Report

Performance Report – Asphalt Prequalification

December 2019

# Instructions

The objective of the performance report is to assess the performance of prequalified asphalt contractors to:

* determine their ongoing suitability for prequalification in the relevant category, and
* promote continuous improvement.

The performance assessment documented in this report may be completed on both head contractors, and subcontractors/suppliers to a head contractor.

Optimally, the performance criteria and arrangements for the performance assessment and completion of the report should be discussed between the parties (administrator, asphalt contractor and head contractor (where relevant) at the pre-start meeting for the project, and incorporated into the asphalt contractor’s project management arrangements and the administrator’s[[1]](#footnote-1) surveillance plan.

The report is to be completed by the administrator immediately after Practical Completion. Performance reports may also be prepared at additional times at the Department of Transport and Main Roads’ (TMR’s) discretion (e.g. at the completion of a warranty period, when there is a continuing period of unsatisfactory performance on a contract by the contractor, when a contract is terminated, and so on). The Practical Completion performance report is the main source of data for the evaluation of the overall performance of the asphalt contractor. The final performance report is to evaluate the performance of the asphalt contractor during the warranty period (e.g. honouring the warranty).

Relevant supporting information should be listed in the ‘Reference Evidence’ column, and appended to the completed report. In particular, all performance reports indicating significant non-compliance with the assessment criteria must be supported by documentary evidence (e.g. extracts of audit reports and technical reports, photographs, correspondence, on-site instructions, and so on) which demonstrate the non-compliance, together with advice of any action taken by the asphalt contractor to rectify the non-compliance, including through adjustment of its systems and/or processes.

Where the prequalified asphalt contractor is a subcontractor/supplier to a head contractor engaged by TMR, the administrator will seek the input of the head contractor as part of the performance assessment process. The preliminary assessment should be discussed with the prequalified asphalt contractor. The administrator is required to sign the final report. The process for completing the performance report shall be as follows:

1. the administrator prepares a preliminary report. It is intended that an assessment of the asphalt contractor’s performance be made against each of the detailed subsets of requirements for compliance, listed against each of the performance criteria.
2. the administrator shall issue the preliminary report to the head contractor (if relevant) and asphalt contractor for review. For the Practical Completion performance report this should be within 14 days of the Certificate of Practical Completion being issued
3. the head contractor (if relevant) and asphalt contractor shall provide comment and advise the administrator in writing within 14 days with a written response
4. for written comments received within the 14-day review period, the administrator shall consider the comments and, where appropriate, incorporate the comments of the head contractor (if relevant) and asphalt contractor into the report and submit the final report. For the Practical Completion performance report this should be within 60 days of the Certificate of Practical Completion being issued. The administrator shall send a copy of final reports to the head contractor (if relevant) and asphalt contractor
5. where the head contractor (if relevant) or asphalt contractor do not agree with the content of the final report, the head contractor (if relevant) or asphalt contractor may submit separate written reports not more than 30 days after receiving a copy of the final report.

Completed reports shall be submitted by email to: asphaltprequal@tmr.qld.gov.au

Where areas of non-compliance or poor performance are reported, TMR will undertake further investigations and, where deemed appropriate, will submit its findings to the TMR Prequalification Committee to initiate a review of the asphalt contractor’s prequalification status in order to determine whether a sanction (e.g. change of scope, suspension, downgrading or cancellation of prequalification status) should be applied, in accordance with the process described in Section 6 – Maintenance of prequalification status - of the TMR *Transport Infrastructure Project Delivery System (TIPDS) Volume 3 – NPS Requirements.*

**Release of Information**: The Department of Transport and Main Roads will treat this report as confidential, however information concerning the asphalt contractor may be made available to other relevant government authorities. This information may include, but is not limited to, any information provided by the asphalt contractor to the department and any information relating to the asphalt contractor’s performance.

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| Asphalt contractor’s details |
| Contractor:  |  |
| ABN/ACN:  |  |
| Prequalification category(s): |  |
| Prequalification financial level: |  |
| Contractor’s representative: |  |

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| Contract details |
| Contractor number:  |  |
| Contract title: |  |
| Contract description: |  |
| Prequalification category(s) of contract: |  | Financial level of contract: |  |
| Date of acceptance of tender: |  / / 20 | Contract sum: | $ |
| Type of work (e.g. new, overlay): |  | Asphalt course(s) (e.g. wearing, base): |  |
| Asphalt mix design code: |  | Layer thickness(es):  |  |
| Asphalt tonnage: |  | Paving commencement: |  / /20 |
| Original date for Practical Completion: |  | Paving completion: |  / /20 |
| Date of Practical Completion: |  / /20 | Total price variations: | $ |
| Circumstances, special features (e.g., night work, traffic situation, etc.): |  |

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| Additional contract details (optional) |
| Date of possession of site: |  / /20  |
| Contract period (*weeks*): |  |
| Approved extension of time (*days*): |  |
| Defects liability period (*days*): |  |
| Date of Final Completion: |  / /20 |

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| Report details |
| Period of assessment: | Assessment date |
| [ ]  Interim report: |  / /20 |
| [ ]  Practical Completion: |  / /20 |
| [ ]  Final Completion / end of warranty period: |  / /20 |

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| Summary of scores |
| **Criterion** | **Sub-criterion score if applicable** | **Overall average score** |
| 1. Time management and progress
2. Supply/placement program
3. Supply/placement of asphalt in accordance with program
 |  |
| 1. Project management
2. Management of subcontractors (including consultants and suppliers)
3. Management of resources (plant & personnel)
4. Contract administration
5. Cooperative relationships (e.g. with administrator, head contractor, other contractors)
6. Stakeholder management
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| 1. Utilisation of management systems
2. Quality management (including inspection and testing)
3. OHS management
4. Environmental management
5. Traffic management
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| 1. Expertise of staff
2. Management level (company and project)
3. Supervisory level

Operators |  |
| 1. Suitability of equipment
2. Manufacturing
3. Handling and transport
4. Paving
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| 1. Quality of work
2. Mix design
3. Workmanship
4. Final product
5. Innovation in process
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| Final comments and sign-off |
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| Name of administrator: |  |
| Administrator’s overall comments: |  |
| Name of head contractor:(*where applicable*) |  |
| Head contractor’s overall comments:(*where applicable*) |  |
| Authorise release of report to contractor: |[ ]
| Signature (administrator) |   |
| Signature (head contractor)(*where applicable*) |   |
| Date |  / /20 |
| Asphalt contractor’s response |
| I have read and understood the performance report and, as the asphalt contractor’s representative, I advise that the asphalt contractor:[ ]  agrees with this report or[ ]  does not agree with this report. |
| Contractor’s representative: |  |
| Position: |  |
| Signature: |   |
| Date: |  / /20 |

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| Report finalisation |
| Finalised and entered into records/database: |  / /20 |

| Score | Rating | Descriptor (the extent to which the prequalified contractor meets performance requirements) |
| --- | --- | --- |
| 10 | Superior | Exceptional. Always well above the required standard of performance. Demonstrated strengths and use of innovation where appropriate. No errors, risks, weaknesses or omissions. |
| 9 | Good | Often exceeds the required standard of performance. Demonstrated strengths and use of innovation where appropriate. Negligible minor errors, risks, weaknesses or omissions which are acceptable as offered. |
| 8 | Sound achievement of the required standard of performance. Minimal minor errors, risks, weaknesses or omissions which are acceptable as offered. |
| 7 | Acceptable | Reasonable achievement of the required standard of performance. Some minor errors, risks, weaknesses or omissions which may be acceptable as offered. |
| 6 | Reasonable achievement of the required standard of performance. Some errors, risks, weaknesses or omissions which can be corrected/overcome with minimum effort. |
| 5 | Minimal achievement of the required standard of performance. Some errors, risks, weaknesses or omissions which are possible to correct/overcome and make acceptable. |
| 4 | Unacceptable | Moderate weaknesses. Does not always meet the required standard of performance. |
| 3 | Significant weaknesses. Performance is often below the required standard of performance. |
| 2 | Major weaknesses. Rarely meets the required standard of performance. |
| 1 | General non-compliance. Has not met the required standard of performance. |
| 0 | Severe non-compliance. Does not meet the required standard of performance and is not recommended to carry out this type of work. |

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| **GUIDE NOTE**:It is possible that not all sub-criteria will be assessed for every contract or report. Where a sub-criterion is not assessed, the remaining sub-criteria will be averaged to provide a score at the criterion level. |

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| Time management and progress |
|  | **Administrator’s Initial Score** | **Asphalt Contractor’s Score** | **Administrator’s Final Score** | **Comments** | **Reference evidence****(please list)** |
| 1. Supply/placement program
2. Supply/placement of asphalt in accordance with program
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| Project management |
|  | **Administrator’s Initial Score** | **Asphalt Contractor’s Score** | **Administrator’s Final Score** | **Comments** | **Reference evidence****(please list)** |
| 1. Management of subcontractors (including consultants and suppliers)
2. Management of resources (plant & personnel)
3. Contract administration
4. Cooperative relationships (e.g. with administrator, head contractor, other contractors)
5. Stakeholder management
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| Utilisation of management systems (Note: Assessment will focus on both quality of system and whether it was utilised successfully on the subject contract) |
|  | **Administrator’s Initial Score** | **Asphalt Contractor’s Score** | **Administrator’s Final Score** | **Comments** | **Reference evidence****(please list)** |
| 1. Quality management (including inspection and testing)
 |  |  |  |  |  |
| 1. OHS management
 |  |  |  |  |  |
| 1. Environmental management
 |  |  |  |  |  |
| 1. Traffic management
 |  |  |  |  |  |
| **Average Score** |  |  |  |  |  |

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| Expertise of staff |
|  | **Administrator’s Initial Score** | **Asphalt Contractor’s Score** | **Administrator’s Final Score** | **Comments** | **Reference evidence****(please list)** |
| 1. Management level (company and project)
2. Supervisory level
3. Operators
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| Suitability of equipment |
|  | **Administrator’s Initial Score** | **Asphalt Contractor’s Score** | **Administrator’s Final Score** | **Comments** | **Reference evidence****(please list)** |
| 1. Manufacturing
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| 1. Handling and transport
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| 1. Paving
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| **Average score** |  |  |  |  |  |

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| Quality of work |
|  | Administrator’s Initial Score | Asphalt Contractor’s Score | Administrator’s Final Score | Comments | Reference evidence(please list) |
| 1. Mix design
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| 1. Workmanship
 |  |  |  |  |  |
| 1. Final product
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| 1. Innovation in process
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| **Average score** |  |  |  |  |  |

1. Where administrator is specified it should be noted that this shall include the administrator’s representative. [↑](#footnote-ref-1)