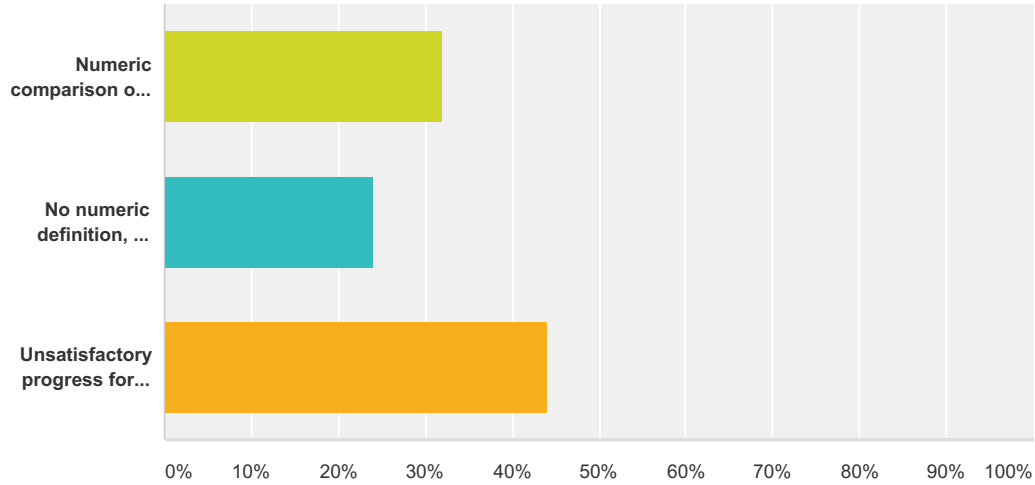


**Q1 How does your state define unsatisfactory contract prosecution and progress? (Please indicate the response that best describes your current State policy.)**

Answered: 25 Skipped: 2



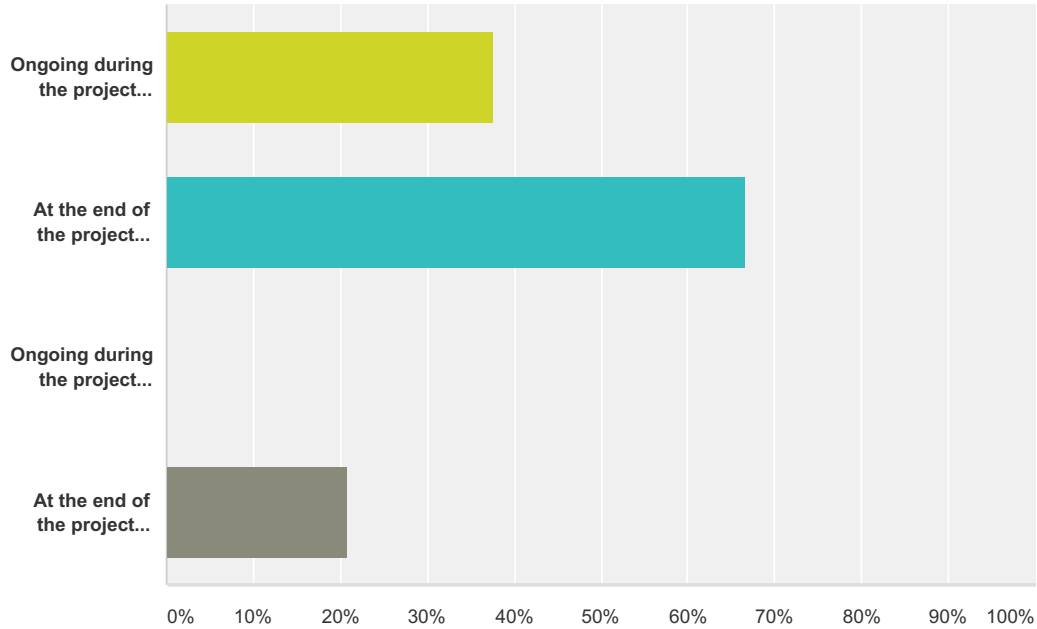
Answer Choices	Responses
Numeric comparison of the percentages of contract payments vs. contract time (At what point is progress considered unsatisfactory?)	32.00% 8
No numeric definition, but contractual measures are invoked when a contractor cannot justify unsatisfactory progress	24.00% 6
Unsatisfactory progress for activities on the critical path or controlling items of work	44.00% 11
<b>Total</b>	<b>25</b>

**Q2 As appropriate, please provide a reference to your standard specification or special provision that defines and addresses unsatisfactory prosecution and progress.**

Answered: 25 Skipped: 2

**Q3 Does your state evaluate and document contractor performance (other than unsatisfactory performance during the project)? If so, is the evaluation:**

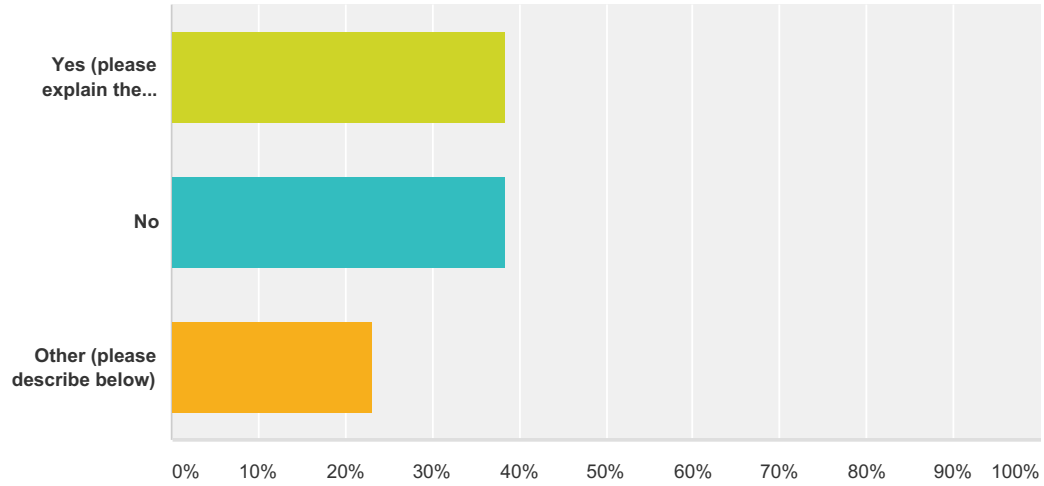
Answered: 24 Skipped: 3



Answer Choices	Responses
Ongoing during the project (using standard questions from a template)	37.50% 9
At the end of the project (using standard questions from a template)	66.67% 16
Ongoing during the project (using project specific questions)	0.00% 0
At the end of the project (using project specific questions)	20.83% 5
<b>Total Respondents: 24</b>	

### Q4 Does your state have a process in place to remove subjectivity in the review of Contractor Performance?

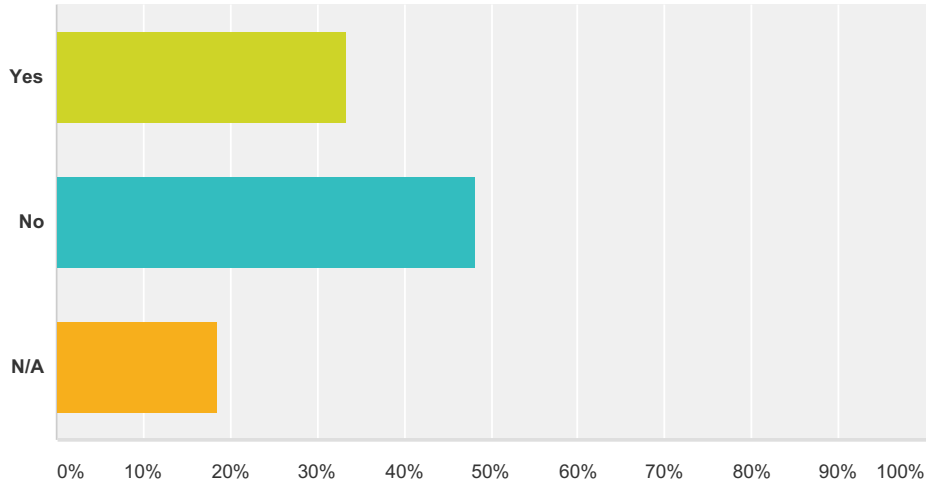
Answered: 26 Skipped: 1



Answer Choices	Responses	
Yes (please explain the process)	38.46%	10
No	38.46%	10
Other (please describe below)	23.08%	6
<b>Total</b>		<b>26</b>

**Q5 If you evaluate the performance of prime contractors, are the same procedures used to evaluate subcontractors?**

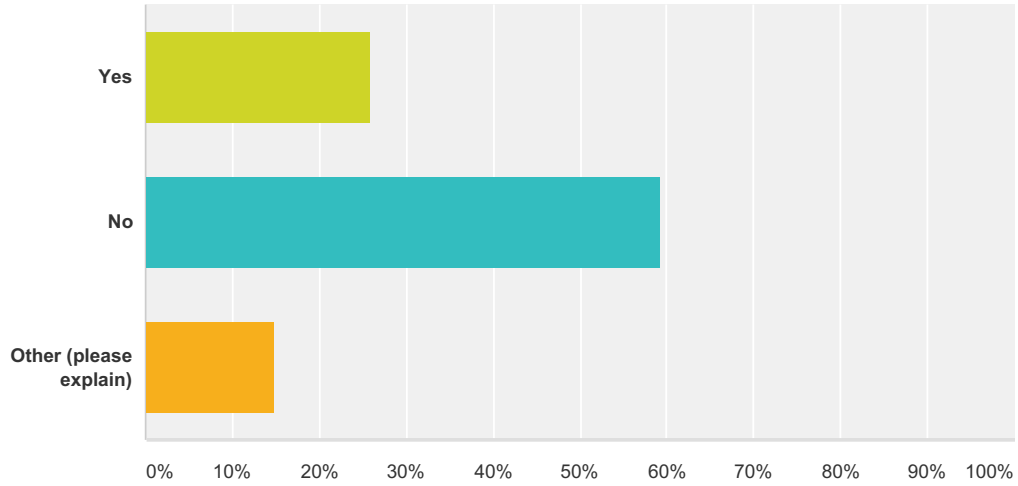
Answered: 27 Skipped: 0



Answer Choices	Responses
Yes	33.33% 9
No	48.15% 13
N/A	18.52% 5
<b>Total</b>	<b>27</b>

**Q6 Do you have a mechanism in place to deal directly with non-performing subcontractors? If so, please describe.**

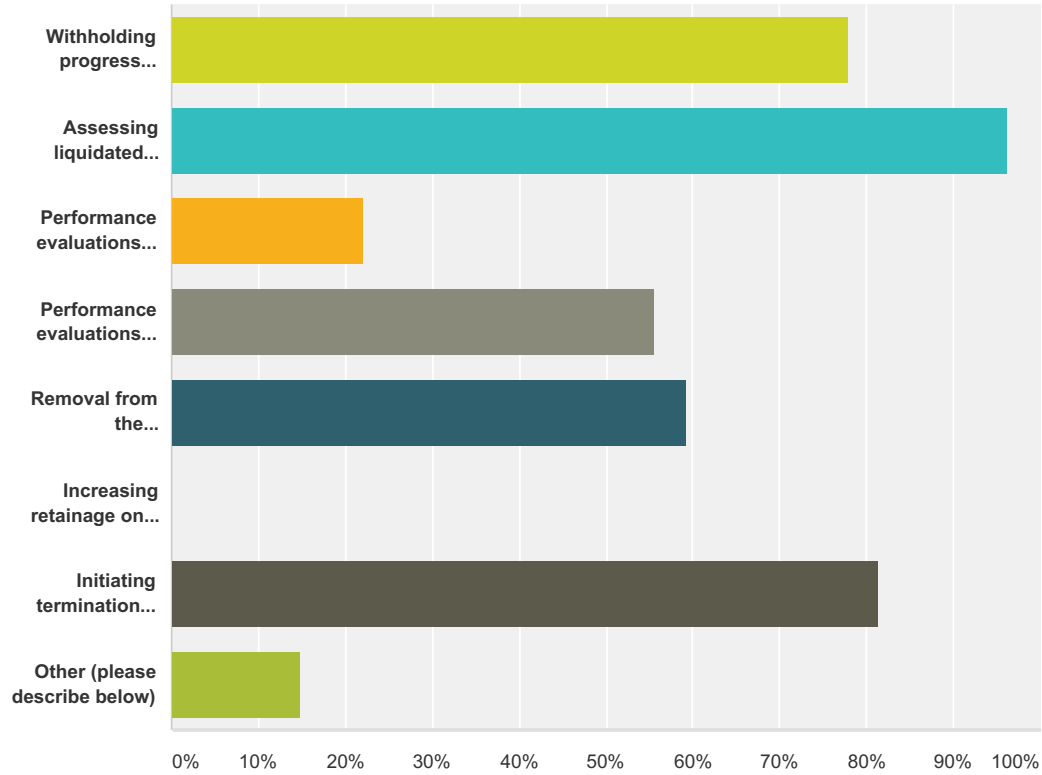
Answered: 27 Skipped: 0



Answer Choices	Responses
Yes	25.93% 7
No	59.26% 16
Other (please explain)	14.81% 4
<b>Total</b>	<b>27</b>

**Q7 List the methods currently available in your agency for dealing with unsatisfactory contract prosecution and progress (check all that apply):**

Answered: 27 Skipped: 0



Answer Choices	Responses
Withholding progress payments	77.78% 21
Assessing liquidated damages	96.30% 26
Performance evaluations directly lead to an adjustment of prequalification capacity rating with the completion of every contract (explanations suggested)	22.22% 6
Performance evaluations indirectly lead to an adjustment of prequalification capacity rating only when consistent or below average performance is noted over several contracts	55.56% 15
Removal from the prequalification list	59.26% 16
Increasing retainage on future contracts	0.00% 0
Initiating termination procedures	81.48% 22
Other (please describe below)	14.81% 4

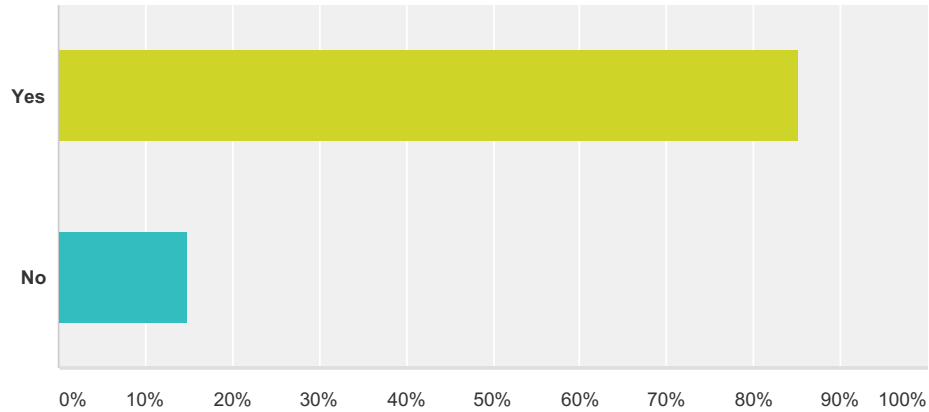
AASHTO SOC Contract Administration Section Questionnaire Regarding State DOT Approaches for Dealing with Unsatisfactory Performance (time and quality)

Total Respondents: 27



**Q8 Before proceeding with any of the methods listed above, does your agency require the Contractor to respond with reasons for the unsatisfactory progress, including an updated completion schedule showing how he intends to complete the remaining work?**

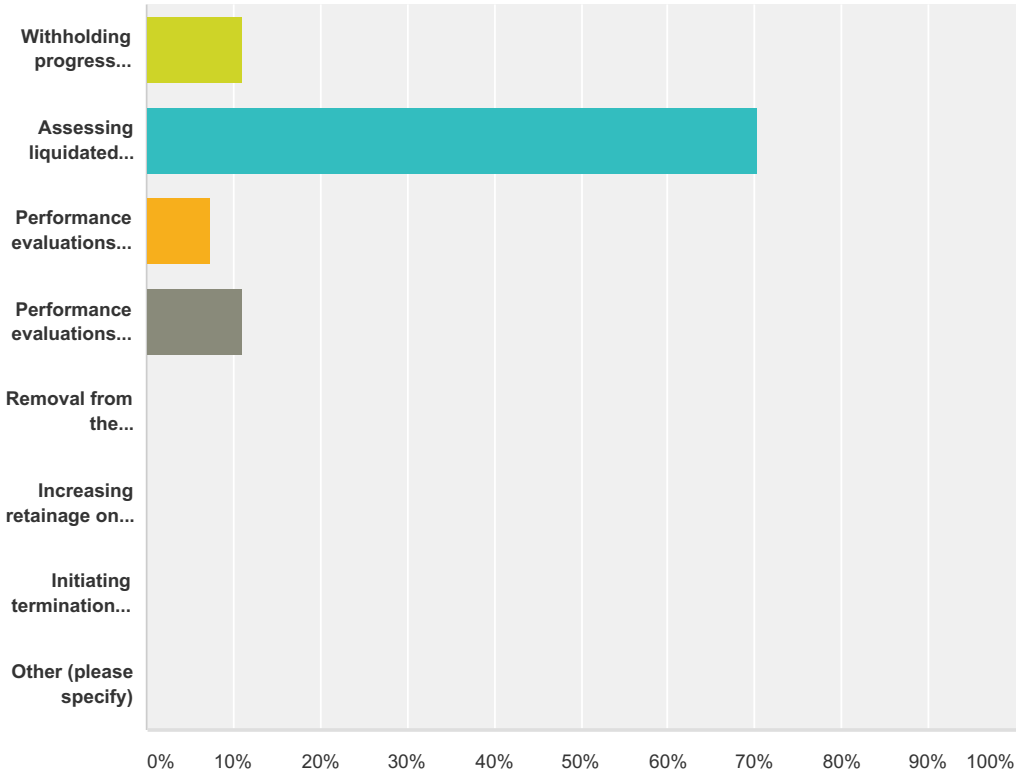
Answered: 27 Skipped: 0



Answer Choices	Responses	
Yes	85.19%	23
No	14.81%	4
<b>Total</b>		<b>27</b>

**Q9 Which method in Question No. 7 is used the most in your state to deal with unsatisfactory contract prosecution and progress? (Please select one)**

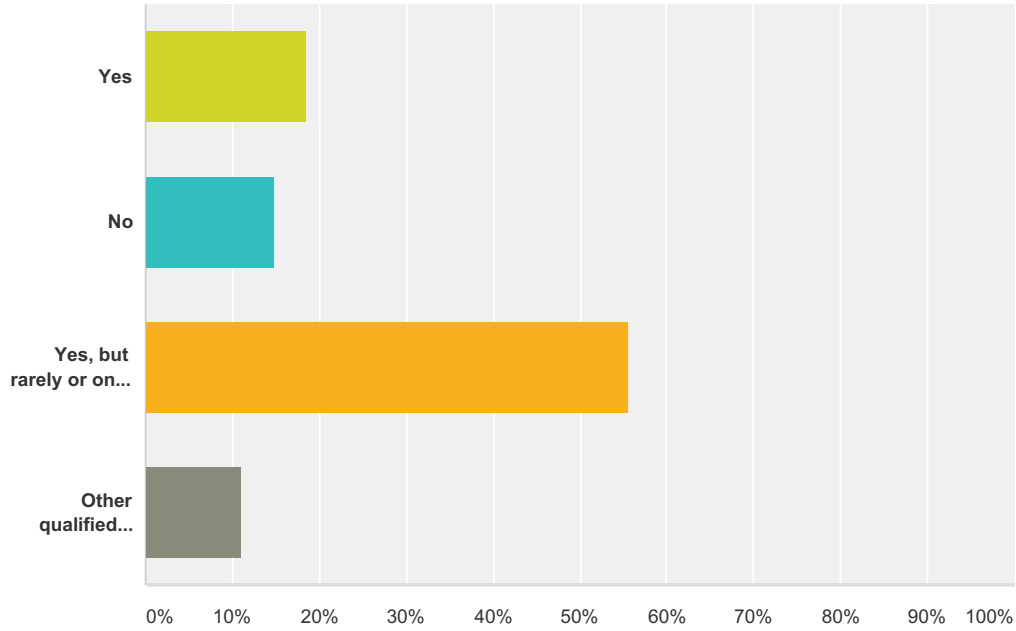
Answered: 27 Skipped: 0



Answer Choices	Responses
Withholding progress payments	11.11% 3
Assessing liquidated damages	70.37% 19
Performance evaluations directly lead to an adjustment of prequalification capacity rating with the completion of every contract (explanations suggested)	7.41% 2
Performance evaluations indirectly lead to an adjustment of prequalification capacity rating only when consistent or below average performance is noted over several contracts	11.11% 3
Removal from the prequalification list	0.00% 0
Increasing retainage on future contracts	0.00% 0
Initiating termination procedures	0.00% 0
Other (please specify)	0.00% 0
<b>Total</b>	<b>27</b>

**Q10 Does your state generally inform the contractor's bonding company when it is determined that the contractor's prosecution and progress is unsatisfactory?**

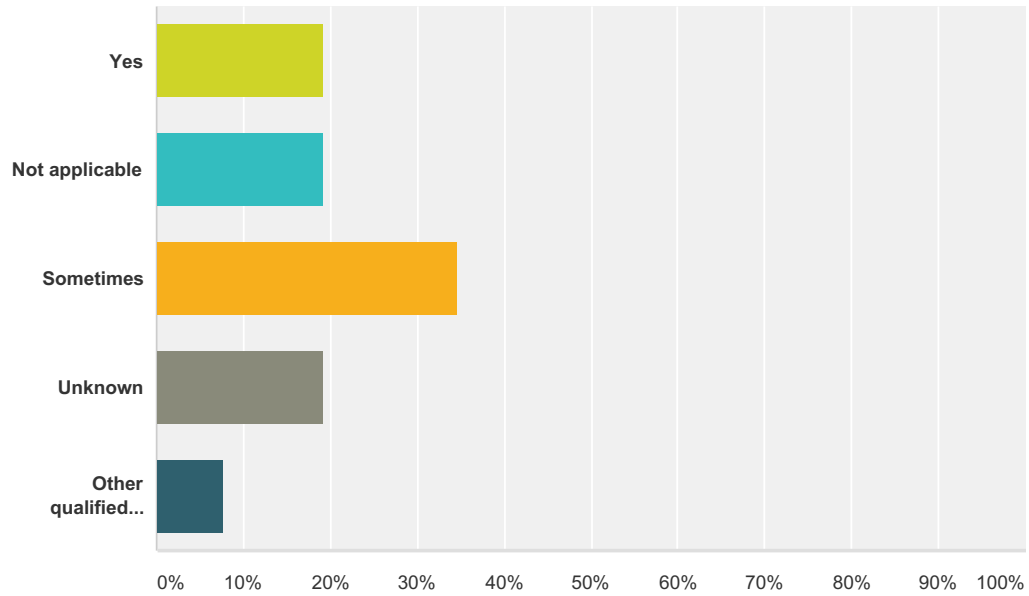
Answered: 27 Skipped: 0



Answer Choices	Responses
Yes	18.52% 5
No	14.81% 4
Yes, but rarely or only as a last resort	55.56% 15
Other qualified response (please describe):	11.11% 3
<b>Total</b>	<b>27</b>

**Q11 If the answer to the previous question is yes, does the involvement of the bonding company generally result in improved contract prosecution and progress?**

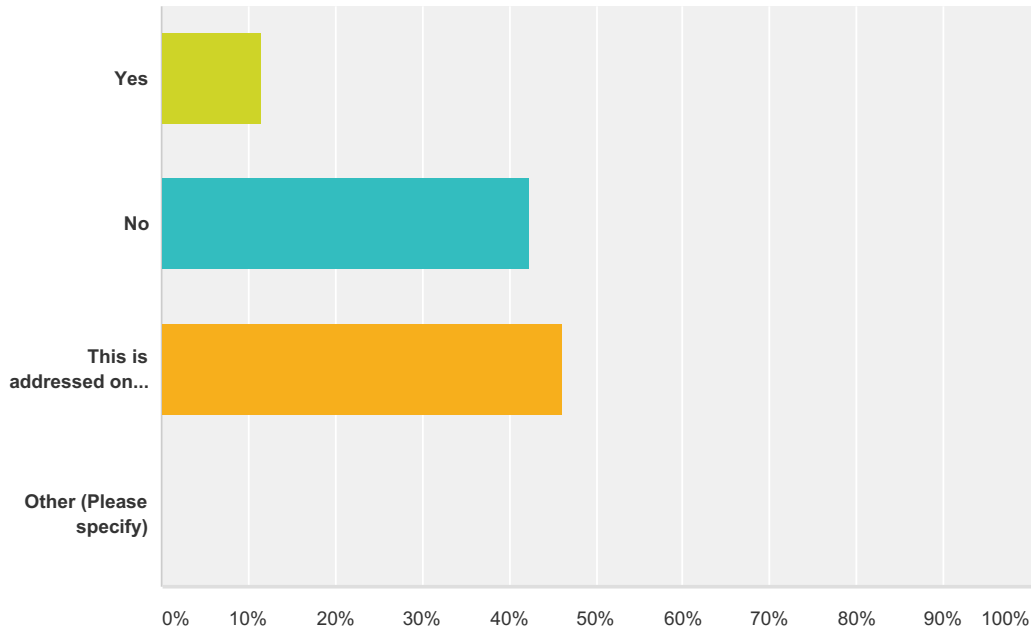
Answered: 26 Skipped: 1



Answer Choices	Responses	Count
Yes	19.23%	5
Not applicable	19.23%	5
Sometimes	34.62%	9
Unknown	19.23%	5
Other qualified response:	7.69%	2
<b>Total</b>		<b>26</b>

**Q12 As a method of dealing with unsatisfactory progress that leads to default, does your agency disallow the Surety (that takes over the project) from utilizing the defaulted Contractor in any capacity?**

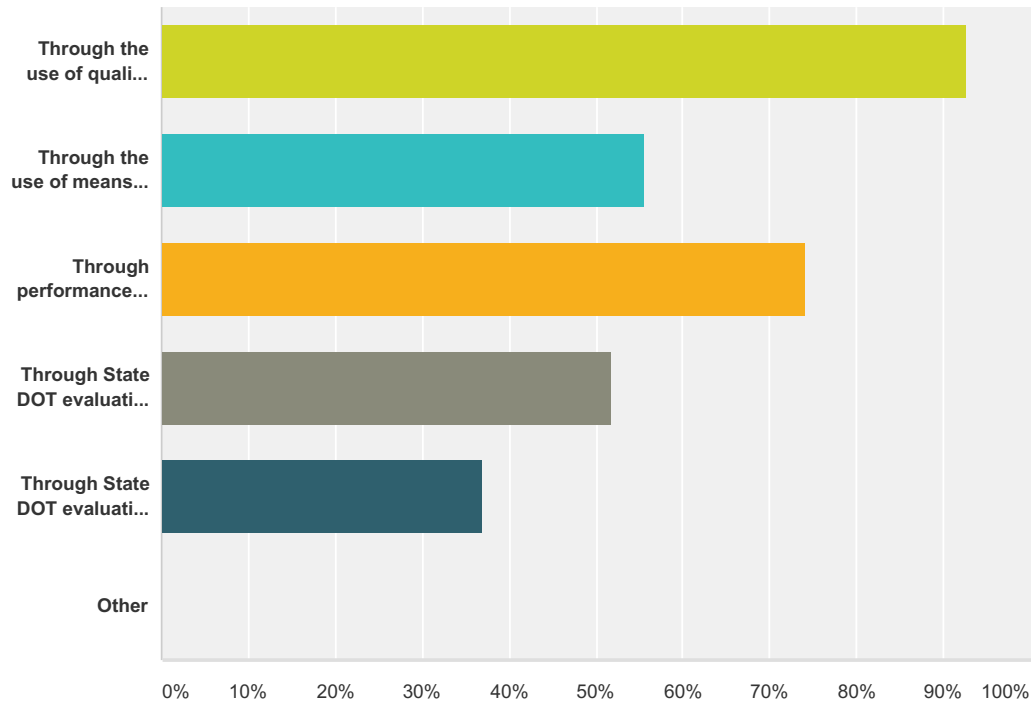
Answered: 26 Skipped: 1



Answer Choices	Responses
Yes	11.54% 3
No	42.31% 11
This is addressed on a case-by-case basis.	46.15% 12
Other (Please specify)	0.00% 0
<b>Total</b>	<b>26</b>

**Q13 How does your State define unacceptable quality in the performance of the work? (For example: quality of materials, quality of the constructed product, quality of traffic control facilities, timely submittal of documentation, cooperation, safety compliance, public coordination, etc. ( check all that apply.)**

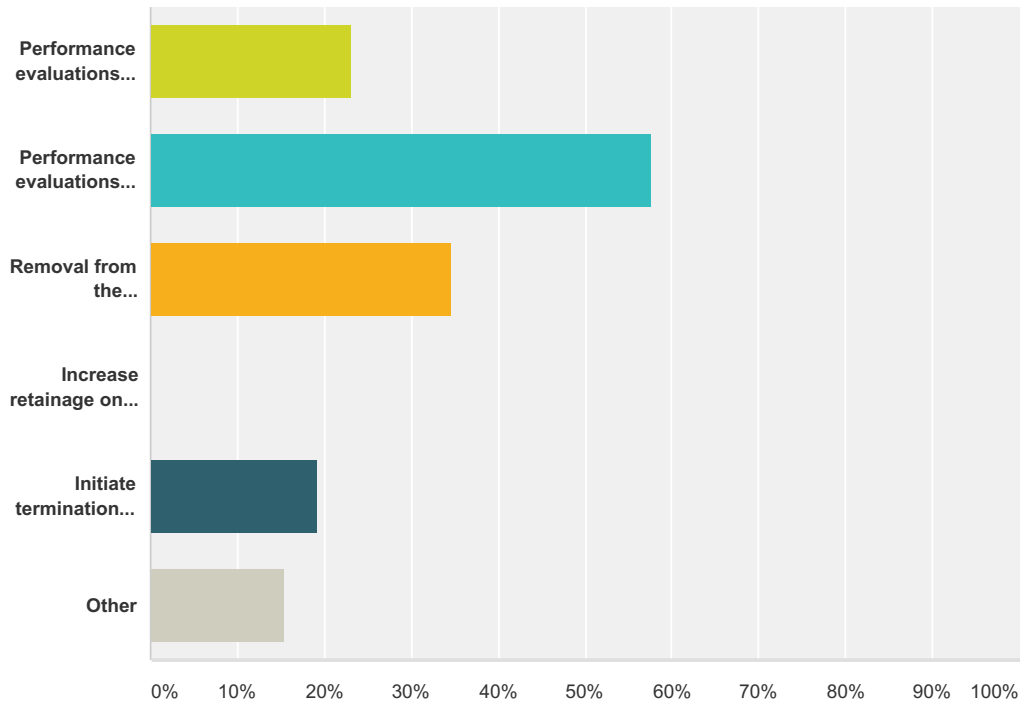
Answered: 27 Skipped: 0



Answer Choices	Responses
Through the use of quality assurance specifications	92.59% 25
Through the use of means and method specifications	55.56% 15
Through performance related specifications or warranties	74.07% 20
Through State DOT evaluations during the performance of the contract	51.85% 14
Through State DOT evaluations after the completion of the contract	37.04% 10
Other	0.00% 0
<b>Total Respondents: 27</b>	

**Q14 How does the State use contract performance evaluation data? (other than contract progress, for example: quality of materials, quality of the constructed product, quality of traffic control facilities, timely submittal of documentation, cooperation, safety compliance, public coordination, etc.)(check all that apply)**

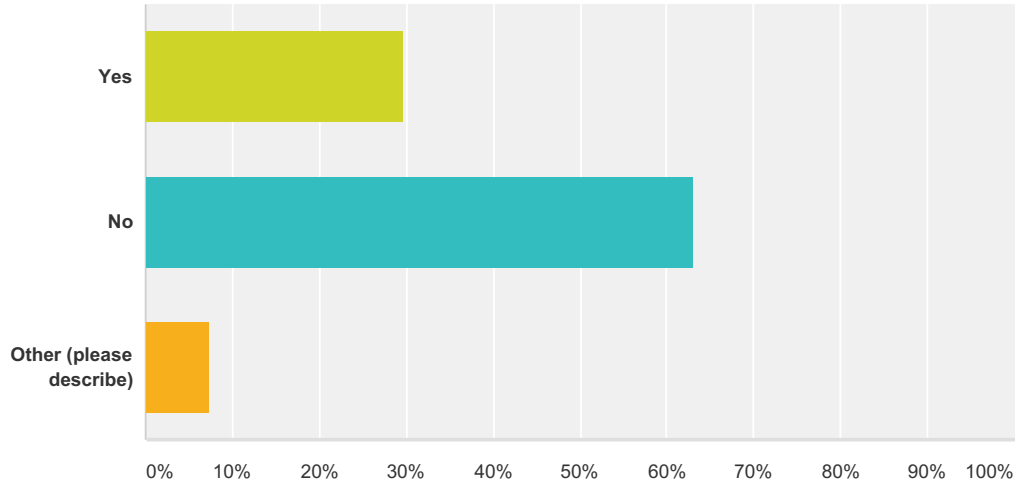
Answered: 26 Skipped: 1



Answer Choices	Responses
Performance evaluations directly lead to an adjustment of prequalification capacity rating with the completion of every contract (explanations suggested)	23.08% 6
Performance evaluations indirectly lead to an adjustment of prequalification capacity rating only when consistent or below average performance is noted over several contracts	57.69% 15
Removal from the prequalification list	34.62% 9
Increase retainage on future contracts	0.00% 0
Initiate termination procedures	19.23% 5
Other	15.38% 4
<b>Total Respondents: 26</b>	

**Q15 Does your state have a process for rewarding above average performance? (other than incentives based on quality assurance specifications)? If yes, please explain.**

Answered: 27 Skipped: 0

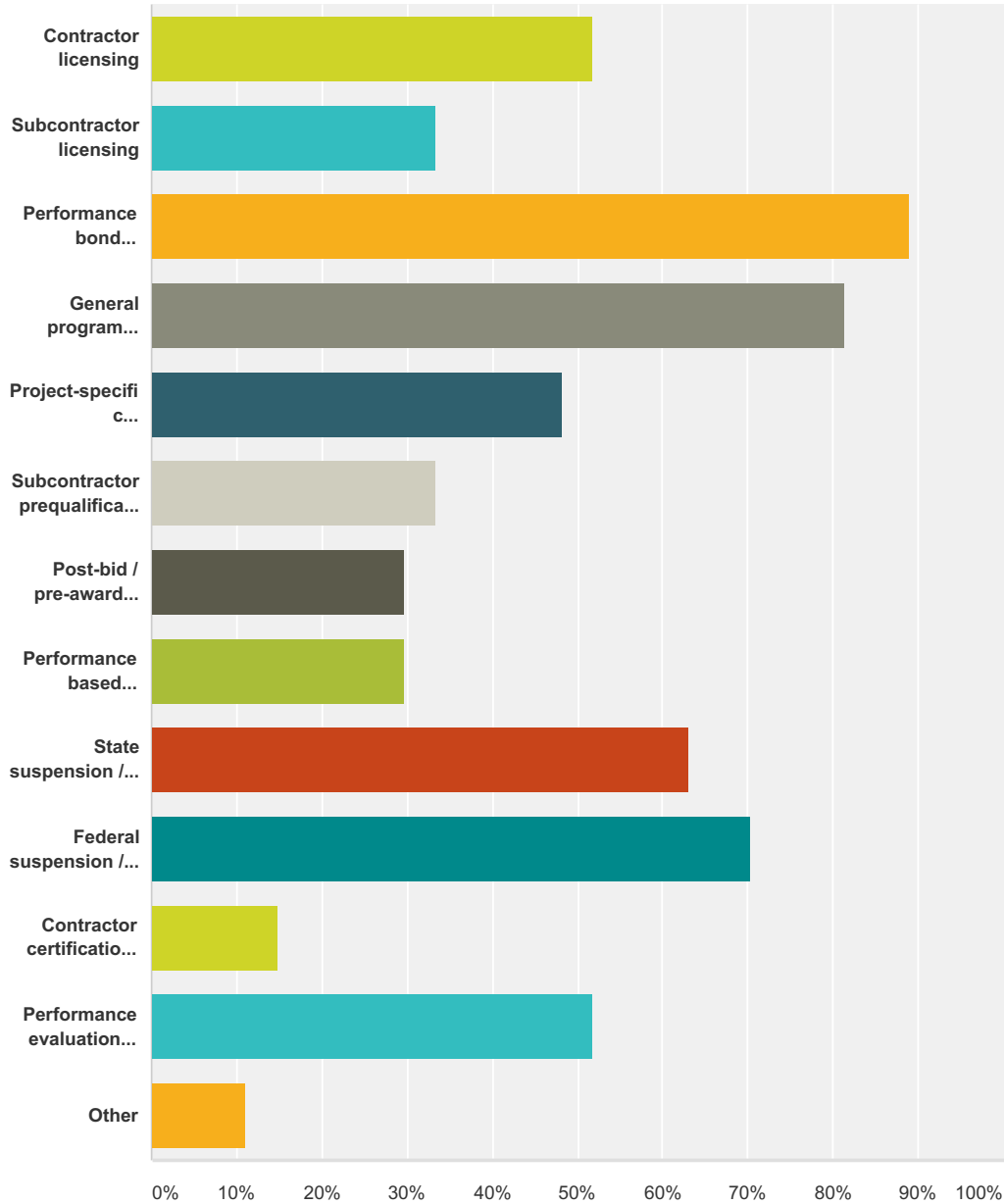


Answer Choices	Responses
Yes	29.63% 8
No	62.96% 17
Other (please describe)	7.41% 2
<b>Total</b>	<b>27</b>



**Q16 Which of the following procedures does your state use to ensure that only responsible contractors are awarded contracts? (Check all that apply)**

Answered: 27 Skipped: 0



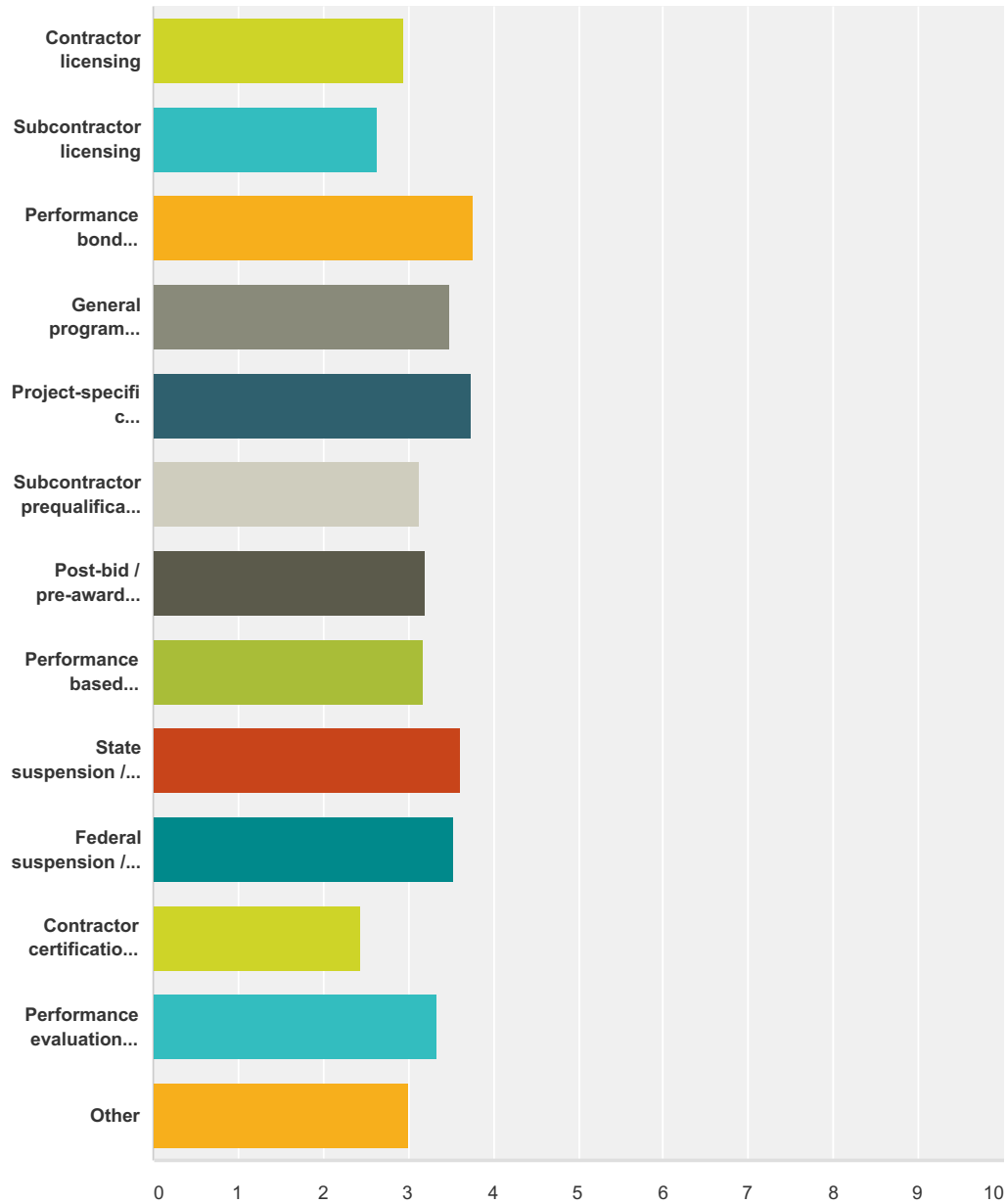
Answer Choices	Responses
Contractor licensing	51.85% 14
Subcontractor licensing	33.33% 9
Performance bond requirements	88.89% 24
General program prequalification requirements for prime contractors	81.48% 22

**AASHTO SOC Contract Administration Section Questionnaire Regarding State DOT Approaches for Dealing with Unsatisfactory Performance (time and quality)**

Project-specific prequalification requirements for prime contractors	<b>48.15%</b>	13
Subcontractor prequalification	<b>33.33%</b>	9
Post-bid / pre-award qualification requirements	<b>29.63%</b>	8
Performance based prequalification reviews	<b>29.63%</b>	8
State suspension / debarment programs	<b>62.96%</b>	17
Federal suspension / debarment programs	<b>70.37%</b>	19
Contractor certifications of compliance with responsibility criteria	<b>14.81%</b>	4
Performance evaluation programs	<b>51.85%</b>	14
Other	<b>11.11%</b>	3
<b>Total Respondents: 27</b>		

**Q17 Please rate the effectiveness of each of the following procedures in ensuring that only responsible contractors are awarded contracts?**

Answered: 26 Skipped: 1



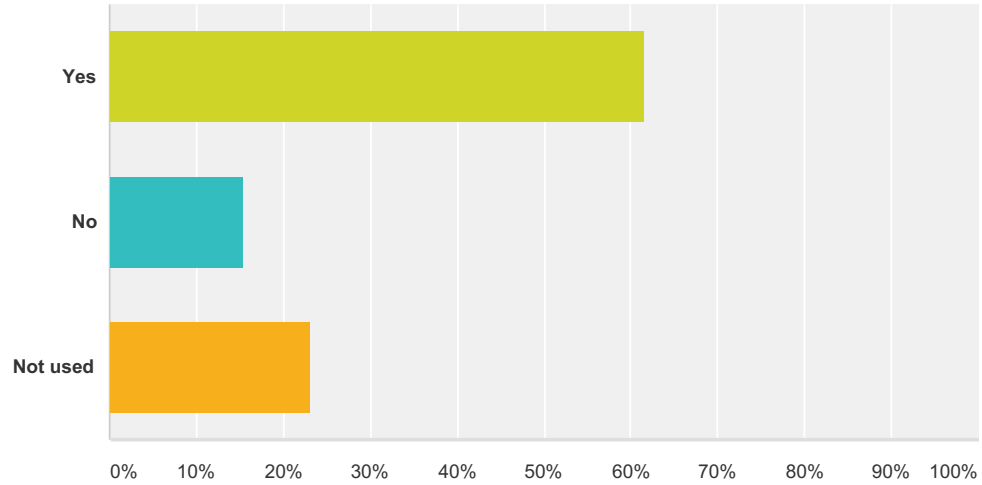
	Least Effective	Somewhat Effective	Average Effectiveness	More than average Effectiveness	Most effective	Total	Weighted Average
Contractor licensing	22.22% 4	11.11% 2	33.33% 6	16.67% 3	16.67% 3	18	2.94
Subcontractor licensing	21.43% 3	14.29% 2	50.00% 7	7.14% 1	7.14% 1	14	2.64

**AASHTO SOC Contract Administration Section Questionnaire Regarding State DOT Approaches for Dealing with Unsatisfactory Performance (time and quality)**

Performance bond requirements	<b>0.00%</b> 0	<b>8.33%</b> 2	<b>41.67%</b> 10	<b>16.67%</b> 4	<b>33.33%</b> 8	24	3.75
General program prequalification requirements for prime contractors	<b>0.00%</b> 0	<b>13.04%</b> 3	<b>43.48%</b> 10	<b>26.09%</b> 6	<b>17.39%</b> 4	23	3.48
Project-specific prequalification requirements for prime contractors	<b>5.26%</b> 1	<b>15.79%</b> 3	<b>10.53%</b> 2	<b>36.84%</b> 7	<b>31.58%</b> 6	19	3.74
Subcontractor prequalification	<b>6.67%</b> 1	<b>13.33%</b> 2	<b>46.67%</b> 7	<b>26.67%</b> 4	<b>6.67%</b> 1	15	3.13
Post-bid / pre-award qualification requirements	<b>13.33%</b> 2	<b>6.67%</b> 1	<b>40.00%</b> 6	<b>26.67%</b> 4	<b>13.33%</b> 2	15	3.20
Performance based prequalification reviews	<b>8.33%</b> 1	<b>16.67%</b> 2	<b>41.67%</b> 5	<b>16.67%</b> 2	<b>16.67%</b> 2	12	3.17
State suspension / debarment programs	<b>0.00%</b> 0	<b>27.78%</b> 5	<b>27.78%</b> 5	<b>0.00%</b> 0	<b>44.44%</b> 8	18	3.61
Federal suspension / debarment programs	<b>5.26%</b> 1	<b>15.79%</b> 3	<b>36.84%</b> 7	<b>5.26%</b> 1	<b>36.84%</b> 7	19	3.53
Contractor certifications of compliance with responsibility criteria	<b>9.09%</b> 1	<b>36.36%</b> 4	<b>54.55%</b> 6	<b>0.00%</b> 0	<b>0.00%</b> 0	11	2.45
Performance evaluation programs	<b>0.00%</b> 0	<b>27.78%</b> 5	<b>22.22%</b> 4	<b>38.89%</b> 7	<b>11.11%</b> 2	18	3.33
Other	<b>0.00%</b> 0	<b>33.33%</b> 1	<b>33.33%</b> 1	<b>33.33%</b> 1	<b>0.00%</b> 0	3	3.00

**Q18 If your agency uses past performance to prequalify or determine responsibility, is there a procedure for providing due process for contractors who wish to appeal a decision?**

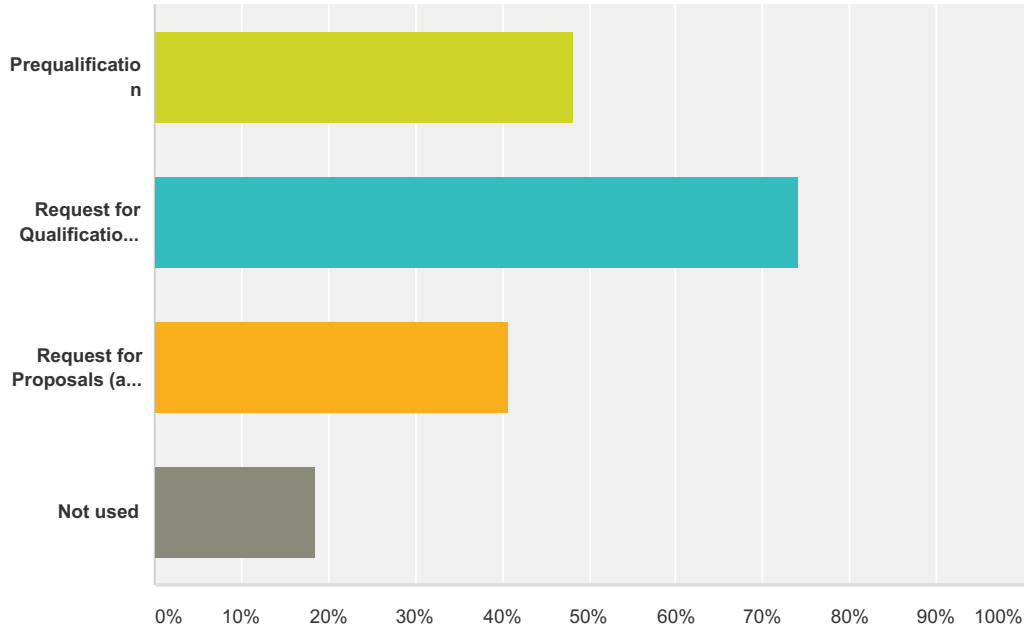
Answered: 26 Skipped: 1



Answer Choices	Responses
Yes	61.54% 16
No	15.38% 4
Not used	23.08% 6
<b>Total</b>	<b>26</b>

**Q19 If your agency uses design-build project delivery, is past performance considered in the following phases (select all that apply):**

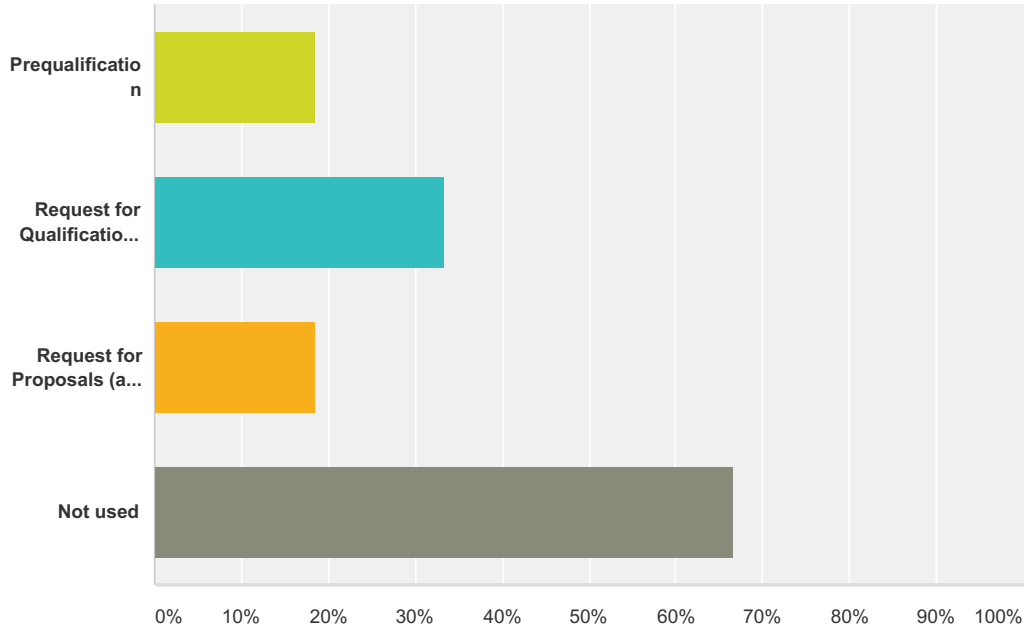
Answered: 27 Skipped: 0



Answer Choices	Responses
Prequalification	48.15% 13
Request for Qualifications / Short listing	74.07% 20
Request for Proposals (as an evaluation criteria)	40.74% 11
Not used	18.52% 5
<b>Total Respondents: 27</b>	

**Q20 If your agency uses construction manager / general contractor project delivery, is past performance considered in the following phases (select all that apply):**

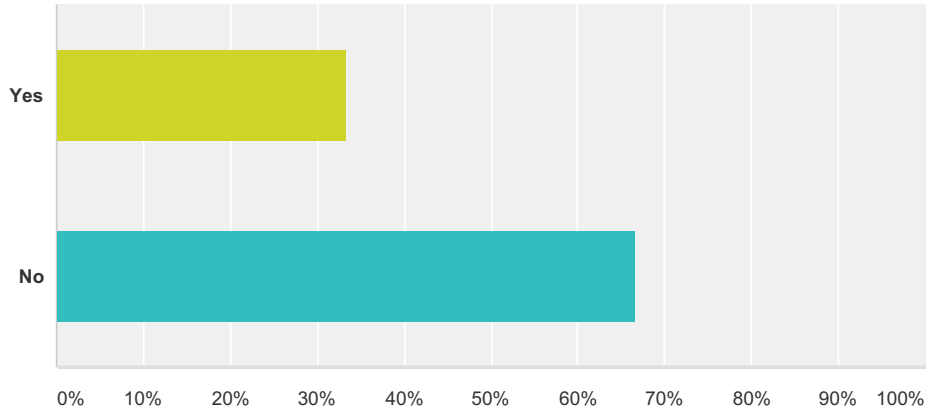
Answered: 27 Skipped: 0



Answer Choices	Responses
Prequalification	18.52% 5
Request for Qualifications / Short listing	33.33% 9
Request for Proposals (as an evaluation criteria)	18.52% 5
Not used	66.67% 18
<b>Total Respondents: 27</b>	

**Q21 Do contractors have a way to evaluate State DOT performance? If so, please provide a web link to any applicable State DOT forms or evaluations of this issue.**

Answered: 24 Skipped: 3

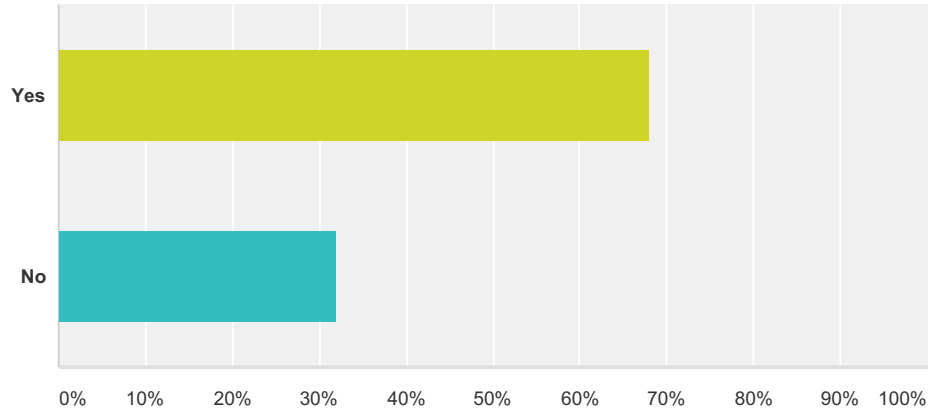


Answer Choices	Responses	
Yes	33.33%	8
No	66.67%	16
<b>Total</b>		<b>24</b>



### Q22 Is your agency aware of Performance Based Contractor Prequalification and Procurement Systems?

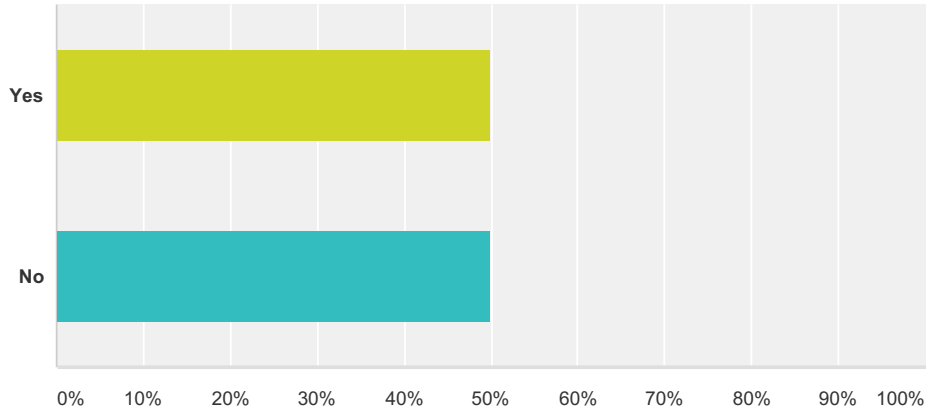
Answered: 25 Skipped: 2



Answer Choices	Responses	
Yes	68.00%	17
No	32.00%	8
<b>Total</b>		<b>25</b>

### Q23 Is your agency interested in your state in learning more about Performance Based Contractor Prequalification and Procurement (e.g. New Mexico's process)?

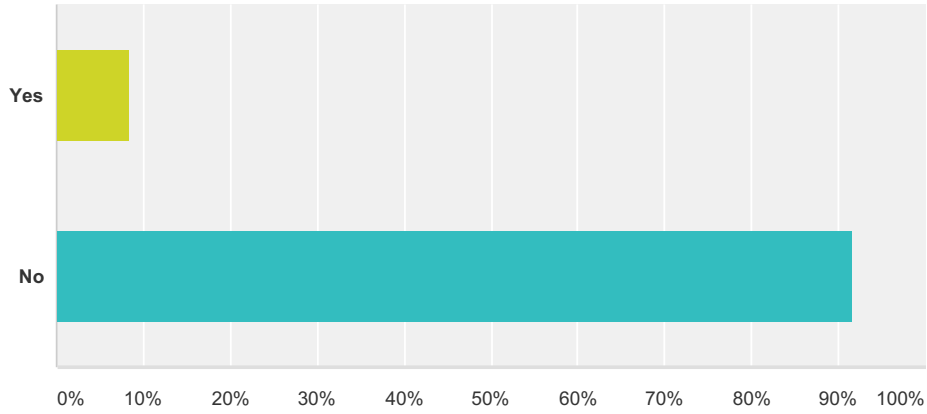
Answered: 26 Skipped: 1



Answer Choices	Responses
Yes	50.00% 13
No	50.00% 13
<b>Total</b>	<b>26</b>

**Q24 Do you have any comments or other suggested practices that you would like to share with the Subcommittee membership? (web links are appreciated).**

Answered: 24 Skipped: 3



Answer Choices	Responses
Yes	8.33% 2
No	91.67% 22
<b>Total</b>	<b>24</b>

### Q25 Please provide your contact information

Answered: 27 Skipped: 0

Answer Choices	Responses
Agency	100.00% 27
Your name	100.00% 27
Your email address	100.00% 27