDIX B

South Carolina Code of Regulations

63.307 Contractor Performance Evaluation

A. Contract Performance Evaluation System.

1. The South Carolina Department of Transportation may use a contract performance evaluation system to evaluate the performance of a contractor on highway and bridge construction projects and to assign a contractor performance score. The Department shall use evaluation criteria and quality audits that include, but are not limited to:
 - a) Objective evaluation of how well the contractor completed projects on schedule and within the bid amount;
 - b) Field audits conducted during construction that evaluate the contractor's performance on active projects;
 - c) Objective evaluation of the merit of claims filed by the contractor based on the proportional amount of each claim that was upheld and awarded to the contractor;
 - d) Evaluations by the Resident Construction Engineers on the contractor's completed projects, which include rating of the contractor's performance in such areas as safety, environmental issues, the contractor's personnel and equipment, public relations, and compliance with Equal Employment Opportunities statutes, the Davis Bacon Act, and Disadvantaged Business Enterprise goals.
2. The Department may revise the evaluation criteria as it deems necessary to ensure equitable evaluation of all contractors.

B. Minimum Required Contractor Performance Score

The Department may require bidders to have a minimum contractor performance score to bid on a project. The Department shall determine the appropriate minimum score for a project based on an evaluation of criteria that includes, but is not limited to design complexity, critical time constraints, environmental sensitivity, complex traffic control, location in densely populated areas, need for specialized equipment, high traffic volume, and project cost.. All prequalified contractors whose contractor performance score is below the minimum shall not be allowed to bid on projects that require a minimum required contractor performance score. Prequalified contractors who have never had or do not have a current contractor performance score will not be subject to this bidding restriction.

C. Definitions.

1. **Minimum Required Contractor Performance Score:** A minimum contractor performance score set by the Department for a particular project for acceptance of bids. The minimum score shall be set based on criteria established by the Department.

APPENDIX B

2. Deputy Secretary for Engineering: The division director of the construction, engineering and planning division of SCDOT.
- D. Contractor Performance Score. A contractor performance score for each contractor may be determined by the Department using performance evaluations and quality audits of the contractor's performance compiled by the Department. All active contractors shall be periodically notified of their contractor performance score.
 - E. Contractor's Right to Review of its Performance Score. A contractor may request a conference to review the calculation of its contractor performance score and the information upon which the score is determined by requesting a review conference with the Director of Construction or his or her designee.
 - F. Contractor's Right to Appeal Its Contractor Performance Score. A contractor may appeal its contractor performance score to the Deputy Secretary for Engineering. The appeal must be in writing and include the basis for the appeal. The Deputy Secretary for Engineering may consider evidence submitted by the contractor and any other relevant evidence and consult with SCDOT staff and any other person or entity for recommendations concerning the appeal. The Deputy Secretary for Engineering shall make a recommendation to the Secretary, who shall issue a final agency decision on the appeal within ninety (90) days of the receipt of the appeal.

APPENDIX C

Contractor Performance Assessment by RCE For Projects with SWKC Before 01/01/2008

1. Workforce/Work Zone Safety Objective = 0 accidents/0 injuries

- 10 **0 accidents/0 injuries**, no observed safety violations, outstanding safety programs.
- 8 **0 accidents/0 injuries** with minimal observed safety violations.
- 6 **An accident** recorded, but **no injury** occurred due to work zone failure or construction operation safety violations observed.
- 4 **Recordable injury** occurring within the work zone due to work zone failure or construction operation. (Contractor, SCDOT Employee, or Public).
- 0 **Fatality** due to work zone failure or construction operation.

Comment: _____

2. Workforce/Work Zone Safety

- NA
- 5 **Safety program exceeded project requirement.**
- 4 **Met all project requirements with minimal need for SCDOT direction.**
- 3 **Met all project requirements with periodic SCDOT direction.**
- 2 **Met all project requirements with constant SCDOT direction.**
- 1 **Failed to meet all project requirements and required constant SCDOT direction**

Comment: _____

APPENDIX C

3. Traffic Control/Public Safety

- NA
- 5 **Traffic Control program exceeded project requirement.**
- 4 **Met all project requirements with minimal need for SCDOT direction.**
- 3 **Met all project requirements with periodic SCDOT direction.**
- 2 **Met all project requirements with constant SCDOT direction.**
- 1 **Did not meet all project requirements, accepted with **reduced compensation.****

Comment: _____

4. Environmental Objective = 0 DHEC Citations

- NA
- 10 **0 DHEC citations, 0 public complaints to SCDOT, 0 SCDOT observations.**
- 8 **0 DHEC observations, SCDOT public observations **corrected immediately.****
- 6 **DHEC warning.**
- 4 **DHEC public notification of violation.**
- 2 **DHEC fine.**

Comment: _____

5. Project Closeout Activities Objective – Completed job closeout within 15 days (Includes: Final punch list, Final Plans as applicable, Final quantity concurrence, Survey report, Materials certification)

- NA
- 5 **Completed job closeout activities within **30 days.****
- 4 **Completed job closeout activities within **60 days.****
- 3 **Completed job closeout activities within **90 days.****
- 2 **Completed job closeout activities within **120 days.****
- 1 **Completed job closeout activities within **150 days.****

Comment: _____

APPENDIX C

6. Public Relations

Objective = 0 Complaints

- NA
- 5 Public **commendations** on a job well done, positive media report.
- 4 DOT received **no complaints** regarding job.
- 3 DOT received **complaints** regarding job.
- 2 **Negative media** coverage.
- 1 Negative media coverage requiring **significant intervention** by SCDOT.

Comment: _____

7. Re-work Objective = No re-work

(Consider the overall project vs. a specific item that does not alter the overall project)

- NA
- 5 **Excellent quality** - no re-work suggested by SCDOT.
- 4 **Contractor initiated rework** at no cost/delay to SCDOT.
- 3 **Re-work required** by SCDOT, but did not delay project closing or impact cost.
- 2 SCDOT required re-work; project closing time **delayed or increased cost**
- 1 Quality requirements of project not met; accepted with **reduced compensation**.

Comment: _____

8. EEO, Davis Bacon Act, and DBE compliance Objective = Conformance to rules & regulations.

- NA
- 5 **Complied** with all rules and regs.
- 4 Self discovery of violations, prompt & **voluntary correction**.
- 3 **SCDOT observance** of violations prompting correction.
- 2 **Informal citations** received for violations or rules and regs.
- 1 **Formal citations** received for violations of rules and regs.

Comment: _____

APPENDIX C

9. Coordination and cooperation with other contractor(s), sub(s), and utilities.

- NA
- 5 Interaction was **outstanding** throughout the project, and was a strong contribution to the success of the project.
- 4 Interaction was timely and **satisfactory** throughout the project.
- 3 Interaction was adequate but **slightly impeded** the success of the project.
- 2 Interaction was poor and caused **some problems** for the project.
- 1 Interaction was the cause of **constant problems** and strongly impacted the success of the project.

Comment: _____

There is no question 10 on projects with SWKC date before 01/01/08.

11. Partnering

- NA
- 5 Interaction was **outstanding** throughout the project, and was a strong contribution to the success of the project.
- 4 Interaction was timely and **met the needs** of the project.
- 3 Interaction was adequate but **slightly impeded** the success of the project.
- 2 Interaction was poor and caused **some problems** for the project.
- 1 Interaction was the cause of **constant problems** and strongly impacted the success of the project.

Comment: _____

12. Project Management

- NA

APPENDIX C

- 5 Project Management skills were **outstanding** throughout the project and were a strong contribution to the success of the project.
- 4 Project Management skills were **very good** throughout the project.
- 3 Project Management skills were **adequate**, but slightly **impeded** the success of the project.
- 2 Project Management skills were **poor** and caused **some problems** for the project.
- 1 Project Management skills were the cause of **constant problems** and strongly impacted the success of the project.

Comment: _____

13. Project Technical Staff

- NA
- 5 Demonstrated **outstanding** skill and available to direct others as needed.
- 4 Demonstrated **excellent** skill and availability to direct others as needed.
- 3 Skill and/or availability **sometimes hindered** the meeting of project requirements.
- 2 Skill and/or availability **often hindered** the meeting of project requirements.
- 1 Skill and/or availability **constantly hindered** the meeting of project requirements.

Comment: _____

14. Project Craft Workforce

- NA
- 5 Demonstrated **outstanding** skill and available as needed.
- 4 Demonstrated **excellent** skill and availability as needed.
- 3 Skill and/or availability **sometimes hindered** the meeting of project requirements.
- 2 Skill and/or availability frequently hindered the meeting of project requirements.
- 1 Skill and/or availability **constantly hindered** the meeting of project requirements.

APPENDIX C

Comment: _____

15. Project Supervisory Personnel

- NA
- 5 Demonstrated **extraordinary** skill and available to direct others as needed.
- 4 Demonstrated **necessary** skill and available to direct others as needed.
- 3 Skill and/or availability **sometimes hindered** the meeting of project requirements.
- 2 Skill and/or availability **often hindered** the meeting of project requirements.
- 1 Skill and/or availability **constantly hindered** the meeting of project requirements.

Comment: _____

16. Coordination and cooperation with SCDOT and other government personnel

- NA
- 5 Interaction was **outstanding** throughout the project and was a strong contribution to the success of the project.
- 4 Interaction was **timely** and met the needs of the project.
- 3 Interaction was **adequate**, but slightly **impeded** the success of the project.
- 2 Interaction was **poor** and caused **sometimes problems** for the project.
- 1 Interaction was the cause of **constant problems** and strongly impacted the success of the project.

Comment: _____

17. Equipment quality and condition

- NA
- 5 Provides types and quantities of construction equipment in **excellent** working condition that exceeded project requirements and repairs **never caused delays**.
- 4 Provided appropriate types and quantities of construction equipment in **good** working order that met the project requirements, and repairs **rarely caused delays**.

APPENDIX C

- 3 Provided appropriate types and quantities of construction equipment that met the project requirements, but required some repairs that caused **minor delays**.
- 2 Provided equipment **substandard** in productivity and efficiency requiring **frequent repairs** that caused **delays** in the project.
- 1 Provided **inadequate** equipment requiring **constant repair**, sacrificing the quality of the work, and/or causing **significant delays**.

Comment: _____

18. Jobsite Housekeeping

- NA
- 5 **Exceeded** project requirements and contributed to jobsite safety and productivity.
- 4 **Met** all project requirements with **minimal** SCDOT direction.
- 3 **Met** all project requirements with **some** SCDOT direction.
- 2 **Substandard** requiring frequent SCDOT direction.
- 1 **Inadequate** requiring constant SCDOT direction.

Comment: _____

19. Project Submittals

- NA
- 5 **Exceeded** project requirements and contributed to the success of the project.
- 4 **Timely, accurate, and in accordance** with project requirements.
- 3 **Usually** timely, accurate and in accordance with project requirements.
- 2 **Frequently late, inaccurate, and not in accordance** with project requirements.
- 1 **Constantly late - corrections required and seldom in accordance** with project requirements.

Comment: _____

APPENDIX C

Comments by RCE

Areas of performance in which the Contractor excelled:

Areas of Contractor performance needing improvement:

Additional remarks about the Contractor's performance on the project:

APPENDIX D

Contractor Performance Assessment by RCE For Projects with SWKC After 01/01/2008

1. **Work Zone Safety (Includes protection of workers and traveling public in the work zone)** Objective: No accidents or injuries to SCDOT personnel, Contractor or Subcontractor employees, or the traveling public

- 10 Maintained **outstanding work zone safety program** with **no accidents or injuries** and **no observed safety violations**
- 8 **No accidents or injuries** with minimal observed safety violations in the work zone
- 6 **An accident** recorded, but **no injury** occurred due to work zone failure or construction operation safety violations affecting the work zone were observed
- 4 **Recordable injury** occurring within the work zone due to work zone failure or construction operation affecting the work zone
- 0 **Fatality occurred** due to work zone failure or construction operation which affected the traffic work zone

Comment: _____

2. **Workforce Safety Program Outside of Work Zone** Objective: No accidents or worker injuries

- 5 **Exceeded** project requirements
- 4 **Met** project requirements **without** need for SCDOT direction
- 3 **Met** project requirements with **some** need for SCDOT direction
- 2 **Met** project requirements with **frequent** need for SCDOT direction
- 1 **Failed to meet** project requirements and **required constant** SCDOT direction

Comment: _____

APPENDIX D

3. Traffic Control/ Program and Public Safety (Includes setup and maintenance of traffic control patterns and devices) Objective: Minimized impact to traffic.

- 5 **Exceeded** project requirement
- 4 **Met** project requirements **without** need for SCDOT direction
- 3 **Met** project requirements with **some need for** SCDOT direction
- 2 **Met** project requirements with **constant need for** SCDOT direction
- 1 **Did not meet** project requirements and was **accepted with reduced compensation**

Comment: _____

4. Environmental Protection and Permit Issues

Objective: All environmental protection permit requirements met.

- NA
- 10 **No deficiencies** noted by DHEC or SCDOT
- 8 DHEC or SCDOT noted **minor deficiencies**, but corrections made **without** SCDOT prompting
- 6 DHEC or SCDOT noted **minor deficiencies**, but corrections **required** SCDOT prompting
- 4 DHEC **warning issued**
- 0 DHEC **fine assessed**

Comment: _____

5. Project Closeout Activities (Includes submission of Final Plans, Contractor's Final Quantity Concurrence, Survey Report, and Materials Certifications as applicable) Objective: Final estimate and required documents submitted to Director of Construction within 30 days.

- 5 Completed job closeout activities within **30 days**
- 4 Completed job closeout activities within **45 days**
- 3 Completed job closeout activities within **60 days**
- 2 Completed job closeout activities within **75 days**
- 1 Completed job closeout activities in **more than 75 days**

Comment: _____

APPENDIX D

6. **Public Relations (Includes relationship with politicians, media, property owners, businesses, civic groups, and traveling public)** Objective: Positive comments and no complaints,

- NA
- 5 **Commendations received** on a job well done, **positive media report**, and **no complaints**
- 4 SCDOT received **no complaints** regarding Contractor's activities
- 3 SCDOT received only **a few minor complaints** regarding Contractor's activities
- 2 **Negative media coverage** generated due to Contractor's activities, and SCDOT received **many complaints** regarding Contractor's activities
- 1 **Negative media coverage** generated regarding Contractor's work requiring **significant intervention** by SCDOT

Comment: _____

7. **Re-work** Objective: No re-work required.

- NA
- 5 **Excellent quality work** and **no re-work** required by SCDOT
- 4 **Contractor initiated rework** at **no cost or delay** to the project
- 3 **Re-work required** by SCDOT, but **did not impact cost or delay** the project
- 2 **Re-work required** by SCDOT and **increased cost or delayed** the project
- 1 **Quality requirements** of project **not met**; some work **accepted with reduced compensation**

Comment: _____

8. **EEO, Davis Bacon Act, and DBE compliance** Objective: All DBE goals, requirements, and regulations met or exceeded

- NA
- 5 All goals, requirements, and regulations **met or exceeded**
- 4 **Self discovery** of violations with **prompt and voluntary correction**
- 3 SCDOT observed violations **immediately corrected** by Contractor
- 2 **DHEC warning issued** for violations of requirements and regulations
- 1 **DHEC citation issued** for violations of requirements and regulations

APPENDIX D

Comment: _____

9. Coordination and Cooperation with other Contractor(s), Utilities, and Railroads Involved on the project Objective: Pro-active and maximum interaction with other Contractors, Utilities, and or Railroads involved in the project.

- NA
- 5 Interaction was **excellent** throughout the project
- 4 Interaction was **above average** throughout the project
- 3 Interaction was **adequate**
- 2 Interaction was **below average and caused some problems**
- 1 Interaction was **poor and constantly caused problems**

Comment: _____

10. Punch List Items Objective: No punch list items.

- 5 No punch list items
- 4 Completion of punch list within **30 days**
- 3 Completion of punch list within **50 days**
- 2 Completion of punch list within **70 days**
- 1 Completion of punch list in **more than 70 days**

Comment: _____

11. Partnering (Includes interaction with the project partners to promote strong sense of teamwork and cooperation with or without contract partnering specifications) Objective: Atmosphere of teamwork to complete a successful project.

- 5 Interaction was **excellent** throughout the project
- 4 Interaction was **above average** throughout the project
- 3 Interaction was adequate
- 2 Interaction was **below average and caused some problems**
- 1 Interaction was **poor and constantly caused problems**

APPENDIX D

Comment: _____

12. Contractor's Project Management (Includes home office personnel and project superintendent) Objective: Project management that results in the successful completion of the project.

- 5 Project Management was **excellent** throughout the project and were a strong contribution to the success of the project
- 4 Project Management was **very good** throughout the project
- 3 Project Management was **adequate**
- 2 Project Management was **poor and caused some problems**
- 1 Project Management was **below average and constantly caused problems**

Comment: _____

13. Contractor's Field Personnel (Includes foremen, labors, craft workers, surveyors, equipment operators, technicians, and inspectors) Objective: Field personnel with skill and availability for successful completion of the project.

- 5 Demonstrated **extraordinary** skill and were available as needed.
- 4 Demonstrated **above average** skill and were available as needed.
- 3 Demonstrated **necessary** skill and were available as needed
- 2 Lack of skill and/or availability **sometimes hindered** the meeting of project requirements.
- 1 Lack of skill and/or availability **constantly hindered** the meeting of project requirements.

Comment: _____

APPENDIX D

- 14. Coordination and Cooperation with SCDOT, and Other Government Personnel (Includes FHWA, USACE, USCG, US Forest Service, SCDHEC, SCDNR, and other state, federal, county and municipal agencies)** Objective: Interaction with government and regulatory agencies that results in successful completion of the project.

- NA
- 5 Interaction was **excellent** throughout the project
- 4 Interaction was **above average** throughout the project
- 3 Interaction was **adequate**
- 2 Interaction was **below average and sometimes caused problems**
- 1 Interaction was **poor and constantly caused problems**

Comment: _____

- 15. Equipment: Appropriate Type, Quantity, and Condition** Objective: Appropriate type and quantity of equipment provided and maintained for successful completion of the project

- NA
- 5 Provided appropriate type and quantity of construction equipment and maintained it in excellent working condition that **exceeded** project requirements and **never caused delays**
- 4 Provided appropriate type and quantity of construction equipment and maintained in good working condition that **met** the project requirements and **never caused delays**
- 3 Provided appropriate type and quantity of construction equipment that **met** the project requirements, but required some repairs that caused **minor delays**
- 2 Provided equipment **substandard** in productivity and efficiency requiring frequent repairs that **caused delays** in the project
- 1 Provided **inadequate** equipment requiring constant repair, sacrificing the quality of the work, and/or **causing significant delays**

Comment: _____

APPENDIX D

16. Jobsite Housekeeping Objective: Clean and orderly jobsite that promotes safety and productivity

- 5 **Exceeded** project requirements and contributed to jobsite safety and productivity
- 4 **Met** project requirements **without** SCDOT direction
- 3 **Met** project requirements with **some** SCDOT direction
- 2 **Below average** requiring frequent SCDOT direction
- 1 **Poor** requiring constant SCDOT direction

Comment: _____

17. Project Submittals Objective: Submission of erection, installation, and removal plans or drawings, notices or notifications, traffic control plans, reports, certificates, test results, material application instruction, safety data sheets, receipts, delivery tickets, and other project documents complete, on-time, and as required

- NA
- 5 **Exceeded** project requirements and contributed to the success of the project
- 4 **Timely, accurate, and in accordance** with project requirements
- 3 **Usually** timely, accurate and in accordance with project requirements
- 2 **Frequently late, inaccurate, and not in accordance** with project requirements
- 1 **Constantly late - corrections required and seldom in accordance** with project requirements.

Comment: _____

APPENDIX D

- 18. Contractor's Management of Subcontractors and Suppliers** Objective: Management of Subcontractors and Suppliers without any disputes or quality of work or scheduling problems.

- NA
- 5 Management of Subcontractors and Suppliers was **outstanding** throughout the project with excellent work and no scheduling problems or disputes.
- 4 Management of Subcontractors and Suppliers was **above average** throughout the project with no problems with quality of work, scheduling, or disputes.
- 3 Management of Subcontractors and Suppliers was **adequate**, but had minor disputes or problems with quality of work or scheduling
- 2 Management of Subcontractors and Suppliers was **poor and caused some problems and delays**
- 1 Management of Subcontractors and Suppliers was **constantly** the cause of **problems and disputes**

Comment: _____

- 19. There is no Question 19 for projects with SWKC after 01/01/2008.**

APPENDIX D

Comments by RCE

Areas of performance in which the Contractor excelled:

Areas of Contractor performance needing improvement:

Additional remarks about the Contractor's performance on the project:
