

Section 13.1

CONTRACTOR'S PAST PERFORMANCE RATING

13.1.1 Purpose

To set forth an internal procedure for preparing and processing a **Contractor's Past Performance Report (CPPR)** and for establishing a **Final Rating Score** for the performance demonstrated by the Prime Contractor on construction contracts, including Design-Build contracts.

13.1.2 Authority

Sections 20.23(3)(a), 334.048(3)

13.1.3 References

Sections 337.14(1) and 337.16(2)(c), Florida Statutes

Rule 14-22.003, 14-22.012 and 14.0141, Florida Administrative Code (F.A.C.)

13.1.4 General

The Department considers Contractor performance on construction contracts when qualifying or re-qualifying a firm. Specifically, the final scores established by the **Contractor's Past Performance Report** for performance demonstrated in completing Department contracts are used in the standard rule formula (**Rule 14-22, F.A.C.**) to determine a firm's **Maximum Capacity Rating** (The aggregate dollar volume of uncompleted work a firm is allowed by the Department to have under contract at one time regardless of with whom contracted).

The **CPPR** is used to evaluate the construction performance demonstrated by the Prime Contractor on construction contracts (Emergency, Fast Response, Pushbutton and Traffic Operations contracts are excluded from the CPPR process).

The final **CPPR** must be originated no later than forty-five (45) calendar days after the date of final acceptance of the work by the engineer.

The **CPPR** shall be completed even if there are pending Claims or Time Extension Requests. The **CPPR** can be revised pending the outcome of the Claim/Time Extension Requests.

For the purpose of this procedure all references to the Project Administrator, the Resident Engineer or the Project/Program Manager who oversees Consultant C.E.I.s shall be either Department or Consultant personnel, whichever is applicable.

13.1.5 Definitions

Refer to the Introduction section of this *Manual*.

13.1.6 Preconstruction Conference

Resident Level Responsibilities

The Project Administrator shall provide the Contractor a copy of the **CPPR** criteria at the Pre-construction Conference and explain that the Contractor's demonstrated performance in completing the contract work will be rated using these criteria.

13.1.7 Interim Performance Ratings

Interim Performance Ratings that reflect construction performance demonstrated by the Contractor to date shall be provided on at least a monthly basis.

The Contractor may appeal the interim score shown in Categories 1, 4 or 8, within ten (10) calendar days from receipt of the interim report. The appeal shall be in writing to the Resident Engineer requesting a meeting with the District Construction Engineer (See Sample Letter 13-1-C).

Resident Level Responsibilities

Interim Performance Ratings shall be originated by the Project Administrator. **Interim Performance Ratings** may be completed at the discretion of the Project Administrator at any time (milestones, phase change, etc.) on any project regardless of size or duration, but shall be completed at a minimum on a monthly basis. The original copy of the entire report shall be emailed to the Contractor and a copy shall be imported into the Department's approved Electronic Document Management System.

13.1.8 Rating the Contractor on construction projects

The CPPR, Form No. 700-010-25, contains the following sections:

1. Pursuit of the Work
2. Proper MOT and Minimize Impacts to Traveling Public
3. Timely and Complete Submittal of Documents
4. Timely Completion of Project
5. Coordination/Cooperation with CEI Personnel, Property Owners and Utilities Company
6. Mitigate Cost and Time Overruns
7. Environmental Compliance
8. Conformance With Contract Documents
9. DBE Utilization.

Rating the Contractor's demonstrated performance shall begin at the time the contract has been awarded to the Contractor and continue throughout the duration of the contract. The Project Administrator should use those personnel who actively participated in the inspection of the work and/or the administration of the contract to assist in rating the Contractor's performance.

For Design-Build contracts, contract time periods (i.e., design phase) can be tracked in Category 1 and 8, with issues related to the submittal of plan documents being scored in Category 3. Once actual work begins, scoring in all 9 categories would be performed as normal.

13.1.9 Preparing the Report

(A) Resident Level Responsibilities

- (1) The Project Administrator shall provide a copy of the **CPPR** at the Pre-construction Conference and explain the criteria for which the performance of the Contractor will be evaluated. The following are some of the criteria that need to be discussed at the Pre-construction Conference.
 - (A) Where percentages are used, the standard rules of rounding are to apply to calculate the nearest whole number.
 - (B) Documentation (or document) unless otherwise noted is defined as **Daily Report of Construction, Form No. 700-010-13**, Stop Work Orders,

electronic mail, or other such notes or communication in the project files or to the Contractor from the Project Administrator/Project Manager or other Department staff or representatives. Proper documentation on a daily basis is essential in providing an accurate, well-established grade. Use of the Department's Contract Information & Monitoring (CIM) application for completion of the CPPR is mandatory on all construction projects. The CIM CPPR module can be accessed from the [FDOT Employee Portal](#) by selecting Enterprise Applications.

- (C) Communication will be the key for both the Contractor and the Project Administrator/Project Manager. This will require both sides to deal with the issues of the contract. The performance of the work should be discussed with the Contractor on a periodic basis or at a minimum, on a monthly basis (including an updated interim CPPR Report). This can be done by reviewing the Department's **Daily Report of Construction** (daily diaries) as well as discussing Contractor performance at the weekly progress meetings.
- (D) The Prime Contractor is responsible for the performance of all subcontractors and suppliers, which includes the quality of the workmanship, materials, timely submittal of documentation and timely completion of the work.
- (E) For Performance categories # 4, 7 and 9 bonus points are available for the Contractor. For category #4, there are six (6) bonus points available if the Contractor finished the project within the original contract time (no adjustments for weather). Category #7 has two (2) bonus points available, these points are only available on projects with 300 or more days of allowable contract time, the 2 points will be applied if the Contractor did not receive any deficiency letters in this category. Category #9 has four (4) bonus points available if the Contractor has achieved or exceeded the DBE availability percentage shown in the bid proposal. If no DBE availability percentage is shown in the bid proposal, the Contractor will receive the bonus points for achieving 8% or more DBE utilization. In order for the Contractor to get the credit for DBE utilization, the Contractor must put this information in the Department's Equal Opportunity Reporting tracking system.
- (F) Communication regarding performance concerns or non-compliance generally start with Verbal Warnings (VW). If the Contractor does not correct the issue, we expect our personnel to next issue a Deficiency

Warning Letter (DWL) for the same issue. If after this DWL the Contractor has still not corrected the problem, our personnel are expected to issue a Deficiency Letter (DL). That is the typical process, however there are times in which the VW and DWL will be omitted and an issue goes directly to DL (e.g., a serious concern over safety or environmental violations). VW, DWL, and DL should all be documented in the CIM CPPR Module in the category for which they were issued.

- (2) **Deficiency Warning Letter (DWL):** The Project Administrator will issue the **DWL** letter (Refer to the Guidance Documents for this section), under normal circumstances, to notify the Contractor of shortcomings/non-compliances with the contract. Prior to issuing a **DWL**, the Project Administrator should discuss the performance concerns with the Resident Engineer. A single **DWL** can be used to address concerns in more than one performance category. However, blatant violations or non-compliances may result in a **Deficiency Letter** being issued without a warning. The **DWL** shall be sent via email, return receipt requested to the Project Superintendent.
- (3) **Deficiency Letter (DL):** The Resident Engineer will issue a **DL** to the Contractor for the sole purpose of addressing continual performance concerns and issues that were previously documented by a **DWL** or blatant violations or non-compliances. A single **DL** can be used to address concerns in more than one performance category. The **DL** shall be sent via email, return receipt requested (or using other similar services) to the Project Superintendent, giving the Contractor ten (10) days from the date of receipt of this letter to appeal. This appeal shall be in writing to the Resident Engineer requesting a meeting with the DCE. If no meeting has been requested or the Contractor fails to attend a requested scheduled meeting, then the **DL(s)** shall become final.
- (4) For contracts that are over 365 days, a **Deficiency Letter** factor will apply to categories that have the **Deficiency Letter** as part of the performance. For an example on how to calculate the **Deficiency Letter** Factor, see Page 2 of 9 of the **CPPR (Form # 700-010-25)**.
- (5) If the Contractor has requested a meeting to appeal the issuance of a **Deficiency Letter** at the DCE level, then the Resident Engineer shall inform the Contractor in writing of the date, time and location of the meeting. If the Contractor appeal is successful, then the DCE will issue a letter to the Resident Engineer, (copy the Contractor) rescinding the particular **Deficiency Letter**.

- (6) For those performance categories (categories 1, 4 & 8) that do not include the use of **Deficiency Letters**, the Contractor will use the appeals process. The Resident Engineer shall inform the Contractor of the CPPR score on a monthly basis (usually via weather letter or similar notification), giving the Contractor ten (10) days from the date of receipt of this letter to appeal. This appeal shall be in writing to the Resident Engineer requesting a meeting with the DCE, if no meeting has been requested or the Contractor fails to attend a requested scheduled meeting, then the score for that month shall become final.
- (7) The CPPR Final Report shall be originated and signed by the Project Administrator upon final acceptance of the contract work by the Engineer. The original of this report shall be provided to the Resident Engineer for his or her review. All correspondence, Performance Deficiency Letters, Contract Records, Schedules and supporting data used in preparing the Report shall be identified for future reference.
- (8) The Resident Engineer shall sign the final report after the report has been reviewed and forward it to the Contractor, via Email, Return Receipt Requested (or using other similar services), no later than ten (10) calendar days after receiving the final CPPR report of the contract work by the Project Administrator. The Resident Engineer shall include a cover letter with the report that explains the following options available to the Contractor and the Department's subsequent actions:
 - (A) The Resident Engineer shall inform the Contractor that if a meeting is desired to appeal the results of the **CPPR** with the DCE, the meeting request shall be in writing to the Resident Engineer within ten (10) days from the Contractor's receipt of the **CPPR**.
 - (B) The Resident Engineer shall inform the Contractor that failure to request a meeting within ten (10) calendar days from the Contractor's receipt of the **CPPR**, or failure to attend a requested scheduled meeting, will result in the rating indicated in the **Contractor's Past Performance Report** becoming final.
- (9) Once the appeal process has been completed the **CPPR** shall become final. The **Final CPPR Report** shall be scanned into the Department's **Electronic Document Management System (EDMS)** and the results sent electronically to the District Construction Engineer, the Office of Construction ([Prequalification Specialist](#)), and a copy sent to the Contractor.

(B) District Level Responsibilities

- 1) In the event that the Contractor has requested a meeting to appeal the issuance of a Deficiency Letter and the Contractor's appeal is successful, then the DCE will issue a letter to the Resident Engineer with a copy to the Contractor rescinding the particular **Deficiency Letter**. The DCE's letter should include the reason for rescinding the particular **Deficiency Letter**.
- 2) If the Contractor requested a meeting with the DCE to appeal the results of the **Contractor's Past Performance Report** and the Contractor's appeal is successful, then the DCE will issue a letter to the Resident Engineer with a copy to the Contractor directing the Resident Engineer to make the necessary changes to the Contractor's Past Performance Report. The DCE's letter should include the reason for making such changes.

**GUIDANCE DOCUMENT 13-1-A
(SAMPLE LETTER)**

(Date)

Contractor Superintendent
Name and Address

Financial Project ID: 123456-1-52-01
FAP No.: 1234-000-C
Contract No.: 12345
County: Leon

RE: Performance Deficiency Warning Letter

This is to advise you that a performance deficiency warning is hereby issued on the above referenced project on:

Performance Category Number 2, Proper MOT and Minimize Impacts to Traveling Public, of the Contractor's Past Performance Rating.

The performance deficiency warning hereby issued is as follows:

The project superintendent (**NAME**) has been advised on several occasions (see Daily Report of Construction dated (**DATE**), (**DATE**), (**DATE**) of MOT warning devices (barricades) that have been repeatedly moved out of the way of the paving operations and are not placed back to the proper location to protect the traveling public and workers.

This performance deficiency warning is to let you know that your company is out of compliance on the above Performance Category(s). If your company continues to work out of compliance, a Performance Deficiency Letter will be issued and your Contractor's Past Performance Rating will be adversely impacted. Your company needs to make all necessary corrections to ensure that all work is being performed in accordance with the contract.

Sincerely,

Project Administrator Name
Engineer Title

cc: Resident Engineer
District Construction Engineer
Corporate Office

**GUIDANCE DOCUMENT 13-1-B
(SAMPLE LETTER)**

(Date)

Contractor Superintendent
Name and Address

Financial Project ID: 123456-1-52-01
FAP No.: 1234-000-C
Contract No.: 12345
County: Leon

RE: Performance Deficiency Letter

This is to advise you that a performance deficiency is hereby issued on the above referenced project on:

Performance Category Number 2, Proper MOT and Minimize Impacts to Traveling Public, of the Contractor's Past Performance Rating criteria.

The deficiency that has been issued is as follows:

The project superintendent (**NAME**) has been advised on several occasions (see Daily Report of Construction dated (**DATE**), (**DATE**) and (**DATE**) and you were issued a Deficiency Warning Letter on (**DATE**). Additional MOT performance concerns have been documented on (**DATE**), which have warranted this deficiency letter.

This is to advise you that this Performance Deficiency has impacted your final grade on your Contractor's Past Performance Rating. If you wish to contest the Department's action in issuing this Performance Deficiency, you may request a meeting with me within ten (10) days of receipt of this Performance Deficiency Letter. Additional performance problems may result in additional deficiency letter as well.

Sincerely,

Resident Engineer (Name)
Engineer Title

cc: Project Administrator
District Construction Engineer
Corporate Office

**GUIDANCE DOCUMENT 13-1-C
(SAMPLE LETTER)**

(Date)

Contractor Superintendent
Name and Address

SUBJECT: **CPPR REPORT - March 2019**
Job Description: Add Turn Lane at SR-11 and 1st Avenue
Financial Project Number: 123456-1-52-01
Federal Aid Project Number: 1234-000-C
Contract Number: 12345
County - Section Number: Leon

The daily reports of construction documenting the Contractor's Past Performance have been evaluated for the period beginning (enter date) through (enter date). The attached Contractor Past Performance Report summarizes the cumulative rating to date.

If you disagree with the score shown in Categories 1, 4 or 8, you may appeal the decision within ten (10) calendar days from receipt of this notice. The appeal shall be in writing to the Resident Engineer requesting a meeting with the District Construction Engineer.

Any such appeal must be accompanied by all available specific facts that support your position.

If you fail make an appeal or to provide specific facts supporting your position within ten (10) days from receipt of this notice, the grade shall become final. If you fail to attend a requested appeal meeting, the grade shall become final.

Sincerely,

Project Admin. Name
Title

cc: Resident Engineer
District Construction Engineer
Corporate Office