Ontario

MINISTRY OF TRANSPORTATION

Performance Appraisals

Procedures Guide

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Performance Appraisals Procedures Guide

Ministry of Transportation Ontario

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Performance Appraisals Procedures Guide

1.0 Introduction

A Service Provider that enters into an agreement with the ministry for procurement through RFP, RFQ, Retainer for functional or multi-functional services receives a Performance Appraisal and rating, of the services provided. Depending on the duration and complexity, a Service Provider may receive one or more performance appraisals: Interim, Annual or Final for engineering assignment, or monthly appraisal for contract administration (CA) assignment.

SinceEffective January 1, 2001, the ministry has instituted utilized a performance-based approach for procuring the qualified Service Providers for planning, engineering and contractstruction administration work. This e performance-based approach is referred to as "Engineering Services Consultant Performance and Selection System, (ESPSSCPSS)." explicitly considers past performance of a service provider in the form of a Corporate Performance Rating (CPR). The CPR of a firm is a weighted average calculated based on the performance appraisals issued by the ministry to that firm.

The ESPSSCPSS Procedures Guide is available on the Technical Publications website. RAQS public

It is the responsibility of the ministry's Agreement Administrator (Project Manager, Contract Services Administrator/Area Manager, ConstructionContracts Engineer) to issue an appraisal and rating that is timely and reflective of a firm's performance. The purpose of this guideline is to describe the process and steps for issuing performance appraisals and applying those to calculate a firm's CPR.

2.0 Performance Appraisals

2.1 Purpose of Appraisals

The purpose of a Performance Appraisal is to document a Service Provider's performance for an assignment. A Service Provider receives interim, annual and/or final appraisals for an engineering assignment or monthly and final appraisal for CA assignment where a Service Provider's performance is reported for various activities with the corresponding weightings. The performance appraisal form identifies the activities, weightings, and tabulates the overall performance appraisal score. All appraisal forms are available in the Generic Document Library (InsideOPS) RAQS.

An appraisal is to be based on a Service Provider's performance for the work carried out based on the scope of services and the schedule agreed. An appraisal is not a "one time deal", carried out at the completion of an assignment. An appraisal is the result of ongoing feedback to the Service Provider by the ministry staff. Regular communication is required between the Service Provider and the ministry's Agreement Administrator on

the project including the progress made and the feedback on the performance, both positive and negative.

The ongoing communication and feedback on performance allows the Service Provider to improve their work and performance. Improved quality of work and timely completion of project deliverables are of value to the ministry. The documentation of the ongoing communication / feedback serves as the ministry's record and the basis for issuing a Performance Appraisal.

2.2 Performance Appraisal Types and Timelines

The following appraisal type and rules apply to all assignments for CA work:

- **Monthly Appraisal** is issued once a month for an assignment ~~of duration~~.
- **Final Appraisal** is issued in the month of the assignment completion date for a CA assignment. Final appraisal score is the average of all of monthly appraisal scores.

* Assignment Completion date for a CA appraisal: is the date by which the documentation of all CA activities related to the assignment and submission of deliverables by the CA, as referenced in the CAIS~~CAIT Manual~~ (Construction Administration and Inspection Specifications~~CAITM~~) and as specified in the CA Agreement, are submitted to the satisfaction of the Ministry.

The following appraisal types and rules apply to all assignments for planning and~~,~~ engineering work ~~and construction administration work~~:

- **Interim Appraisal** is issued for an assignment of duration between two (2) and two and a half (2.5) years. An Interim Appraisal is issued about half way into the assignment.

  ~~-~~An interim appraisal may also be issued where the majority of work has been completed however the final completion has been deferred. Such Interim Appraisal will be followed by a Final Appraisal at a later date upon final completion.

- **Annual Appraisal** is issued once a year for an assignment of duration greater than two and a half years. Typically, an Annual Appraisal is completed around the anniversary date of the agreement signing.

- **Final Appraisal** is issued within sixty (60) calendar days following the Assignment Completion* of a CA assignment~~construction administration assignment~~; or within sixty (60) calendar days following the Substantial Completion** of a planning, engineering assignment.

  For an assignment (planning and~~,~~ engineering~~, construction administration~~) of duration of less than two (2) years, only a Final Appraisal will be issued. Subject to the findings of any follow-up review or audit of the deliverables, a revised Final Appraisal may be issued to replace a previously issued Final Appraisal. A reissued appraisal is subject to the ministry's review and approval process.

~~**Table 1. Performance Appraisal Types and Timelines Summary for Construction Administration (CA) Assignments**~~

~~Assignment Duration~~	~~Appraisal Type~~	~~Appraisal Timing~~
~~Less than 2 years~~	~~Final Appraisal Only~~	~~Within 60 days of Assignment Completion*~~
~~Between 2 to 2.5 years~~	~~Interim Appraisal~~	~~12 months into assignment~~
	~~Final Appraisal~~	~~Within 60 days of Assignment Completion*~~
~~Greater than 2.5 years (Multi-year assignments)~~	~~Annual Appraisal~~	~~End of every 12 months into assignment~~
	~~Final Appraisal~~	~~Within 60 days of Assignment Completion*~~
~~Retainer Assignments~~	~~Final Appraisal Only~~	~~Within 60 days of Assignment Completion*~~

~~* Assignment Completion date for a CA appraisal: is the date by which the documentation of all CA activities related to the assignment and submission of deliverables by the CA, as referenced in the CAIT Manual (CAITM) and as specified in the CA Agreement, are submitted to the satisfaction of the Ministry.~~

Table 12~~.~~ Performance Appraisal Types and Timelines Summary for~~-~~ Planning and Engineering Assignments

Appraisal Type	Assignment Duration	Appraisal Timing
Final Appraisal	Up to 2 years	Within 60 days of Substantial Completion**
Interim Appraisal	Greater than 2 to 2.5 years	Half way into the assignment
Final Appraisal		Within 60 days of Substantial Completion**
Annual Appraisal	Greater than 2.5 years	Every 12 months during the assignment
Final Appraisal		Within 60 days of Substantial Completion**

** Substantial Completion date for appraisals:

- Detail Design assignment appraisals: Tender opening date
- Planning and Preliminary Design assignment appraisals: Submission date for final deliverables
- ~~Post-Construction Engineering appraisals: Design Package evaluation at the completion of construction activities~~

- If the tendering is delayed for a Detailed Design Assignment, issue an interim Appraisal within sixty (60) calendar days of executive review / design complete presentation. Once the Tender is advertised, issue the Final Appraisal within sixty (60) calendar days of tender opening.

- If completion of an assignment is deferred, an Interim Appraisal is to be issued at the time of deferring an assignment.

- An approved appraisal (either Annual, Interim, or Final) replaces an earlier approved appraisal for the same assignment for the purposes of CPR calculations.
  - ~~All appraisals (Interim, Annual and Final) apply in a CPR. There are two (2) exceptions to this rule.~~

~~1. For assignments posted before October 1, 2007, only Final Appraisals are included in a CPR.~~

~~2. For all Retainer Assignments only the Final Appraisal is included in the CPR.~~

- An approved appraisal replaces an earlier approved appraisal for the same assignment for the purposes of CPR calculations.

2.3 Performance Appraisal Forms

~~Planning and~~ Engineering Assignments

The performance appraisal form ~~has~~s ~~have~~ been revised for ~~Planning and~~ Engineering Assignments. The ~~revised "~~Streamlined Engineering Appraisal ~~and Related Services 3~~" ~~appraisal~~ form is to be used for all Engineering Assignments advertised / posted on or after February 16, 2023, for ~~all~~ Preliminary Design and Detailed Design assignments where the RAQS (Registry, Appraisal, and Qualification System) prime specialty is from:
• 'Highway Engineering' category, or
• 'Bridge Engineering' category when led by the Project Delivery Office ~~advertised / posted on or after February 16, 2023January 4, 2010.~~

Engineering and Related Services ~~2~~3 is to be used for Engineering Assignments with any of the other ~~other~~ engineering prime specialties. ~~assignments posted before February 16, 2023December 31, 2009~~.

Con~~s~~tract~~uction~~ Administration Assignments

The performance appraisal form for Contract~~struction~~ Administration ~~Services~~ Assignment has been revised. The newly developed ~~revised~~ form "Contract ~~struction~~ Administration Performance Appraisal ~~– 4~~" ~~(CA-4)~~ is to be used for all CA~~Constractuction Administration Services~~ Assignments awarded~~advertised / posted~~ on or after January 1, 2023~~March 1, 202308. and later.~~

Other Planning~~, and~~ Engineering and Contract~~struction~~ Administration ~~Assignments~~ Appraisal Forms

Other appraisal forms available in the generic document library (InsideOPS)I ~~n RAQS are~~:

- ~~-~~Engineering and Related Services 3 is to be used for Engineering Assignments with any of the other engineering prime specialties
- Contract Administration 4 (CA assignments posted after March 1, 2008)
- Area Materials Testing Appraisal 2 (QA assignments posted after January 1, 2003)
- Small Value Appraisal (SVA posted after August 1, 2003)
- Planning 2 Appraisal (Planning assignments posted after August 1, 2003)

~~Construction Contract Administration 4 (CA assignments posted after March 1, 2008)~~
~~Construction Contract Administration 3 (CA assignments posted after August 1, 2002)~~
~~• Post-Construction Engineering Appraisal 3 (Engineering assignments posted after August 1, 2003)~~
~~• Area Materials Testing Appraisal 2 (QA assignments posted after January 1, 2003)~~
~~• Small Value Appraisal (Small Value assignments posted after August 1, 2003)~~

~~• Planning 2 Appraisal (Planning assignments posted after August 1, 2003)~~
~~• Management / Policy Appraisal (Assignments posted after January 1, 2003)~~

2.4 Developing Performance Appraisals

The current Performance Appraisal process takes the following steps:

- At the start of an assignment, the ministry's Agreement Administrator assigns weights in a performance appraisal form depending on the nature and complexity of work awarded and as described in Section 4.2 of this document and provides those to the Service Provider. The performance appraisal form and the associated weights for all areas are discussed with the Service Provider at the start of an assignment.

- For any scope or schedule changes during the assignment, the weights for various sub-sections of Specialties may be revised and discussed with the Service Provider.

- During an assignment, the ministry's Agreement Administrator, with the assistance of the ministry's project team, monitors the timeliness and quality of the services and deliverables provided by the Service Provider and provides the feedback on performance through correspondence, progress review meetings and other means.

- Documentation of the feedback provided to the Service Provider and any related correspondence is filed for future reference.

- An appraisal is to cover a Service Provider's performance from the start of the project to the date of issue of the appraisal. This applies to all appraisal types including Monthly, Annual, Interim, and Final, based on the monitoring of the performance of a Service Provider in delivering the products and services agreed. It is recognized that all functions within an assignment do not start and finish at the same time. Consequently, a Monthly, ~~n~~ Interim or Annual appraisal must be reflective of this fact.

~~• For Engineering Retainer Assignments, the Service Provider is issued Final Appraisal that is reflective of all Work Items awarded.~~

- A completed appraisal is forwarded electronically through RAQS or Contract Management System (CMS) to the Service Provider for approval.

- The past Performance Appraisals and ratings are tracked in the Performance Management ~~Appraisal~~ Module of the ~~Registry, Appraisal and Qualification System (~~RAQS~~)~~.

3.0 Performance Appraisal Definitions

In order to provide consistency in appraising Service Provider projects, ministry staff **must** use the following common base for appraisal definitions.

3.1 General Definitions

Definitions to be used in Planning and Engineering Performance Appraisals are as follow:

5 - Outstanding:	Performance far exceeded requirements and resulted in benefits to the ministry (i.e. effective meetings, decisions made, completed agenda, feedback received, issues resolved, questions answered, early delivery, early advertising, cost savings)
4 - Commendable:	Performance exceeded requirements
3 - Satisfactory:	Performance met requirements
2 - Needs Improvement:	Performance fell short of requirements
1 - Not Satisfactory:	Performance fell far short of requirements

Definitions to be used in CA Performance Appraisals are as follow:

Scoring Criteria	Score	Application
Exceeded CCAA* Requirements	5/5	Categories 1 to 6
Substantially met CCAA Requirements	3/5	Categories 1 to 6
Did not meet CCAA Requirements	1/5	Categories 1 to 6
N/A	No score attributed	Categories 1 to 6
Pass/Fail		Category 7: Health and Safety

* CCAA = Construction Contract Administration Agreement

3.2 Detailed Definitions

The Detailed Performance Activity Appraisal Definitions for engineering assignments are listed in Appendix B (excel file) and should be used in completing Performance

Appraisal activities in Sections 1.0 and 2.0, selecting the definitions applicable to the particular assignment. However, the ministry's Agreement Administrator can make minor changes to the comments before including them in the RAQS appraisal form. Ratings for "Outstanding", "Needs Improvement" and "Not Satisfactory" may be supported by specific examples in the comments section. **These completed templates in Appendix B are kept in the ministry's file for reference. These are not sent to a Service Provider.** Only the completed performance appraisal form in RAQS is forwarded to the Service Provider for approval.

4.0 Performance Appraisal Considerations

4.1 Performance Appraisal Format

Planning and Engineering Assignments

As of February 16, 2023, the Engineering and Related Services (P&DD) appraisal ('sStreamlined') is to be used for all Preliminary and Detailed Design assignments, also, . for Bridge Engineering when the contract is being led by the Project Delivery Office

TheThe revised Streamlined eEngineering appraisal form was , developed in 2022 where the two main sections of , is divided into three (3) parts: Section 1.0, Project Management and, Section 2.0, Quality of Deliverables are merged and Section 3.0, is Occupational Health and Safety (OHS). The performance appraisal form contains formulae that calculates individual section and sub-section ratings by multiplying the weight times by the rating.

The overall performance appraisal rating is a weighted average of Section 1.0 and Section 2.0 the five (5) Activity Categories of the merged section. Typically, this weighting may be 50 percent (50%) each for Sections 1.0 and 2.0, however, Tthe weights may vary from assignment to assignment. The OHS reduction, if applicable, is the last step to calculate the overall performance appraisal rating.

Section of 1.0: Project Management & Section 2.0, Quality of Deliverables includes five (5) sub-sections 1 - 5 and evaluates how the project was managed based on the sub-sections that are applicable to the assignment. The rating provided for each applicable sub-section is an integer value of 1, 2, 3, 4, or 5. At the end of Sections 1.0 & 2.0 the weighted average is calculated to two (2) decimal places in RAQS.

1. Planning, Scheduling, Utilities and Timeliness of Delivery
2. Project Manager
3. Public, Stakeholder and External Agency Relations
4. Quality of Detail Design Contract Package
5. Quality of Final (Specialty) Deliverables (Excluding CTS submission for Detail Design projects)

Planning and SpecialtyEngineering Assignments

The Engineering and Related Services 3 appraisal form was appraisal form, revised in 202209, is divided into three (3) parts: Section 1.0, Project Management, Section 2.0, Quality of Deliverables and Section 3.0, Occupational Health and Safety (OHS). The performance appraisal form contains formulae that calculates individual section and sub-section Rratings by multiplying the weight timesby the Rrating.

The oOverall Pperformance Aappraisal rRating is a weighted average of Section 1.0 and Section 2.0. Typically this weighting may be 50 percent (50%) each for Sections 1.0 and 2.0 however tThe weights may vary from assignment to assignment (typically this weighting may be 50% each for Sections 1.0 and 2.0). The OHS reduction, if applicable, is the last step to calculate the Ooverall Pperformance Aappraisal Rrating.

Section 1.0: Project Management includes seven (7) sub-sections 1.1 - 1.7, and evaluates how the project was managed based on the sub-sections that are applicable to the assignment. The rating provided for each applicable sub-section is an integer value of 1, 2, 3, 4, or 5. At the end of Section 1.0 the weighted average is calculated to two (2) decimal places in RAQS.

1.1 Planning, Scheduling and Delivery
1.2 Project Manager
1.3 Issues Identification
1.4 Service Provider Project Team Management
1.5 Cost Management
1.6 Communication with the Ministry
1.7 Public, Stakeholder and External Agency Relations

Section 2.0: Quality of Deliverables includes eight (8) sub-sections, 2.1-2.8, and evaluates various aspects of quality.

- 2.1 Quality Control Plan is used to evaluate the effectiveness of the Quality Control Plan and adherence of the Service Provider to it. This evaluation is based on the Supplementary Quality Control (QC) Plans and Milestone Reports submitted for all Specialties identified.

The supplemental excel workbook has two worksheets. One (1) for the QC plan detail, one (1) for the QC plan summary.

- The ministry's Agreement Administrator uses the Excel supplementary sheet

- "2.2.1 QC Supplement" to rate the delivery of each Category's Supplementary Plans and up to three Milestone Reports and assigns a rating as an integer value from 1 to 5. The weights of these deliverables (up to 4 in total) are weighted equally

may vary from assignment to assignment (typically may be 25% each), out of 100, in the Supplemental Sheet.

- The Excel supplementary sheet "2.1 QC Summary" calculates the overall rating for a Category as the average of the Ratings for Supplementary Plan and Milestone Quality Reports. This overall Rating is automatically transposed to the Form. ~~calculated within RAQS.~~

- The Ratings for each Category are then automatically transferred to the supplementary sheet 2.1 summary and a weighted average for all Categories is automatically calculated to two decimal places. Each category should be assigned an equal weight.

~~- The ministry's Agreement Administrator populates both worksheets then exits out of excel and is directed back into RAQS. The Project Manager must select "Update Summary Values" to have the Section 2.1 generated into the performance appraisal form.~~

- Further detail is available in Appendix B – Engineering Appraisal Definitions, Section 2.1 Quality Control Plan.

~~□~~ 2.2: Quality of Category Deliverables is used to evaluate the Quality of Deliverables for each Category applicable. Depending on the scope of an assignment, the Category deliverables may vary. It is the responsibility of the ministry Project Manager to determine the appropriate Category Deliverables for an assignment.

- Appendix A provides samples of typical Specialty Deliverables for various Categories. ~~–~~It is recognized that depending on the scope of work, Specialty Deliverables may change from assignment to assignment.

- The ministry's Agreement Administrator identifies the name of the Service Provider/sub-contractor responsible for those deliverables on the supplementary sheet for each Category under sub-section 2.2

~~The supplemental excel workbook has two worksheets. One for the Specialties detail, one for the Specialties sum~~

- The ministry's Agreement Administrator uses the Excel supplementary sheet "2.2.2 Deliverables Supplement" to select the appropriate Categories under 2.2. They must be assigned weights that are applicable for the assignment.

- In completing an appraisal, assign an integer rating from 1 to 5 for the key Quality Deliverables for each Category. A weighted average of the ratings for each Specialty applicable is calculated to two decimal places. This weighted average for each Specialty is then automatically transferred to the appropriate slots for the individual Specialties under Supplemental Sheet 2.2.2. The overall average for

sub-section 2.2. is subsequently calculated and transferred to Section 2.0 under the slot for sub-section 2.2 and applied with the predetermined weight for 2.2.

- Baseline Reduction: In order to effectively address the performance below satisfactory in any individual Specialty, the following applies:

  - If the Service Provider received a rating on an individual Category between 2.5 and 3, the Service Provider will be issued a cautionary note warning them to make special effort to improve the performance levels in future assignments to a satisfactory level (3.00 or above) for all Categories.

  - In situations where the Performance Rating of an individual Category drops below 2.5, a baseline reduction is applied to sub-section 2.2: Quality of Deliverables, as described below:

  - ~~For Engineering 3 Appraisals, the baseline reduction only applies if there is more than one specialty in the assignment.~~

  - The baseline reduction is calculated in RAQS as the difference between 2.5 and the actual rating received for the category and applied to the weighted average for sub-section 2.2. For example, if a category rating received is 2.0 the baseline reduction for sub-section 2.2 is 2.5 minus 2.0 equals 0.5. This results in reducing the overall rating for sub-section 2.2 by 0.5.

2.3 Constructability Review Plan (Detail Design) is used to evaluate the Service Provider's performance following the Constructability Review Plan as accepted by the ministry.

2.4 Innovation is used to evaluate and rate the Service Provider's performance on delivering the Innovation as accepted by the ministry. If multiple innovation plans are accepted, then the project manager must combine into one rating for this sub-section.

2.5 Quality of Preliminary Design Deliverables

2.6 Quality of Contract Package (Detail Design). Further details are provided in Sheet 2.6 under Appraisal definitions.

2.7 Project Cost Estimating is used to evaluate Service Provider's Cost Estimates at specified milestones as required for Scope Cost Reporting.

-2.8 Utility Identification and Relocation, Planning and Scheduling

Section 3.0: Occupational Health and Safety (OHS) is used to evaluate the Service Provider's compliance with Occupational Health and Safety Act and agreed upon OHS Plan. This category is assessed on the basis of the following scores:

- Not Satisfactory (rating 1.0)
- Needs Improvement (rating 2.0)
- Satisfactory (rating 3.0)

The ministry's Agreement Administrator must select a rating of 1, 2, or 3. If the Service Provider score for OHS is less than satisfactory, the overall Performance Rrating is reduced automatically in RAQS:

- Not Satisfactory – reduction to overall rating = 1.0
- Needs Improvement – reduction to overall rating = 0.5

Contract struction Administration Assignments

The CA Performance Appraisal CA-4 appraisal contains seven ten (710) areas referred to as Categories for rating performance of a Service Provider described below.

All or some of seven nine (79) Categories (described below) are rated to the scale of one (1) to five (5), multiplied by the weights assigned, added and divided by the total weight to determine the Ooverall Pperformance Aappraisal Rrating. Any Occupational Health and Safety (OHS) reduction, resulting from less than satisfactory performance for OHS (Category 710) is applied to the Ooverall Pperformance Rrating.

Appraisal Rating Categories:

Performance Appraisal includes some or all of sevennine Categories listed below to evaluate the project management and delivery of a CA assignment. The Rating provided for each applicable Category is an integer value of 1, 2, 3, 4, or 5. For some or all of seven nine (79) Categories, the weighted average is calculated to two (2) decimal places in RAQS.

Categories 1 to 79 listed in the section identified as Performance Appraisal - Questions are as follow:

1. Project Management
2. Contractor Payment and Change Management, Negotiations and Engineering Claims
3. Contractor Quality Process ManagementControl Administration, Services and Deliverables
4. Contractor, MTO and Public Liaison and Communication Management
5. Contract AdministrationManagement of Deliverables
6. Quality Assurance Deliverables

~~7.~~6.Traffic and Environmental Issues Management
~~7. Traffic Management and Staging~~
~~7. Specialty Plans~~

Category ~~10~~7: ~~Occupational~~ Health and Safety ~~(OHS)~~ is used to evaluate the Service Provider's compliance with Occupational Health and Safety Act and agreed upon OHS Plan. This category is assessed on the basis of Pass or Fail~~the following scores:~~.

- ~~Not Satisfactory (rating 1.0)~~
- ~~Needs Improvement (rating 2.0)~~
- ~~Satisfactory (rating 3.0)~~

The Project Manager (CSA/Area Manager, Construction~~CE~~) must select a Pass or Fail~~a rating of 1, 2, or 3~~. If the Service Provider ~~score f~~for Health and Safety~~OHS~~ is evaluated as Fail ~~less than satisfactory~~, the overall performance rating is reduced automatically ~~in RAQS~~1.0 ~~.~~
~~Not Satisfactory – reduction~~ to overall appraisal score~~rating = 1.0~~
~~Needs Improvement – reduction to overall rating = 0.5~~.

4.2 Relative Weights

Planning and Engineering Assignments

As each project is unique, the importance of any of the appraisal sub-sections will vary from one assignment to another. Consequently, it is necessary for the ministry's Project Manager to determine and assign weights to the sub-sections of Section 1.0, Project Management and Section 2.0, Quality of Deliverables, specific to an assignment. For example, various sub-sections of Section 1.0, Project Management may carry different degrees of importance and consequently the weights must be distributed accordingly by the ministry staff. The same applies to Section 2.0, Quality of Deliverables. Assigned weights are to be integers between zero and 99 inclusive (no decimal values). For subsections not applicable to an assignment, a weight of zero (0) is to be used. It is desirable to set up the total weight for each Section to be 100. The Performance Appraisal will use the total weight assigned for the Section to estimate the weighted average for the Section.

For each sub-section in an appraisal, the Rating is determined by multiplying the weight with the activity sub-section Rating. For each section, an overall weighted average is calculated. These calculations are built into the appraisal form.

Sub-section 2.1, Quality Control Plan, and sub-section 2.2, Quality of Specialty Deliverables, require special attention. These two sub-sections focus on the quality of work for all deliverables provided by a Service Provider and any Sub-Contractors. For these sub-sections, the Project Manager must utilize the sub-weights for each specialty identified at the beginning of an assignment.

On the Supplementary Sheet for sub-section 2.1, the weights may vary from assignment to assignment (typically may be 25% each), ~~equal sub-weights have been assigned to the supplementary Quality Control Plan and milestone Quality Reports, 25 percent (25%) each, for each Specialty of the assignment~~. The overall weight for 2.1 is entered in the weight slot of sub-section 2.1. This weight was determined at the beginning of the assignment.

On the Supplementary Sheet for sub-section 2.2, the overall weight is entered in the weight slot of sub-section 2.2. This weight was determined at the beginning of the assignment.

Contract ~~struction~~ Administration Assignments

It is the responsibility of the ministry's Contract Services Administrator (CSA) / Area Manager, Construction~~Contracts Engineer (ACE)~~ to assign appropriate weights to each of the Categories as some Categories may carry different degrees of importance and the weights must be distributed accordingly. Assigned weights are to be integers between zero (0) and ninety-nine (99) inclusive (no decimal values). For any Categories not applicable to an assignment, a weight of zero (0) is to be used. It is desirable to set up the total weight for this Section to a total of 100. At the start of an assignment, the Service Provider is provided a blank appraisal form with the weights for the applicable Categories identified.

~~The weights for an Interim Appraisal may be adjusted based on the progress of work completed where an assessment of performance can be made. Appropriate interim weights are to be determined by the ministry's CSA/ACE. The adjusted weights may be discussed with the Service Provider prior to issuing an Interim Appraisal.~~

4.2.1 Interim Appraisals for Engineering Assignment

The weights for an Interim Appraisal may be adjusted based on the progress of work completed where an assessment of performance can be made. Appropriate interim weights are to be determined by the ministry's Agreement Administrator. The adjusted weights may be discussed with the Service Provider prior to issuing the Interim Appraisal.

The ~~o~~Overall ~~p~~Performance ~~a~~Appraisal ~~r~~Rating is a weighted average of Section 1.0 and 2.0, ~~typically 50 percent (50%) each Sections 1.0 and Section 2.0~~ The weights may vary from assignment to assignment (typically this weighting may be 50% each for Sections 1.0 and 2.0).. Both these Sections must have adjusted weights for an interim appraisal.

For example, if a sub-section is assigned an overall weight of twenty (20) and has a 25 percent (25%) progress of work at the time of issuing the appraisal, an adjusted

weighting of five (5) may be applied. If a sub-section does not have any progress of work or measurable performance, an adjusted weighting of zero (0) may be applied.

The weights for Supplementary Sheets in Section 2.2.1 and 2.2.2 must also be adjusted based on progress of work.

5.0 Performance Appraisal Approval

The ministry's Agreement Administrator is responsible to complete a Performance Appraisal. The Performance Appraisal is discussed with the Functional Head. The appraisal is signed by both the ministry's Agreement Administration and the Functional Head. The signed performance appraisal form is forwarded to the Regional RAQS coordinator and the appraisal is issued to the Service Provider~~. All Performance Appraisals issued after April 1, 2007 are transferred to the Service Provider~~ electronically through RAQS.
~~The steps are outlined in the following ministry document:~~

~~"Automated Transfer/Approval of Appraisals and Formal Appraisal Review/Appeal – Instructions to Ministry Staff, April 2007" available on the MTO Technical Publications Sharepoint Site.~~

The Service Provider has up to twenty-one (21) calendar days from the date the Appraisal was issued to respond to the Performance Appraisal received. The Service Provider must approve the Appraisal electronically in RAQS and it will become effective on the date of the approval. If the Service Provider does not respond within the specified deadline, the appraisal will be approved with an effective date of the deadline specified.

Within the originally specified deadline, the Service Provider may discuss the Performance Appraisal with the ministry's Agreement Administrator. The process allows the ministry's Agreement Administrator to modify an Appraisal, with the approval of their manager, within the originally specified deadline in view of any discussions held with the Service Provider.

Within the originally specified deadline, the Service Provider may request a Formal Appraisal Review if the Service Provider disputes the Performance Appraisal received or modified through discussion with the ministry's Agreement Administrator. The request for a Formal Appraisal Review should include the Service Provider's reasoning and justification along with any other related documentation as to how the Ratings provided in the individual activity areas of a performance appraisal form are not correctly reflective of the Service Provider's performance.

Only approved appraisals are used in calculating a Corporate Performance Rating (CPR). Subsequently issued Appraisals supersede any earlier appraisals for the same ~~an~~ assignment.

Further information on the Formal Appraisal Review process is available in the following ministry document:

"Engineering Services ~~Consultant~~ Performance and Selection System (ESPSS~~CPSS~~)., ~~Consultant Appraisal Review, Consultant Infraction Report, August 2007."~~ Available on the MTO Technical Publications ~~SharePoint~~ Site.

6.0 APPRAISAL EFFECTIVE DATES - Timely Appraisals

The effective date of an appraisal is one of the following:

- The date of sign off/approval when an appraisal is accepted and signed by the Service Provider, or
- Twenty-one (21) calendar days from the issue date of the appraisal or Appeal/Review Level-One decision, if the Service Provider decides not to respond back to the ministry, or
- The date determined by Qualification Committee after the Appeal/Review Level-2 is completed.

Where a Performance Appraisal is issued late by ministry staff, the following applies:

- If a Service Provider signs off to approve an appraisal, the Service Provider has the option of choosing the effective date of the appraisal to be either sixty (60) calendar days after the substantial completion of the assignment or the approval date of the Performance Appraisal when issued. The above option can be discussed during the twenty-one (21) calendar day period from the date of issue of an appraisal and is available prior to the signoff by the Service Provider.
- In the case where a Service Provider requests for a Formal Appraisal Review of a late appraisal, the above choice of effective dates is no longer available at the completion of Review. For an appraisal approved through a Formal Appraisal Review, the effective date is determined by the Regional Manager or Qualification Committee.
- By a mutual agreement between the Service Provider and the ministry staff, the cancellation of an appraisal may occur due to ~~ministry staff changes, or other~~ acceptable reasons. A mutual agreement for the cancellation of an appraisal is

signed by the Service Provider signatory to the Legal Agreement and the Regional / Office Manager.

The effective date of an appraisal already signed off and approved in RAQS cannot be changed.

7.0 Applying Appraisal Rating in CPR

- The approved appraisals are applied in the quarterly calculations performed on January 1, April 1, July 1 and October 1 of each year. The appraisals approved between these dates wait for the next calculation date to be applied in the CPR calculations.

- A Service Provider can have more than one CPR depending on the type of work they have completed and appraised for. CPR types include Engineering, Planning, Construction Administration, Small Value Assignment, Engineering Materials Testing and combinations of these types. For example, an engineering assignment appraisal will result in an “Engineering” CPR. ~~This CPR will be used during the selection of future engineering assignments.~~

Appendix A

~~*Planning and*~~ *Engineering Services Specialty Deliverables*

Category / Specialty Deliverables

The samples of typical Deliverables for various Categories / Specialties are listed below. These may be used as applicable under 2.2Tab Deliverables Supplement ~~Supplement Sheet~~in Streamlined Engineering appraisal form for evaluating the performance ratings for the individual Specialties in an assignment. Not all the Specialty Deliverables are listed at this time and may be added / modified at a later date. It is recognised that depending on the scope of an assignment, the ~~Specialty~~ Deliverables Supplement may vary from assignment to assignment. It is the responsibility of the ministry's Project Manager to determine the appropriate Specialty Deliverables for an assignment and list them with the corresponding weights in a performance appraisal form.

Advanced Traffic Management System

a) Clear understanding of project requirements
b) Knowledge of ministry's policy, directives, and procedures
c) Data collection (staging, schedules, existing information, etc.)
d) Problem/Field investigation
e) Alternatives proposed/developed
f) Cost effectiveness of alternatives
g) Accuracy and completeness of milestone deliverables
h) Accuracy and completeness of final deliverables
i) Alternative recommended
j) Incorporation of specialty in contract package (drawings and specifications)
k) Coordination with stakeholders
l) Other specialty specific requirements
m) Connection Co-ordination with Utilities (Hydro, Telecom, etc.)
n) ATMS Layout Drawings
o) Communications Schematics
p) Wiring Diagrams
q) ATMS Special Provisions

Bridge Engineering

a) Knowledge and application of ministry's policy, directives, standards and procedures
b) Data collection
c) Problem investigation and resolution
d) Safety issues in design and consideration
e) Innovation in design and consideration
f) Aesthetic considerations and recommendations
g) Alternatives proposed and recommended
h) Cost effectiveness of alternatives and details
i) Accuracy, clarity and completeness of milestone deliverables
j) Accuracy, clarity and completeness of final deliverables
k) Incorporation of specialty in contract package (drawings and specifications)

l) Other specialty specific requirements

Drainage and Hydrology

a) Knowledge of ministry's policy, directives and procedures
b) Data collection
c) Problem investigation
d) Alternatives proposed
e) Accuracy and completeness of preliminary / interim report(s)
f) Cost effectiveness of alternatives
g) Alternative recommended
h) Accuracy and completeness of final report
i) Accuracy and completeness of Layout and details, clearances, quantities
j) Incorporation of specialty in contract package (drawings and specifications)
k) Other specialty specific requirements

Environmental

a) Knowledge of ministry's policy, directives and procedures
b) Data Collection methodology
c) Problem analysis methodology
d) Problem definition
e) Alternative analysis methodology
f) Accuracy and completeness of draft report component /representation material
g) Accuracy and completeness of final report component /representation material
h) Functional compatibility of specialty product with primary product

Archaeology Specific

a) Sufficient Detail in Stage 1 Research
b) Appropriate Methodology for Stage 2 Testing
c) Reasonable Interpretation and Recommendations for Stage 2 Results
d) Appropriate Stage 3 Methodology
e) Sufficient Stage 3 Report Detail
f) Appropriateness of Recommendations Re: Mitigation and/or Monitoring
g) Appropriate Stage 4 Methodology.
h) Stage 4 Report is complete with all analyses presented and clear summary of results, including consideration of broad archaeological issues.
i) Monitoring Activities

Natural Sciences Specific

a) Knowledge of Ministry Policies and Procedures.
b) Knowledge of Federal and Provincial environmental legislation.
c) Background data collection.
d) Field data collection.
e) Data analysis and scoping report.
f) Impact Assessment.
g) Recommendations for mitigation/compensation for identified impacts. h) Other.

Waste Management Specific

a) Project Management and Comprehensive Work Plan/Program
b) Cost Effectiveness of Program
c) Knowledge of MTO and MOE Policies, Directives, Technical Guidelines
d) Field Investigation and Data Collection
e) Analysis and Interpretation of Results
f) Specific Figures and Tables Applicable to Analysis
g) Final Recommendations and Conclusions
h) Accuracy and Completeness of Draft Report
i) Final Reporting and Deliverables Including MTO Comments
j) Recommended Alternatives and Other Requirements

Foundation Engineering

a) Clear understanding of the project requirements
b) Review of existing information, field work and lab testing
c) Subsurface model (borehole logs and foundation drawings)
d) Comparative evaluation of design alternatives (analysis, cost effectiveness, constructability and innovation)
e) Recommendations (cost effectiveness, red flagging concerns, construction specifications and NNSPs)
f) Accuracy, completeness and scheduling of foundation reports and other deliverables
g) Incorporation of design in contract package (drawings and specifications)
h) Demonstrated knowledge of MTO policies and procedures, effective communication and design liaison

Geotechnical / Pavement

a) Knowledge of ministry's policy, directives and procedures
b) Field investigation
c) Documentation of factual data
d) Alternatives developed
e) Cost effective recommendations

f) Accuracy and completeness of final deliverables
g) Other specialty specific requirements

Highway Engineering

a) Design Criteria
b) Field Review and Data Collection
c) Property Request
d) Culvert Inspection report
e) Knowledge and application of Ministry's policy, directives, standards and procedures related to highway engineering
f) Development of all feasible/reasonable options and assessments
g) Preliminary Design Report
h) Preliminary Construction Staging Plans (Concept Drawings)
i) Construction Staging Plans
j) Design Synopsis
k) HEIR Report
l) Utility Relocation Plan
m) Roadside Safety Plan/Design
n) Drainage Report or Storm Water Management Report
o) InRoads Design
p) Finalized Horizontal and Vertical Alignments
q) Tender Documents and Operations Constraints
r) Accuracy and completeness of milestone (30% and 60%) deliverables **Property**

a) Introduction and Basis of the Appraisal
b) Factual Information
c) Highest and Best Use
d) Identification of Applicable Approach(es) to value
e) Effect of the Requirement (of the partial acquisition)
f) Value Analysis
g) Reconciliation and Final Estimate of Value
h) Addenda
i) Format and Presentation
j) Legislation and Case Law (if applicable)

Surveys

Engineering Surveys Specific

a) Horizontal control Network – reconnaissance, network design, network sketches, field measurements, analysis and adjustment
b) Vertical Control Network – reconnaissance, network design, network sketches, field measurements, analysis and adjustment
c) Plan and Profile drawings (B Plans, C Plans), Digital Terrain Model – field survey data collection work, plan preparation, surface building
d) Existing condition centerline alignment – including spiral and circular curve data, chainage of highway and of intersecting roads.
e) Site Plans / Miscellaneous - such as drainage and bridge clearance surveys / bridge site
f) Other: MTO property lines – depiction of limits of MTO land requiring letter of confirmation by an Ontario Land Surveyor, field survey report and office processing report

Legal Surveys Specific

a) Survey Report - research, problems encountered, title search, evidence, miscellaneous issues
b) Closure Report - part & traverse closures
c) Plans – prints / drawing meet project requirements
d) AutoCAD drawings and Tiff files
e) Other

Control Surveys Specific

a) Reconnaissance
b) Network Design
c) Equipment and Field Observations
d) GPS Data Processing/Precise Leveling data processing
e) Analysis and Adjustment – Minimally Constrained
f) Analysis and Adjustment – Fully Constrained
g) Report/Deliverables
h) Other

Photogram metric Mapping Specific

Aerial photography
a) Flight Planning, Coverage
b) Leaf free, sharpness, overlap, scale, other
c) Labeling, ICAS reports, flight indices
d) Airborne GPS

DTM mapping deliverables a)
Air Triangulation
b) Processing of data (results of IESCAD routines)
c) Data collection and content (stereo check)

d) QA Data Checks
e) Ground Control

Orthomosaic deliverables
a) Presentation, coverage, registration

Electrical Engineering

a) Knowledge of ministry's policy, directives and procedures
b) Data collection (traffic, construction schedules, utility locates, etc)
c) Problem/Field investigation
d) Alternatives proposed/developed
e) Cost effectiveness of alternatives
f) Accuracy and completeness of milestone deliverables
g) Accuracy and completeness of final deliverables
h) Alternative recommended
i) Incorporation of specialty in contract package (drawings and specifications)
j) Coordination with stake holders

Other specialty specific requirements
a) Knowledge of CPS, HiCo & MTO IESCAD
b) Connection Co-ordination with Utilities (Hydro, Telecom, etc.)
c) Research and Development work
d) Instructional and Training work

~~**Advanced Traffic Management System**~~

~~a) Clear understanding of project requirements~~
~~a) Knowledge of ministry's policy, directives, and procedures~~
~~a) Data collection (staging, schedules, existing information, etc.)~~
~~a) Problem/Field investigation~~
~~a) Alternatives proposed/developed~~
~~a) Cost effectiveness of alternatives~~
~~a) Accuracy and completeness of milestone deliverables~~
~~a) Accuracy and completeness of final deliverables~~
~~a) Alternative recommended~~
~~a) Incorporation of specialty in contract package (drawings and specifications)~~
~~a) Coordination with stakeholders~~
~~a) Other specialty specific requirements~~
~~a) Connection Co-ordination with Utilities (Hydro, Telecom, etc.)~~
~~a) ATMS Layout Drawings~~

~~a) Communications Schematics~~
~~a) Wiring Diagrams~~
~~a) ATMS Special Provisions~~

Traffic Engineering

a) Data collection
b) Traffic forecasting
c) Analysis of alternatives
d) Alternative recommended
e) Traffic signals/PHM-125
f) Traffic counting stations
g) Signing plan

Appendix B

Detailed Performance Activity

Appraisal Definitions for Planning and Engineering Assignments

(refer to Streamlined Engineering Appraisal Excel Spreadsheet – Instructions & Summary tab~~December 2009 Version~~)