



# Prime Contractor Performance Report

Section I Contractor Data			Section II Project Data			
Report Type <input type="checkbox"/> Interim <input type="checkbox"/> Final <input type="checkbox"/> Special	Contractor No. (HQ Use Only)		Region	Contract No. Federal-Aid No.	County	SR
Company Name			Project Title			
Address		Phone No.	Auth. Working Days	Working Days Charged	Work Starting Date	Contract Completion Date
Superintendent		Foreman	Contract Award Amount		Contract Completion Amount	
Work Class Performed by Contractor:						
Description of Work:						

Section III Numerical Rating						
A Administration / Management / Supervision	* Inadequate	* Below Std	Standard	Above Std	* Superior	Rating
A1. Supervision/Decision Making/Coordination with Subcontractors and suppliers	3	4	6	8	10	
A2. Submission of Documents and Reports	3	4	6	8	10	
A3. Coordination and Cooperation with Department Personnel on Project Matters	3	4	6	8	10	
A4. Relations with General Public, Other Agencies and Adjacent Contractors	2	4	5	6	7	
A5. Maintenance of Employee Safety Standards	1	1.5	2	2.5	3	
<b>Section A Total</b>	<b>12</b>	<b>17.5</b>	<b>25</b>	<b>32.5</b>	<b>40</b>	
<b>Q Quality of Work</b>						
Q1. Adherence to Plans and Specifications	9	12.5	15	18	21	
Q2. Standards of Workmanship	6	8	10	12.5	15	
Q3. Public Safety and Traffic Control	2	3	4	5	6	
Q4. Environmental Compliance	4	5	6	7	8	
<b>Section Q Total</b>	<b>21</b>	<b>28.5</b>	<b>35</b>	<b>42.5</b>	<b>50</b>	
<b>P Progress of Work</b>						
P1. Completion of project within allotted time	6	8	10	12	14	
P2. Baseline scheduling	2.5	3.5	5	7	8.5	
P3. Weekly look ahead schedule & schedule update	1.5	2.5	4	5.5	7.5	
P4. Number of days from Physical Completion Until contract completion	3	4.5	6	8	10	
<b>Section P Total</b>	<b>13</b>	<b>18.5</b>	<b>25</b>	<b>32.5</b>	<b>40</b>	
<b>C Compliance with Laws and Contract Requirements</b>						
C1. Compliance with EEO, On-the-Job Training and D/M/W/SBE Requirements	1.3	3.5	5	6.5	8	
C2. Compliance with Apprenticeship Requirements	1.3	3.5	5	6	7	
C3. Compliance with Laws, Ordinances and Regulations	1.4	3.5	5	5	5	
<b>Section C Total</b>	<b>4</b>	<b>10.5</b>	<b>15</b>	<b>17.5</b>	<b>20</b>	
<b>Project Total</b>	<b>50</b>	<b>75</b>	<b>100</b>	<b>125</b>	<b>150</b>	

\* Explain any Inadequate, Below Standard, and Superior ratings in Narrative Section (IV)

Performance Score

HQ Use Only

NOTE: An inadequate or below standard rating in any section shall limit the section total to a standard rating.

**Section IV Narrative Rating**

**A General Elements** Enter comments that describe the contractor's overall performance and provide background data on the project.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**B Below Standard Elements** Enter comments here to substantiate below standard ratings. (See Instructions)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**C Superior Elements** Enter comments here to substantiate superior ratings. (See Instructions)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Section V Authentication and Review**

I certify that I have objectively prepared this report basing it upon data contained in available project records and discussed the report with the contractor.

\_\_\_\_\_

Project Engineer's Name (Print)

\_\_\_\_\_

Project Engineer's Signature

\_\_\_\_\_

Date

I have reviewed this report for objectivity and accuracy. I have given a copy of this report to the rated contractor and I have advised the contractor that any appeal must be made within twenty (20) calendar days.

\_\_\_\_\_

Date Copy Given / Mailed to Contractor

\_\_\_\_\_

Operations Engineer or Designee's Name (Print)

\_\_\_\_\_

Operations Engineer or Designee's Signature

\_\_\_\_\_

Date

I have reviewed this Contractor Performance Report and make the following comments and changes as cited herein or on attached sheets.

\_\_\_\_\_

Region Administrator's Name (Print)

\_\_\_\_\_

Region Administrator's Signature

\_\_\_\_\_

Date

## Prime Contractor Performance Report Instructions

The Prime Contractor Performance Report, DOT Form 421-010, consists of two parts — page 1 and page 2. Page 1 consists of Sections I, II, and III. Page 2 consists of Sections IV and V. The electronic form is optimized for use with Adobe Acrobat. Do not use AdobeSign to complete or route the form for signature.

1. PE completes Sections I – IV in strict conformance with the [Prime Contractor Performance Report Manual \(M41-40\)](#)
2. PE Send to Contractor and discuss.
3. PE sign electronically and transmit to Region. It is recommended to use Adobe Acrobat for signing. Do not lock the form when signing.
4. Region Operations Engineer review, sign electronically. Do not lock the form when signing. Print and mail to Contractor via Certified Mail. Retain electronic copy for further processing.
5. Wait 20 days. Respond to protests, as necessary. Make adjustments.
  - a. Adjustments made with strikethrough, adding new text and initials of individual making change.
6. Regional Administrator Sign electronically. Do not lock the form when signing. The form must be unlocked for headquarters use.
7. Transmit to Contract Ad and Award electronically. Distribute copies to PE, RA, and Contractor.