

CONTRACTOR SIGNIFICANT INCIDENT REPORT (CSIR) INSTRUCTIONS

Complete Sections Appropriate to Incident (Rev. 06/02).

NOTE: THE ATTACHED CSIR FORM IS TO BE USED BY CONTRACTORS TO RECORD THE RESULTS OF THEIR ACCIDENT/INCIDENTS INVESTIGATIONS AND SHALL BE PROVIDED TO THE CONTRACTING OFFICER WITHIN THE REQUIRED TIMEFRAMES.

GENERAL. Complete a separate report for each person who was injured in the accident. A report needs to be completed for all OSHA recordable accidents, property damage in excess of \$2000.00 (This amount is for record purposes only. GOV is not required to enter property damage reports into FAIR database if it is less than \$10,000.00.), WHE accidents, or near miss/high visibility mishaps. Please type or print legibly. Appropriate items shall be marked with an "X" in box(es), non-applicable sections shall be marked "N/A". If additional space is needed, provide the information on a separate sheet of paper and attach to the completed form.

Mark the report:

INITIAL - If this form is being used as initial notification of a Fatality or High Visibility Mishap. The initial form is due within 4 hours of a serious accident. A form marked 'Follow-up' or 'Final' is required within 5 days.

FOLLOW-UP - If you are providing additional information on a report previously submitted.

FINAL - If you are providing a completed report and expect no changes.

SECTION 1 - GENERAL INFORMATION

CONTRACTING ACTIVITY/ROICC OFFICE - Enter the name and address of the Contracting Office administering the contract under which the mishap took place (e.g. ROICC MCBH, ROICC NORFOLK, PWC GUAM, etc.).

ACCIDENT CLASSIFICATION - INJURY/ILLNESS/FATALITY/PROPERTY DAMAGE/PROCEDURAL ISSUES/ENVIRONMENTAL/LESSONS LEARNED/OTHER - Mark the appropriate block(s) if the incident resulted in any of these conditions.

INVOLVING - If the mishap involved any of the conditions listed under "Involving" mark the appropriate box(es). Specific questions associated with each of these conditions are available from the Contracting Officer to assist you in your investigation. When these questions are used they shall be attached as part of this report.

SECTION 2 - PERSONAL INFORMATION

NAME - Enter last name, first name, middle initial of person involved.

AGE - Enter age.

SEX - Enter M for Male and F for Female.

JOB TITLE/DESCRIPTION - Enter the job title/description assigned to the injured person (e.g. carpenter, laborer, surveyor, etc.).

EMPLOYED BY - Enter employment company name of the person involved.

SUPERVISOR'S NAME & TITLE - Enter name and title of the immediate supervisor.

WAS PERSON TRAINED TO PERFORM ACTIVITY/TASK? - For the purpose of this section "trained" means the person has been provided the necessary information (either formal and/or on-the-job (OJT) training) to competently perform the activity/task in a safe and healthful manner.

TYPE OF TRAINING - Indicate the specific type of training (classroom or on-the-job) that the injured person received before the accident happened.

DATE OF MOST RECENT FORMAL TRAINING/TOPICS DISCUSSED - Enter the month, day, and year of the last *formal* training completed that covered the activity/task being performed at the time of the accident. List topics that were discussed at the training identified above.

SECTION 3 - WITNESS INFORMATION

The following applies to Witness #1 and Witness #2:

WITNESS NAME - Enter last name, first name, middle initial of the witness.

JOB DESCRIPTION/TITLE - Enter the job title/description assigned to the witness (e.g. carpenter, laborer, surveyor, etc.).

EMPLOYED BY - Enter the name of the employment company of the witness.

SUPERVISOR'S NAME - Enter name of immediate supervisor of the witness.

ADDITIONAL WITNESSES - Provide same information, as above, for each witnesses. Use additional pages if necessary.

SECTION 4 - CONTRACTOR INFORMATION

TYPE OF CONTRACT - Mark appropriate box. A/E means architect/engineer. If "OTHER" is marked, specify type of contract on line provided.

CONTRACT NUMBER/TITLE - Enter complete contract number and title of prime contract (e.g. N62477-85-C-0100, 184 Pearl City Hsg. Revitalization).

CONSTRUCTION INDUSTRIAL GROUP AND INDUSTRIAL TYPE - This is the type of construction that will be done at this project.

1. First, you must choose the Industrial Group. You have 4 choices to choose from: (NOTE! Review of the Industrial Types below and knowing what the projects scope of work is will assist you in deciding what the Industrial Group should be.)

- a. Buildings
- b. Heavy Industrial
- c. Infrastructure
- d. Light Industrial

2. Once you have chosen the Industrial Group, you now select the Industrial Type. You have multiple choices under each Group, chose the one you feel fits the project most closely because on most projects there won't be an exact match:

- a. Buildings:
 - (1) Communications Ctr.
 - (2) Dormitory/Hotel
 - (3) High-rise Office
 - (4) Hospital
 - (5) Housing
 - (6) Laboratory
 - (7) Low-rise Office
 - (8) Maintenance Facility
 - (9) Parking Garage
 - (10) Physical Fitness Ctr.
 - (11) Restaurant/Nightclub
 - (12) School
 - (13) Warehouse
- b. Heavy Industrial:
 - (1) Chemical Mfg.
 - (2) Electrical (Generating)
 - (3) Environmental
 - (4) Metals Refining/Processing
 - (5) Mining
 - (6) Natural Gas Processing
 - (7) Oil Exploration/Production
 - (8) Oil Refining
 - (9) Pulp and Paper
- c. Infrastructure:
 - (1) Airport
 - (2) Electrical Distribution
 - (3) Flood Control
 - (4) Highway
 - (5) Marine Facilities
 - (6) Navigation
 - (7) Rail
 - (8) Tunneling
 - (9) Water/Wastewater
- d. Light Industrial:
 - (1) Automotive Assembly/Mfg.
 - (2) Consumer Products Mfg.
 - (3) Foods
 - (4) Microelectronics Mfg.
 - (5) Office Products Mfg.
 - (6) Pharmaceuticals Mfg.

CONTRACTOR'S NAME/ADDRESS/PHONE NUMBER

- (1) PRIME - Enter the exact name (title of firm), address, phone and fax numbers of the prime contractor.
- (2) SUBCONTRACTOR - Enter the exact name, address, phone and fax numbers of any subcontractor involved in the accident.

SAFETY MANAGER'S NAME

- (1) PRIME - Enter the name of the prime contractor safety manager.
- (2) SUBCONTRACTOR - Enter the name of the subcontractors safety manager.

INSURANCE CARRIER

- (1) PRIME - Enter the exact name/title of the prime's insurance company. Policy number not required.
- (2) SUBCONTRACTOR - Enter the exact name of the subcontractor's insurance company. Policy number not required.

SECTION 5 - ACCIDENT DESCRIPTION

DATE OF ACCIDENT - Enter the month, day, and year of accident.

TIME OF ACCIDENT - Enter the local time of accident in military time. Example: 14:30 hrs (not 2:30 p.m.).

EXACT LOCATION OF ACCIDENT - Enter facts needed to locate the accident scene (installation/project name, building/room number, street, direction and distance from closest landmark, etc.).

DESCRIBE THE ACCIDENT IN DETAIL. Fully describe the accident in the space provided. If property damage involved, give estimated dollar amount of damage and/or repair costs involved. If additional space is needed continue on a separate sheet and attach to this report. Give the sequence of events that describe what happened leading up to and including the accident. Fully identify personnel and equipment involved and their role(s) in the accident. Ensure that relationships between personnel and

equipment are clearly specified. Ensure questions below regarding direct cause(s), indirect cause(s), and actions taken are answered. **NOTE!** Review questions in Section 7 below before completing.
DIRECT CAUSE(S) - The direct cause is that single factor which most directly lead to the accident. See examples below.
INDIRECT CAUSE(S) - Indirect cause are those factors, which contributed to, but did not directly initiate the occurrence of the accident.

Examples for Direct and Indirect Cause:

- Employee was dismantling scaffold and fell 12 feet from unguarded opening.
Direct cause: Failure to provide fall protection at elevation
Indirect causes: Failure to enforce safety requirements; improper training/motivation of employee (possibility that employee was not knowledgeable of fall protection requirements or was lax in his attitude toward safety); failure to ensure provision of positive fall protection whenever elevated; failure to address fall protection during scaffold dismantling in phase hazard analysis.
- Private citizen had stopped his vehicle at intersection for red light when vehicle was struck in rear by contractor vehicle. (note contractor vehicles was in proper safe working condition.)
Direct cause: Failure of contractor driver to maintain control of and stop contractor vehicle within safe distance.
Indirect cause: Failure of employee to pay attention to driving (defensive driving).

ACTION(S) TAKEN TO PREVENT RE-OCCURRENCE OR PROVIDE ON-GOING CORRECTIVE ACTIONS. Fully describe all the actions taken, anticipated, and recommended to eliminate the cause(s) and prevent reoccurrence of similar accidents/illnesses. Continue on back or additional sheets of paper if necessary to fully explain and attach to the complete report form.

CORRECTIVE ACTION DATES

- Beginning - Enter the date when the corrective action(s) identified above will begin.
- Anticipated Completion - Enter the date when the corrective action(s) identified above will be completed.

PERSONAL PROTECTIVE EQUIPMENT (PPE) - Mark appropriate box(es) and list PPE which was being used by the injured person at the time of the accident (e.g. protective clothing, shoes, glasses, goggles, respirator, safety belt, harness, etc.)
TYPE OF CONTRACTOR EQUIPMENT - Enter the Serial Number, Model Number and specific type of equipment involved in the mishap (e.g. dump truck (off highway), crane (rubber tire), pump truck (concrete), etc.)
WAS HAZARDOUS MATERIAL SPILLED/RELEASED? - Mark appropriate block and list name(s) of any reportable quantities of hazardous materials spilled/released during the mishap.
WHO PROVIDED FIRST AID OR CLEAN-UP OF MISHAP SITE? - List name(s) of individual(s) and employer, if known.
ANY BLOOD-BORNE PATHOGEN EXPOSURE, OTHER THAN EMT? - Mark appropriate block and list name(s) of individual(s) and employer, if known.
LIST OSHA AND/OR EM 385-1-1 STANDARDS THAT WERE VIOLATED. - Self explanatory.
WAS SITE SECURED AND WITNESS STATEMENT TAKEN IMMEDIATELY? - Mark appropriate block and list by whom.

SECTION 6 - INJURY/ILLNESS/FATALITY INFORMATION

SEVERITY OF INJURY/ILLNESS - Mark appropriate box.
ESTIMATED DAYS LOST - Enter the estimated number of workdays the person will lose from work. Update when final data is known.
ESTIMATED DAYS HOSPITALIZED - Enter the estimated number of workdays the person will be hospitalized. Update when final data is known.
ESTIMATED DAYS RESTRICTED DUTY - Enter the estimated number of workdays the person, as a result of the accident, will not be able to perform all of their regular duties. Update when final data is known.
BODY PART(S) AFFECTED - Enter the most appropriate primary and when applicable, secondary, etc. body part(s) affected (e.g. arm; wrist; abdomen; single eye; jaw; both elbows; second finger; great toe; collar bone; kidney, etc.).
NATURE OF INJURY/ILLNESS FOR PRIMARY BODY PART - Enter the most appropriate nature of injury/illness (e.g. amputation, back strain, dislocation, laceration, strain, asbestosis, food poisoning, heart conditions, etc.).
TYPE AND SOURCE OF INJURY/ILLNESS - Type and Source Codes are used to describe what caused the incident.
(1) TYPE Code stands for an "Action" (Example: Worker, installing conduit, lost his balance and fell five feet from a ladder. Type Code: Fell different levels".) Select the most appropriate Type of Injury from the list below.

TYPE OF INJURY/ILLNESS

STRUCK BY/AGAINST	CONTACTED CONTACTED WITH (INJURED PERSON MOVING) CONTACTED BY (OBJECT WAS MOVING)
FELL, SLIPPED, TRIPPED SAME LEVEL/DIFFERENT LEVEL/NO FALL	EXERTED LIFTED, STRAINED BY (SINGLE ACTION) STRESSED BY (REPEATED ACTION)
CAUGHT ON/IN/BETWEEN	EXPOSED INHALED/INGESTED/ABSORBED/EXPOSED TO
PUNCTURED, LACERATED PUNCTURED BY/CUT BY/STUNG BY/BITTEN BY	TRAVELING IN

(2) SOURCE Code stands for an "object or substance." (Example: Worker, installing conduit, lost his balance and fell five feet from a ladder. Source Code: "Ladder".) Select the most appropriate Source of Injury from the list below:

SOURCE OF INJURY/ILLNESS

BUILDING OR WORKING AREA WALKING/WORKING AREA STAIRS/STEPS LADDER FURNITURE BOILER/PRESSURE VESSEL EQUIPMENT LAYOUT WINDOWS/DOORS ELECTRICITY	DUST, VAPOR, ETC. DUST (SILICA, COAT, ETC.) FIBERS ASBESTOS GASES CARBON MONOXIDE MIST, STEAM, VAPOR, FUME WELDING FUMES PARTICLES (UNIDENTIFIED)
ENVIRONMENT CONDITION TEMPERATURE EXTREME (INDOOR) WEATHER (ICE, RAIN, HEAT, ETC.) FIRE, FLAME, SMOTE (NOT TABACCO) NOISE RADIATION LIGHT VENTILATION TOBACCO SMOKE STRESS (EMOTIONAL) CONFINED SPACE	CHEMICAL, PLASTIC, ETC. DRY CHEMICAL - CORROSIVE DRY CHEMICAL - TOXIC DRY CHEMICAL - EXPLOSIVE DRY CHEMICAL - FLAMMABLE LIQUID CHEMICAL - CORROSIVE LIQUID CHEMICAL - TOXIC LIQUID CHEMICAL - EXPLOSIVE LIQUID CHEMICAL - FLAMMABLE PLASTIC WATER MEDICINE
MACHINE OR TOOL HAND TOOL (POWERED: SAW, GRINDER, ETC.) HAND TOOL (NON POWERED) MECHANICAL POWER TRANSMISSION APPARATUS GUARD, SHIELD (FIXED, MOVEABLE, INTERLOCK) VIDEO DISPLAY TERMINAL PUMP, COMPRESSOR, AIR PRESSURE TOOL HEATING EQUIPMENT WELDING EQUIPMENT	INANIMATE OBJECT BOX, BARREL, ETC. PAPER METAL ITEM, MINERAL NEEDLE GLASS SCRAP, TRASH, WOOD FOOD CLOTHING, APPAREL, SHOES
MACHINE OR TOOL HAND TOOL (POWERED: SAW, GRINDER, ETC.) HAND TOOL (NON POWERED) MECHANICAL POWER TRANSMISSION APPARATUS GUARD, SHIELD (FIXED, MOVEABLE, INTERLOCK) VIDEO DISPLAY TERMINAL PUMP, COMPRESSOR, AIR PRESSURE TOOL HEATING EQUIPMENT WELDING EQUIPMENT	INANIMATE OBJECT BOX, BARREL, ETC. PAPER METAL ITEM, MINERAL NEEDLE GLASS SCRAP, TRASH, WOOD FOOD CLOTHING, APPAREL, SHOES
VEHICLE AS DRIVER OF PRIVATELY OWNED, RENTAL VEH. AS PASSENGER OF PRIVATELY OWNED, RENTAL VEH. DRIVER OF GOVERNMENT VEHICLE PASSENGER OF GOVERNMENT VEHICLE COMMON CARRIER (AIRLINE, BUS, ETC.) AIRCRAFT (NOT COMMERCIAL) BOAT, SHIP, BARGE	ANIMATE OBJECT DOG OTHER ANIMAL PLANT INSECT HUMAN (VIOLENCE) HUMAN (COMMUNICABLE DISEASE) BACTERIA, VIRUS (NOT HUMAN CONTACT)
MATERIAL HANDLING EQUIPMENT EARTHMOVER (TRACTOR, BACKHOE, ETC.) CONVEYOR (FOR MATERIAL AND EQUIPMENT) ELEVATOR, ESCALATOR, PERSONNEL HOIST HOIST, SLING CHAIN, JACK CRANE FORKLIFT HANDTRUCK, DOLLY	PERSONAL PROTECTIVE EQUIPMENT PROTECTIVE CLOTHING, SHOES, GLASSES, GOGGLES RESPIRATOR, MASK DIVING EQUIPMENT SAFETY BELT, HARNESS PARACHUTE

SECTION 7 - CAUSAL FACTORS

Review thoroughly. Answer each question by marking the appropriate block. NOTE! If any answer is yes, explain in section 5 above.

(1) DESIGN - Did inadequacies associated with the building or work site play a role? Would an improved design or layout of the equipment or facilities reduce the likelihood of similar accidents? Were the tools or other equipment designed and intended for the task at hand?

- (2) **INSPECTION/MAINTENANCE** - Did inadequately or improperly maintained equipment, tools, workplace, etc., create or worsen any hazards that contributed to the accident? Would better equipment, facility, work site or work activity inspections have helped avoid the accident?
- (3) **PERSONS PHYSICAL CONDITION** - Do you feel that the accident would probably not have occurred if the employee was in "good" physical condition? If the person involved in the accident had been in better physical condition, would the accident have been less severe or avoided altogether? Was overexertion a factor?
- (4) **OPERATION PROCEDURES** - Did lack of or inadequacy within established operating procedures contribute to the accident? Did any aspect of the procedures introduce any hazard to, or increase the risk associated with the work process? Would establishment or improvement of operating procedures reduce the likelihood of similar accidents?
- (5) **JOB PRACTICES** - Were any of the provision of the Safety and Health Requirements Manual (EM 385-1-1) violated? Was the task being accomplished in a manner which was not in compliance with an established job hazard analysis or activity hazard analysis? Did any established job practice (including EM 385-1-1) fail to adequately address the task or work process? Would better job practices improve the safety of the task?
- (6) **HUMAN FACTORS** - Was the person under undue stress (either internal or external to the job)? Did the task tend toward overloading the capabilities of the person: i.e., did the job require tracking and reacting to many external inputs such as displays, alarms, or signals? Did the arrangement of the workplace tend to interfere with efficient task performance? Did the task require reach strengths, endurance, agility, etc., at or beyond the capabilities of the employee? Was the work environment ill-adapted to the person? Did the person need more training, experience, or practice in doing the task? Was the person inadequately rested to perform safely?
- (7) **ENVIRONMENTAL FACTORS** - Did any factors such as moisture, humidity, rain, snow, sleet, hail, fog, cold, heat, sun temperature changes, wind, tides, floods, currents, terrain; dust, mud, glare, pressure changes, lighting, etc., play a part in the accident?
- (8) **CHEMICAL AND PHYSICAL AGENT FACTORS** - Did exposure to chemical agents (either single shift exposure or long-term exposure such as dusts, fibers, asbestos, etc.), silica, gases (carbon monoxide, chlorine, etc.), mists, steam, vapors, fumes, smoke, other particulates, liquid or dry chemicals that are corrosive, toxic, explosive or flammable, by-products of combustion or physical agents such as noise, ionizing radiation, non-ionizing radiation (UV radiation created during welding, etc.) contribute to the accident/incident?
- (9) **OFFICE FACTORS** - Did the fact that the accident occurred in an office setting or to an office worker have a bearing on its cause? For example, office workers tend to have less experience and training in performing tasks such as lifting office furniture. Did physical hazards within the office environment contribute to the hazard?
- (10) **SUPPORT FACTORS** - Was the person using an improper tool for the job? Was inadequate time available or utilized to safely accomplish the task? Were less than adequate personnel resources (in terms of employee skills, number of workers, and adequate supervision) available to get the job done properly? Was funding available, utilized and adequate to provide proper tools, equipment, personnel, site preparation, etc.
- (11) **PERSONAL PROTECTIVE EQUIPMENT** - Did the person fail to use appropriate personal protective equipment (gloves, eye protection, hard-toed shoes, respirator, etc) for the task or environment? Did protective equipment provided or worn fail to provide adequate protection from the hazard(s)? Did lack of or inadequate maintenance of protective gear contribute to the accident?
- (12) **DRUGS/ALCOHOL** - Is there any reason to believe the person's mental or physical capabilities, judgment, etc., were impaired or altered by the use of drugs or alcohol? Consider the effects of prescription medicine and over the counter medications as well as illicit drug use. Consider the effect of drug or alcohol induced "hangovers".
- (13) **JOB/ACTIVITY HAZARD ANALYSIS** - Was a written Job/Activity Analysis completed for the task being performed at the time of the accident? If one was made, did it address the hazard adequately or does it need to be updated? If none made, will one be made? These may also need to be addressed in the Corrective Actions Taken section. Mark the appropriate box. If one was made, attach a copy of the analysis to the report.
- (14) **MANAGEMENT** - Did the lack of supervisor or management support play a part in the mishap? Mark the appropriate box.

SECTION - 8 OSHA INFORMATION - Complete this section if applicable

SECTION 9 - REPORT PREPARER

Providing a completed CSIR to the Contracting Officer is the PRIME CONTRACTOR'S RESPONSIBILITY. Enter the name, date of report, title, employer, phone number and signature of person completing the accident report and provide it to the Contracting Officer, or his representative, responsible for oversight of that contractor activity. **NOTE!** If prepared by other than the Prime Contractor, a person employed by the Prime Contractor must sign that they have reviewed and concur with the report and it's findings (e.g. company owner, project supervisor/foreman, Safety Officer, etc.).

ATTACHMENT J-0200000-06
GOVERNMENT-FURNISHED PROPERTY, MATERIALS, AND SERVICES

T&P Laydown Area Located on Piney Green Road



ATTACHMENT J-0200000-07
DENIAL OF CONTRACTOR ID CARD ISSUANCE

UNITED STATES MARINE CORPS
MARINE CORPS INSTALLATION-EAST, MARINE CORPS BASE
PSC BOX 20004
CAMP LEJEUNE, NC 28542-0004

IN REPLY REFER TO:
1320
PMO

From: Commanding General, Marine Corps Base, Camp Lejeune

Subj: DENIAL OF CONTRACTOR ID CARD ISSUANCE

Ref: (a) MARADMIN 533/08
(b) BO 5512.1C W/Ch 1,2&3

1. After reviewing your background check, this office is not able to issue you an ID card based on the reason indicated below.

Installation access shall be denied if it is determined that an employee:

- a. Is listed on the National Terrorist Watch List.
- b. Is not a U.S. Citizen and is illegally present in the U.S. or whose U.S. citizenship, immigration status or Social Security Number cannot be verified.
- c. Is subject to an outstanding criminal warrant of any type.
- d. Has knowingly submitted false or fraudulent information.
- e. Has been issued a debarment order and is currently banned from any military installations. (PNG)
- f. Is on a prisoner work-release program or currently on parole.
- g. Is a registered sex offender regardless of date of the criminal offense.
- h. Has been convicted of a drug crime within the past five years.
- i. Has obtained a conviction for the following types of criminal offenses within the last five years:
 - 1) Offenses of a sexual nature
 - 2) Offenses of violence
 - 3) Offenses related to gang activity, supremacist or extremist behavior
 - 4) Offenses in which weapon instrumentality was used either as a means of violence or a threat of violence
 - 5) Offenses where offender is pending a trial
- j. Has received a DUI/DWI in the last year. This applies only to Delivery drivers, all others may be allowed access to the installation, but will not be permitted to drive on the installation

Has had driving privileges revoked aboard any installation. This applies only

ATTACHMENT J-0200000-07
DENIAL OF CONTRACTOR ID CARD ISSUANCE

Subj: DENIAL OF CONTRACTOR ID CARD ISSUANCE

- k. to delivery drivers, all others may be allowed access to the installation, but will not be permitted to drive on the installation.
 - l. Has had military active duty terminated by receipt of a dishonorable discharge or bad conduct discharge.
 - m. Has exhibited characteristics, traits or other indications that cause concern for the health, safety or welfare of personnel and/or residents aboard the base; or that cause concern for the physical security or environment of the base (this can be an incident that has occurred at any time in the past and will need to be reviewed by the Officer in the building).
 - n. Any reason the Installation Commander deems reasonable for good order and discipline.
2. Appeal Process. All appeals should be directed to Base Inspector's Office, Bldg 27 for any individual that has been denied access to the base.

Please refer any questions or comments to the supervisor of the Contractor ID Office, **Mr. Pierre Middlebrooks at 450-5976**.

By direction of
Commander, MCIEAST-MCB



ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

UNITED STATES MARINE CORPS
MARINE CORPS INSTALLATIONS EA. ST-HARINE CORPS BASE
PSC BOX 20005
CAMP LEJEUNE, NC 28542-0005

5500
PMO

PROVOST MARSHAL SPECIAL ORDER 48-13

From: Provost Marshal, Marine Corps Installations East-Marine
Corps Base, Camp Lejeune

To: Distribution

Subj: VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

Ref: (a) BO 5512.1C
(b) BO 5560.2N
(c) MARADMIN 533/08

Encl: (1) Sample Delivery Letter
(2) Sample Business Letter

1. Situation. To promulgate policies and procedures in accordance with references (a) through (c), for the operation of the Visitor's Center and Contractor Identification (ID) Office, regarding visitor and contractor vetting for Marine Corps Installations East-Marine Corps Base, Camp Lejeune (MCIEAST-MCB CAMLEJ) and Marine Corps Air Station, New River (MCAS New River).

2. Mission. To operate, policies must be in place to guide all Visitor and Contractor ID Office clerks in order to ensure that the daily operations of the offices are conducted fairly, clearly and without question. Uniformity is imperative to earning and keeping the trust and confidence of the individuals who live and work aboard MCIEAST-MCB CAMLEJ and MCAS New River and tenant commands.

3. Execution

a. Provost Marshal's Intent. The purpose of this Order is to establish an effective and efficient access control policy. The Commanding General (CG) MCIEAST-MCB CAMLEJ and Commanding Officer (CO), MCAS New River must ensure all personnel who are granted access to the Installations are properly identified and vetted prior to gaining access.

ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

Subj: PROVOST MARSHAL SPECIAL ORDER FOR ACCESS CONTROL FOR THE VISITOR'S CENTER AND CONTRACTOR IDENTIFICATION OFFICE FOR CONTRACTOR VETTING

b. Concept of Operations. Per references (a) through (c), all individuals who access MCIEAST-MCB CAMLEJ, MCAS New River,, and tenant commands are subject to installation access control measures, including identity proofing, vetting, vehicular searches, personnel searches, and internal security regulations.

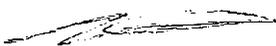
c. Tasks. The Provost Marshal Office's (PMO) will establish entry control point (gate) procedures to prevent unauthorized entry/access by personnel and vehicles and enforce all applicable internal security regulations consistent with this Order.

4. Administration and Logistics. This Special Order is applicable to all personnel assigned to the Visitor's Center and Contractor ID Office. Failure to follow the procedures set forth herein may subject a violator to administrative and/or disciplinary proceedings in appropriate cases.

5. Command and Signal

a. Command. This Order is applicable to MCIEAST-MCB CAMLEJ and MCAS New River.

b. Signal. This Order is effective immediately.



R. E. CATO II

DISTRIBUTION: A

ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

Chapter 1

PROCESSING BACKGROUND CHECKS

1. Responsibility. References (a) through (c), and this Order require that contractors provide a letter from the CG, MCIEAST-MCB CAMLEJ and CO, MCAS New River Contracting Office with contract number, name of employees, and two forms of ID that contain a photo. Valid forms of ID include but are not limited to; Military dependent ID card, Military retiree ID card, ID card issued by Federal, State or Local Government Agencies, and/or passport, proof of United States Citizenship or work visa. Only original documents can be accepted, facsimiles, emails, and/or copies cannot be accepted for any missing documents.

2. The Visitor's Center or Contractor ID Office will conduct a nationwide background check. The individual's full name, and date of birth, will be verified using a valid form of identification. If any of the following offenses and/or disposition are listed on the background check, access shall not be granted to the Installations.

- a. On national terrorist watch list.
- b. Not a legal U.S. Citizen.
- c. On a prisoner work-release program or currently on parole.
- d. A registered sex offender.
- e. Have been convicted of a felony or drug crime within the past five years.

3. ID checks through the Consolidated Law Enforcement Operations Center (CLEOC) and Criminal Justice Law Enforcement Automated Data Service (CJLEADS) will also be conducted. If any information listed below appears, access to the Installation will be denied.

- a. Outstanding criminal warrant(s) of any type.
- b. Pending a felony charge(s).
- c. Individual whose military active duty has terminated by the receipt of a dishonorable discharge or bad conduct discharge.

ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

d. Debarment order stating individual is currently banned from any military installation.

e. Individual who has received a Driving Under the Influence (DUI)/Driving While Intoxicated (DWI) within the last 12 months; individual may be allowed to access the Installation but will not be permitted to drive on the Installation.

f. Current revocation of driving privileges aboard any military installation; individual shall not be allowed access to the Installation or be permitted to drive aboard the Installation.

4. If the individual is not in CLEOC, they must be entered into the system whether or not they plan to receive a DoD decal.

5. If there are no derogatory entries on the individual's record and all paperwork is received; they will be issued a contractor's identification card. This identification card will be issued for a maximum of one year or the complete length of contract, whichever is less. The individual must possess the card at all times. Upon completion or termination, the employee or employer must turn in the card to the Contractor's ID Office. If the employer is unable to obtain a card, the Contracting Office must be notified.

6. If for any reason access is denied, Visitor Center and/or Contractor ID Office personnel will verbally explain the appeal process. An appeal can be submitted to the Assistant Chief of Staff, Security and Emergency Services Office, MCIEAST-MCB CAMLEJ, Building 58. They may also complete the appeal online at the following website: <http://www.mcieast.marines.mil/StaffOffices/CommandInspectorGeneral/Appeals.aspx>.

ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

Chapter 3

PROCESSING AND COMPLETION OF BUSINESS LETTER

1. Prioto reporting to the Contractor ID Office, the individual must make an appointment with the office due to the length of the process. The same steps that are outlined in Chapter 1 of this Order will be followed during processing and completion of business letters per enclosure (2). Additionally, the owner will provide the below listed paperwork:

a. Health Code Rating (only required for restaurants). If the restaurant is already established aboard the Installation (i.e. Domino's, Burger King, Wendy's, and/or Michelangelo's) no Health Code Rating is necessary.

b. If the establishment is not a restaurant, they must provide proof of insurance for that business.

c. A copy of the individual's drivers license, social security card, and other required paperwork that is copied will be stored in the facility in an approved locked cabinet per applicable orders and directives.

d. The contractor must keep the letter and the card they are issued on their person at all times. The card and letter will be issued for a maximum of one-year or for the duration of contract, whichever is less. Upon completion or termination, the employee or employer must turn in the card to the Contractor's ID Office.

ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

l. Temporary passes, must be stamped with the expiration date of the pass and the Vehicle Registration (VEH REGS) stamp.

m. Upon contract completion or termination of the contract, decals shall be removed from the vehicle. The employer must notify the Contractor ID Office of early termination. ID card and/or decal must be returned, failure to return these items are a direct violation of references (a) through (c), and the individual can be legally processed for withholding government property.

ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

SAMPLE DELIVERY LETTER



UNITED STATES MARINE CORPS
MARINE CORPS INSTALLATIONS EAST-MARINE CORPS BASE
PSC BOX 20005
CAMP LEJEUNE, NC 28542-0005

5000
ADJ
DD MMM YY

From: Commanding General, Marine Corps Installations East-
Marine Corps Base, Camp Lejeune
To: Mr/Ms. *First MI Last, Insert Street, City, North Carolina*
00000

Subj: AUTHORIZATION TO DELIVER SUBSISTENCE ABOARD MARINE CORPS
INSTALLATIONS EAST-MARINE CORPS BASE CAMP LEJEUNE OR
MARINE CORPS AIR STATION NEW RIVER FOR *RESTAURANT/DELIVERY*
SERVICE NAME, LOCATION OF RESTAURANT, JACKSONVILLE, NORTH
CAROLINA

Ref: (a) BO 5370.4H
(b) BO 10110.2F

1. Per references (a) and (b), you are authorized to conduct business aboard Marine Corps Installations East-Marine Corps Base Camp Lejeune (MCIEAST-MCB CAMLEJ) and Marine Corps Air Station New River (MCAS, New River) as a representative subject named establishment, providing you continue to meet the requirements.
2. You certify that you have a valid driver's license and that you are not under suspension or revocation by MCIEAST-MCB CAMLEJ or any state.
3. You will be required to present your driver's license with this authorization upon request. This authorization will be carried at all times while delivering subsistence aboard this Installation.
4. You are required to display this authorization at Building 818 (Visitor's Center) in order to obtain a visitor's pass on each delivery and at any other time as may be necessary. In addition, you are required to provide proof of food orders received and delivery destination to any authority upon request, and also no deliveries will be made to unaccompanied personnel housing (barracks) between the hours of 0001 to 0700.

ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

SAMPLE BUSINESS LETTER



UNITED STATES MARINE CORPS
MARINE CORPS INSTALLATIONS EAST-MARINE CORPS BASE
PSC BOX 20005
CAMP LEJEUNE, NC 28542-0005

5000
ADJ
DD MMM YY

From: Commanding General, Marine Corps Installations East-
Marine Corps Base, Camp Lejeune
To: Mr/Ms. *First MI Last, Insert Street, City, North Carolina*
00000

Subj: AUTHORIZATION TO CONDUCT BUSINESS ABOARD MARINE CORPS
INSTALLATIONS EAST-MARINE CORPS BASE CAMP LEJEUNE OR
MARINE CORPS AIR STATION NEW RIVER E'OR *RESTAURANT/DELIVERY*
SERVICE NAME, LOCATION OF RESTAURANT, JACKSONVILLE, NORTH
CAROLINA

Ref: (a) BO 5370.4H
(b) BO 10110.2F

1. Per references (a) and (b), you are authorized to conduct business aboard Marine Corps Installations East-Marine Corps Base Camp Lejeune (MCIEAST-MCB CAMLEJ)OR Marine Corps Air Station, New River (MCAS, New River) as a representative of subject named establishment, provided you continue to meet the requirements. You are not permitted to visit government quarters and rental housing except by request and appointment. Rental housing includes Midway Park, Tarawa Terrace, and Knox Trailer Park. Personnel soliciting, which includes house-to-house, individual-to-individual and organization-to-organization, either in person or by telephone, anywhere on this Installation, is prohibited. The only authorized,method of solicitation is conducted through the United States Postal Service. If an individual replies to such a communication, it then becomes a personal matter and a private transaction.

a. Each time you desire to transact business, you will first obtain clearance from t.he Area Commander concerned. You are not permitted to enter any storeroom, squad room, troop barracks, or sleeping quarters except when it is designated as a place of meeting by the appropriate Area Commander or immediate Commanding Officer of the individual being contacted.

Enclosure (2)

ATTACHMENT J-0200000-08
VISITOR CENTER AND CONTRACTOR VETTING ACCESS CONTROL

Subj: AUTHORIZATION TO CONDUCT BUSINESS ABOARD MARINE CORPS
INSTALLATIONS EAST-MARINE CORPS BASE CAMP LEJEUNE AND
MARINE CORPS AIR STATION NEW RIVER FOR **RESTAURANT/
DELIVERY SERVICE NAME, LOCATION OF RESTAURANT,**
JACKSONVILLE, NORTH CAROLINA

CERTIFICATION:

My signature below denotes my receipt of the authorization and indicates my having read and understand the orders and regulations governing solicitation and delivery of subsistence aboard MCIEAST-MCB CAMLEJ.

Permit #0000

Validated by: Enter initials

Representative's Signature

ATTACHMENT J-0200000-10
EXHIBIT LINE ITEM NUMBERS
SOLICITATION-WOOD AND YARD WASTE GRINDING
EXHIBIT A -CLIN 9000

**PROVIDE PRICES TO PERFORM WOOD AND YARD WASTE GRINDING SERVICES AT THE CAMP LEJEUNE LANDFILL
ELINs A001**

Line Item 0001 IDIQ - Base Year

ELIN	Product Name	Description Extended	Estimated Quantity	Unit of Issue	Unit Price	Extended Price
A001AA	Wood Grinding Operations	The contractor shall grind piles of wood debris identified during a site inspection with the Landfill Manager, to include but not limited to plant growth such as tree limbs, stumps, logs, pallets, plywood, dimensional lumber, and wood debris. Activities will include, but are not limited to, grinder operation, land clearing of waste and hauling chips off site. (See Spec Item 4.1)	6,200	Ton		
A001AB	Yard Waste Grinding Operations	The contractor shall grind piles of yard waste identified during a site inspection with the Landfill Manager, to include but not limited to leaves, pine straw, yard clippings, small limbs, and yard debris. Activities will include grinder operation. Yard waste shall be ground on site and remain at that location for government use. (See Spec Item 4.2)	3,900	Ton		\$ -

Total Price Base Year \$ -

ATTACHMENT J-0200000-10
EXHIBIT LINE ITEM NUMBERS
SOLICITATION-WOOD AND YARD WASTE GRINDING
EXHIBIT A-CLIN 9002

**PROVIDE PRICES TO PERFORM WOOD AND YARD WASTE GRINDING SERVICES AT THE CAMP LEJEUNE LANDFILL
ELINs B002**

Line Item 0002 IDIQ - Option Year 1

ELIN	Product Name	Description Extended	Estimated Quantity	Unit of Issue	Unit Price	Extended Price
B002AA	Wood Grinding Operations	The contractor shall grind piles of wood debris identified during a site inspection with the Landfill Manager, to include but not limited to plant growth such as tree limbs, stumps, logs, pallets, plywood, dimensional lumber, and wood debris. Activities will include, but are not limited to, grinder operation, land clearing of waste and hauling chips off site. (See Spec Item 4.1)	6,100	Ton		\$ -
B002AB	Yard Waste Grinding Operations	The contractor shall grind piles of yard waste identified during a site inspection with the Landfill Manager, to include but not limited to leaves, pine straw, yard clippings, small limbs, and yard debris. Activities will include grinder operation. Yard waste shall be ground on site and remain at that location for government use. (See Spec Item 4.2)	3,400	Ton		\$ -

Total Price Option 1

\$ -

ATTACHMENT J-0200000-10
EXHIBIT LINE ITEM NUMBERS
SOLICITATION-WOOD AND YARD WASTE GRINDING
EXHIBIT A-CLIN 9003

**PROVIDE PRICES TO PERFORM WOOD AND YARD WASTE GRINDING SERVICES AT THE CAMP LEJEUNE LANDFILL
ELINs C003**

Line Item 0003 IDIQ - Option Year 2

ELIN	Product Name	Description Extended	Estimated Quantity	Unit of Issue	Unit Price	Extended Price
C003AA	Wood Grinding Operations	The contractor shall grind piles of wood debris identified during a site inspection with the Landfill Manager, to include but not limited to plant growth such as tree limbs, stumps, logs, pallets, plywood, dimensional lumber, and wood debris. Activities will include, but are not limited to, grinder operation, land clearing of waste and hauling chips off site. (See Spec Item 4.1)	6,000	Ton		\$ -
C003AB	Yard Waste Grinding Operations	The contractor shall grind piles of yard waste identified during a site inspection with the Landfill Manager, to include but not limited to leaves, pine straw, yard clippings, small limbs, and yard debris. Activities will include grinder operation. Yard waste shall be ground on site and remain at that location for government use. (See Spec Item 4.2)	2,900	Ton		\$ -

Total Price Option 2

\$ -

ATTACHMENT J-0200000-10
EXHIBIT LINE ITEM NUMBERS
SOLOCITATION-WOOD AND YARD WASTE GRINDING
EXHIBIT A-CLIN 9004

**PROVIDE PRICES TO PERFORM WOOD AND YARD WASTE GRINDING SERVICES AT THE CAMP LEJEUNE LANDFILL
ELINs D004**

Line Item 0004 IDIQ - Option Year 3

ELIN	Product Name	Description Extended	Estimated Quantity	Unit of Issue	Unit Price	Extended Price
D004AA	Wood Grinding Operations	The contractor shall grind piles of wood debris identified during a site inspection with the Landfill Manager, to include but not limited to plant growth such as tree limbs, stumps, logs, pallets, plywood, dimensional lumber, and wood debris. Activities will include, but are not limited to, grinder operation, land clearing of waste and hauling chips off site. (See Spec Item 4.1)	5,700	Ton		\$ -
D004AB	Yard Waste Grinding Operations	The contractor shall grind piles of yard waste identified during a site inspection with the Landfill Manager, to include but not limited to leaves, pine straw, yard clippings, small limbs, and yard debris. Activities will include grinder operation. Yard waste shall be ground on site and remain at that location for government use. (See Spec Item 4.2)	2,500	Ton		\$ -

Total Price Option 3

\$ -

ATTACHMENT J-0200000-10
EXHIBIT LINE ITEM NUMBERS
SOLICITATION-WOOD AND YARD WASTE GRINDING
EXHIBIT A-CLIN 9005

**PROVIDE PRICES TO PERFORM WOOD AND YARD WASTE GRINDING SERVICES AT THE CAMP LEJEUNE LANDFILL
ELINs E005**

Line Item 0005 IDIQ - Option Year 4

ELIN	Product Name	Description Extended	Estimated Quantity	Unit of Issue	Unit Price	Extended Price
E005AA	Wood Grinding Operations	The contractor shall grind piles of wood debris identified during a site inspection with the Landfill Manager, to include but not limited to plant growth such as tree limbs, stumps, logs, pallets, plywood, dimensional lumber, and wood debris. Activities will include, but are not limited to, grinder operation, land clearing of waste and hauling chips off site. (See Spec Item 4.1)	5,500	Ton		\$ -
E005AB	Yard Waste Grinding Operations	The contractor shall grind piles of yard waste identified during a site inspection with the Landfill Manager, to include but not limited to leaves, pine straw, yard clippings, small limbs, and yard debris. Activities will include grinder operation. Yard waste shall be ground on site and remain at that location for government use. (See Spec Item 4.2)	2,200	Ton		\$ -

Total Price Option 4

\$ -

ATTACHMENT J-0200000-11

1. The NAVFAC Form PPQ shall be utilized for all evaluations that require a Past Performance Questionnaire (PPQ).

2. The current NAVFAC Form PPQ-0 dated 7 December 2011 is available at:
<https://portal.navy.mil/portal/page/portal/aq/pdffiles/ppq%20rev%20dec%202011.doc>

3. As stated in the solicitation:

IF A COMPLETED CPARS EVALUATION IS AVAILABLE, IT SHALL BE SUBMITTED WITH THE PROPOSAL. IF THERE IS NOT A COMPLETED CPARS EVALUATION, the Past Performance Questionnaire (PPQ) included in the solicitation is provided for the offeror or its team members to submit to the client for each project the offeror includes in its proposal for Factor 1, Technical Capability. AN OFFEROR SHALL NOT SUBMIT A PPQ WHEN A COMPLETED CPARS IS AVAILABLE.

IF A CPARS EVALUATION IS NOT AVAILABLE, ensure correct phone numbers and email addresses are provided for the client point of contact. Completed PPQs should be submitted with your proposal. If the offeror is unable to obtain a completed PPQ from a client for a project(s) before proposal closing date, the offeror should complete and submit with the proposal the first page of the PPQ (Attachment C), which will provide contract and client information for the respective project(s). Offerors should follow-up with clients/references to ensure timely submittal of questionnaires. If the client requests, questionnaires may be submitted directly to the Government's point of contact, Jackie Meade, via email at jackie.t.meade@navy.mil, prior to proposal closing date. Offerors shall not incorporate by reference into their proposal PPQs or CPARS previously submitted for other RFPs. However, this does not preclude the Government from utilizing previously submitted PPQ information in the past performance evaluation."

ATTACHMENT C

NAVFAC/USACE PAST PERFORMANCE QUESTIONNAIRE (Form PPQ-0)

CONTRACT INFORMATION (Contractor to complete Blocks 1-4)

1. Contractor Information

Firm Name: _____ CAGE Code: _____
Address: _____ DUNs Number: _____
Phone Number: _____
Email Address: _____
Point of Contact: _____ Contact Phone Number: _____

2. Work Performed as: Prime Contractor Sub Contractor Joint Venture Other (Explain)
Percent of project work performed: _____
If subcontractor, who was the prime (Name/Phone #): _____

3. Contract Information

Contract Number: _____
Delivery/Task Order Number (if applicable): _____
Contract Type: Firm Fixed Price Cost Reimbursement Other (Please specify): _____
Contract Title: _____
Contract Location: _____

Award Date (mm/dd/yy): _____
Contract Completion Date (mm/dd/yy): _____
Actual Completion Date (mm/dd/yy): _____
Explain Differences: _____

Original Contract Price (Award Amount): _____
Final Contract Price (to include all modifications, if applicable): _____
Explain Differences: _____

4. Project Description:

Complexity of Work High Med Routine
How is this project relevant to project of submission? (Please provide details such as similar equipment, requirements, conditions, etc.)

CLIENT INFORMATION (Client to complete Blocks 5-8)

5. Client Information

Name: _____
Title: _____
Phone Number: _____
Email Address: _____

6. Describe the client's role in the project:

7. Date Questionnaire was completed (mm/dd/yy):

8. Client's Signature:

NOTE: NAVFAC REQUESTS THAT THE CLIENT COMPLETES THIS QUESTIONNAIRE AND SUBMITS DIRECTLY BACK TO THE OFFEROR. THE OFFEROR WILL SUBMIT THE COMPLETED QUESTIONNAIRE TO NAVFAC WITH THEIR PROPOSAL, AND MAY DUPLICATE THIS QUESTIONNAIRE FOR FUTURE SUBMISSION ON NAVFAC SOLICITATIONS. CLIENTS ARE HIGHLY ENCOURAGED TO SUBMIT QUESTIONNAIRES DIRECTLY TO THE OFFEROR. HOWEVER, QUESTIONNAIRES MAY BE SUBMITTED DIRECTLY TO NAVFAC. PLEASE CONTACT THE OFFEROR FOR NAVFAC POC INFORMATION. THE GOVERNMENT RESERVES THE RIGHT TO VERIFY ANY AND ALL INFORMATION ON THIS FORM.

*ADJECTIVE RATINGS AND DEFINITIONS TO BE USED TO BEST REFLECT
YOUR EVALUATION OF THE CONTRACTOR'S PERFORMANCE*

RATING	DEFINITION	NOTE
(E) Exceptional	Performance meets contractual requirements and exceeds many to the Government/Owner's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor was highly effective.	An Exceptional rating is appropriate when the Contractor successfully performed multiple significant events that were of benefit to the Government/Owner. A singular benefit, however, could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should have been NO significant weaknesses identified.
(VG) Very Good	Performance meets contractual requirements and exceeds some to the Government's/Owner's benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.	A Very Good rating is appropriate when the Contractor successfully performed a significant event that was a benefit to the Government/Owner. There should have been no significant weaknesses identified.
(S) Satisfactory	Performance meets minimum contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.	A Satisfactory rating is appropriate when there were only minor problems, or major problems that the contractor recovered from without impact to the contract. There should have been NO significant weaknesses identified. Per DOD policy, a fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract.
(M) Marginal	Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.	A Marginal is appropriate when a significant event occurred that the contractor had trouble overcoming which impacted the Government/Owner.
(U) Unsatisfactory	Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.	An Unsatisfactory rating is appropriate when multiple significant events occurred that the contractor had trouble overcoming and which impacted the Government/Owner. A singular problem, however, could be of such serious magnitude that it alone constitutes an unsatisfactory rating.
(N) Not Applicable	No information or did not apply to your contract	Rating will be neither positive nor negative.

Contractor Information (Firm Name): _____

Client Information (Name): _____

TO BE COMPLETED BY CLIENT

PLEASE CIRCLE THE ADJECTIVE RATING WHICH BEST REFLECTS
YOUR EVALUATION OF THE CONTRACTOR'S PERFORMANCE.

1. QUALITY:	
a) Quality of technical data/report preparation efforts	E VG S M U N
b) Ability to meet quality standards specified for technical performance	E VG S M U N
c) Timeliness/effectiveness of contract problem resolution without extensive customer guidance	E VG S M U N
d) Adequacy/effectiveness of quality control program and adherence to contract quality assurance requirements (without adverse effect on performance)	E VG S M U N
2. SCHEDULE/TIMELINESS OF PERFORMANCE:	
a) Compliance with contract delivery/completion schedules including any significant intermediate milestones. <i>(If liquidated damages were assessed or the schedule was not met, please address below)</i>	E VG S M U N
b) Rate the contractor's use of available resources to accomplish tasks identified in the contract	E VG S M U N
3. CUSTOMER SATISFACTION:	
a) To what extent were the end users satisfied with the project?	E VG S M U N
b) Contractor was reasonable and cooperative in dealing with your staff (including the ability to successfully resolve disagreements/disputes; responsiveness to administrative reports, businesslike and communication)	E VG S M U N
c) To what extent was the contractor cooperative, businesslike, and concerned with the interests of the customer?	E VG S M U N
d) Overall customer satisfaction	E VG S M U N
4. MANAGEMENT/ PERSONNEL/LABOR	
a) Effectiveness of on-site management, including management of subcontractors, suppliers, materials, and/or labor force?	E VG S M U N
b) Ability to hire, apply, and retain a qualified workforce to this effort	E VG S M U N
c) Government Property Control	E VG S M U N
d) Knowledge/expertise demonstrated by contractor personnel	E VG S M U N
e) Utilization of Small Business concerns	E VG S M U N
f) Ability to simultaneously manage multiple projects with multiple disciplines	E VG S M U N
g) Ability to assimilate and incorporate changes in requirements and/or priority, including planning, execution and response to Government changes	E VG S M U N
h) Effectiveness of overall management (including ability to effectively lead, manage and control the program)	E VG S M U N
5. COST/FINANCIAL MANAGEMENT	
a) Ability to meet the terms and conditions within the contractually agreed price(s)?	E VG S M U N

Contractor Information (Firm Name): _____

Client Information (Name): _____

b) Contractor proposed innovative alternative methods/processes that reduced	E VG S M U N
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cost, improved maintainability or other factors that benefited the client	
c) If this is/was a Government cost type contract, please rate the Contractor's timeliness and accuracy in submitting monthly invoices with appropriate back-up documentation, monthly status reports/budget variance reports, compliance with established budgets and avoidance of significant and/or unexplained variances (under runs or overruns)	E VG S M U N
d) Is the Contractor's accounting system adequate for management and tracking of costs? <i>If no, please explain in Remarks section.</i>	Yes No
e) If this is/was a Government contract, has/was this contract been partially or completely terminated for default or convenience or are there any pending terminations? <i>Indicate if show cause or cure notices were issued, or any default action in comment section below.</i>	Yes No
f) Have there been any indications that the contractor has had any financial problems? <i>If yes, please explain below.</i>	Yes No
6. SAFETY/SECURITY	
a) To what extent was the contractor able to maintain an environment of safety, adhere to its approved safety plan, and respond to safety issues? (Includes: following the users rules, regulations, and requirements regarding housekeeping, safety, correction of noted deficiencies, etc.)	E VG S M U N
b) Contractor complied with all security requirements for the project and personnel security requirements.	E VG S M U N
7. GENERAL	
a) Ability to successfully respond to emergency and/or surge situations (including notifying COR, PM or Contracting Officer in a timely manner regarding urgent contractual issues).	E VG S M U N
b) Compliance with contractual terms/provisions (<i>explain if specific issues</i>)	E VG S M U N
c) Would you hire or work with this firm again? (<i>If no, please explain below</i>)	Yes No
d) In summary, provide an overall rating for the work performed by this contractor.	E VG S M U N

Please provide responses to the questions above (*if applicable*) and/or additional remarks. Furthermore, please provide a brief narrative addressing specific strengths, weaknesses, deficiencies, or other comments which may assist our office in evaluating performance risk (*please attach additional pages if necessary*):

Attachment J-0200000-12
WOOD AND YARD WASTE GRINDING OPERATIONS

Title	Performance Objective	Related Information	Performance Standard
Wood Grinding Operations	<p>The Contractor shall grind piles of wood debris identified during a site inspection with the Landfill Manager, to include but not limited to plant growth such as tree limbs, stumps, logs, pallets, plywood, dimensional lumber, and various other wood debris. Activities will include, but are not limited to, grinder operation, land clearing of waste, and hauling chips off site.</p> <p>The wood chips become the property of the Contractor and shall be hauled off base for disposal. Revenue receipts from the sale of the wood chips shall be submitted with the monthly invoice.</p> <p>Each truck hauling debris shall be weighed empty and full at the base sanitary landfill scales. Weight tickets will be kept and maintained by the Government.</p> <p>Contractors must operate in a manner that soil erosion and run-off are controlled as well as keeping dust from becoming a hazard and must minimize airborne emissions.</p>	<p>The Government will contact the Contractor when a minimum of 2,000 tons of wood debris and yard waste are on site to be ground. The Government will direct the Contractor to the debris on the ground. The Contractor may have to mobilize and demobilize several times over the course of the year. Once the Contractor mobilizes, the work shall proceed diligently to completion.</p> <p>Once work has been started, work will continue until all work is complete. If a work day falls on an observed holiday, work shall be performed on the following work day.</p> <p>All contaminated materials, i.e., metals, concrete, bricks, dirt, fencing, etc. will be separated and disposed of by the Contractor either off base or in a designated area confirmed by the Landfill Manager.</p> <p>Revenue generated from the chips are not deducted from what the contractor is paid. On the Treatment and Process site there is a trash can (40 yard roll off) provided by the Landfill for any trash that is in the wood grinding piles and the yard waste piles.</p>	<p>All wood chips are ground and disposed of within the time limit on the task order.</p>

Title	Performance Objective	Related Information	Performance Standard
	<p>If any material is hauled away after the landfill scales closes for the day, a weight ticket for each load is required to be turned in to the Landfill Office or the FSC Representative. All outbound weight must be captured for recycling credit.</p> <p>After all processed materials are removed from the working area, the area shall be returned to a condition that allows vehicles to access to area and storm water to run off and not pond on the facility.</p>	<p>The dirt in the wood debris can be screened as clean and fine as possible and disposed of off base or in the Camp Lejeune Landfill as daily cover, per the Landfill Manager's instructions.</p> <p>The Government will not be held liable, under any condition, for incidental matters occurring during transportation of said debris on or off base.</p> <p>Specific equipment specifications are listed in paragraph 2.5.1 of Annex 0200000.</p> <p>The Contractor shall ensure that any equipment downtime is limited to a maximum of 3 days.</p>	

Title	Performance Objective	Related Information	Performance Standard
<p>Yard Waste Grinding Operations</p>	<p>The Contractor shall grind piles of yard waste identified during a site inspection with the Landfill Manager, to include but not limited to leaves, pine straw, yard clipping, small limbs, and various other yard debris.</p> <p>Activities will include grinder operation. Yard waste shall be ground on site and remain at that location for government use.</p> <p>After all grinding is completed, the area shall be returned to a condition that allows vehicles to access the area and storm water to run-off and not pond on the facility.</p> <p>Contractor must operate in a manner that soil erosion and run-off are controlled as well as keeping dust from becoming a hazard and must minimize airborne emissions.</p>	<p>The Government will contact the Contractor when a minimum of 2,000 tons of wood debris and yard waste are on site to be grounded.</p> <p>Once work has been started, work will continue full time until all work is complete. If a work day falls on an observed holiday, work shall be performed on the following day.</p> <p>All contaminated materials, i.e., metals, concrete, bricks, dirt, fencing, etc. will be separated and disposed of by the Contractor either off base or in a designated area confirmed by the Landfill Manager.</p> <p>The Contractor shall ensure that any equipment downtime is limited to a maximum of 3 days.</p>	<p>All yard waste is grounded within the time limit on the task order.</p>

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1503030 - Integrated Solid Waste Management		
Spec Item	Title	Description
1	General Information	The Contractor shall provide all labor, management, supervision, tools, material, and equipment required to wood and yard waste grinding services in support of landfill operations at Marine Corps Base, Camp Lejeune, N.C.
1.1	Concept of Operations	The Contractor shall perform wood grinding and yard waste service at the Base Sanitary Landfill located on Piney Green Road. The Contractor shall grind piles of wood debris such as tree limbs, stumps, logs, pallets, plywood, dimensional lumber, and other wood debris and haul chips off base for disposal.

1503030 - Integrated Solid Waste Management		
Spec Item	Title	Description
2	Management and Administration	
2.1	Definitions and Acronyms	Definitions and Acronyms are listed in J-1503030-01.
2.2	Personnel	The Contractor shall provide personnel with the qualifications, technical knowledge, experience and skills required for efficient operations within the Integrated Solid Waste Management function.
2.2.1	Certification, Training, and Licensing	The contractor shall have all licenses, certifications and permits required by state and Federal laws and regulations to accomplish the services described in the contract. All work performed shall be in accordance with State, Federal, and local laws, and installation regulations. Proof of certification shall be provided to the KO 15 days to the start of work.
2.3	Special Requirements	Refer to Spec Item 2.3.1.
2.3.1	Workmanship and Material Standards	<p>Best commercial practices shall be applied in the performance of work. All work shall be completed per approved and accepted industry and equipment manufacturers' standards and shall comply with building and safety codes, applicable activity, local, state, and federal regulations, and other technical requirements identified within this technical sub-annex.</p> <p>Repairs shall be made in accordance with the manufacturers' specifications, guidelines, and standard building codes. The quality of repairs shall meet the applicable standards and shall prevent any malfunction reoccurrences caused by poor workmanship or other contractor inadequacies. Contractor shall provide replacement of any/all equipment listed in paragraph 2.5.1 within three working days of equipment failure. The Contractor shall not allow debris to accumulate in the work area. All such debris, excess material, and parts shall be cleaned up and removed at the completion of the job and at the end of each work day. Upon completion of work, any stains and other unsightly marks shall be removed.</p>
2.3.2	Recyclable Accounting	The Contractor shall submit receipts denoting the date, type and quantity of material recycled. The Contractor shall submit receipts of revenue generated by sale of recyclable materials. The Contractor shall submit Defense Reutilization management Office (DRMO) receipts. Submit all Revenue Receipts per Section F with the Contractor's monthly invoice.
2.3.3	Weight Tickets (Non-Recyclable)	Individual weight tickets denoting the date, type of truck or container, and tonnage disposed shall be submitted per Section F with the Contractor's monthly invoice. The Contractor shall also provide the total tabulated tonnage disposed during the month.
2.3.4	Permits and Licenses	Within 15 calendar days after contract award, the Contractor shall submit copies of disposal permits or other written documentation of approval and suitability of landfill or other final disposal methods.
2.4	References and Technical Documents	References and Technical Documents are listed in J-1503030-02.

1503030 - Integrated Solid Waste Management				
Spec Item	Title	Performance Objective	Related Information	Performance Standard
3	FFP Work	Not applicable to this contract		
3.1	Solid Waste Collection	Not applicable to this contract.		
3.1.1	Residential	Not applicable to this contract.		
3.1.1.1	General Household Waste	Not applicable to this contract.		
3.1.1.2	Recyclable Waste	Not applicable to this contract.		
3.1.1.3	Bulky Items	Not applicable to this contract.		
3.1.2	Non-Residential	Not applicable to this contract.		
3.1.2.1	General Waste	Not applicable top this contract.		
3.1.2.2	Recyclable Waste	Not applicable to this contract.		
3.1.2.3	Bulky Waste	Not applicable to this contract.		
3.1.2.4	Foreign Port Origin Waste	Not applicable to this contract.		
3.2	Solid Waste Disposal	Not applicable to this contract.		
3.2.1	Non-Recyclable	Not applicable to this contract.		
3.2.2	Recyclable	Not applicable to this contract.		
3.2.3	Foreign Port Origin Waste	Not applicable to this contract.		
3.3	Vehicles and Equipment	Not applicable to this contract.		
3.4	Solid Waste Containers	Not applicable to this contract.		
3.4.1	Refuse	Not applicable to this contract.		
3.4.2	Recyclables	Not applicable to this contract.		
3.4.3	Residential	Not applicable to this contract.		
3.4.4	Foreign Port Origin	Not applicable to this contract.		
3.5	Compactors and Containers	Not applicable to this contract.		

1503030 - Integrated Solid Waste Management				
Spec Item	Title	Performance Objective	Related Information	Performance Standard
4	IDIQ Work	IDIQ work may be ordered utilizing DoD EMALL in accordance with Section H or on a task order in accordance with the PROCEDURES FOR ISSUING ORDERS clause in Section G. The order will specify the exact locations and types of work to be accomplished. The period of performance will be specified in each order.	Refer to IDIQ ELINs for task listings, descriptions, and related requirements. All periods of performance are measured from issue date of order to acceptance of the work. Performance standards for IDIQ work will be the same as those in Spec Item 3 where applicable.	

ATTACHMENT J-1503030-01
DEFINITIONS AND ACRONYMS

DEFINITION/ACRONYM	DESCRIPTION
Ashes	The residue from burned wood, coal, coke, and other combustible material.
Container	A receptacle designed for holding and transporting various types of solid waste.
CY	Cubic Yard
Debris	Green tree debris such as tree limbs, stumps, logs, and limbs; dry wood waste such as lumber, pallets, plywood, and dimensional lumber.
Yard Waste Debris	Yard debris such as leaves, pine straw, yard clippings, and small limbs.
Foreign Port Origin Garbage	Garbage subject to special treatment and disposal requirements.
Garbage	Animal and vegetable waste (and containers thereof) resulting from the handling, preparation, cooking, and consumption of foods. Edible or hog food garbage is that portion of waste food which has been segregated for salvage.
Hazardous Waste	A solid waste or combination of solid wastes, which because of its quantity, concentration, or physical, chemical, or infectious characteristics may: (1) cause, or significantly contribute to, an increase in mortality or an increase in serious irreversible, or incapacitating reversible, illness; or (2) pose a substantial present or potential hazard to human health or the environment when improperly treated, stored, transported, disposed of, or otherwise managed.
Open Burning	The combustion of solid waste without (a) control of combustion air to maintain adequate temperature for efficient combustion, (b) containment of the combustion reaction in an enclosed device to provide sufficient residence time and mixing for complete combustion, or (c) control of the emission of the combustion products.
Recyclable Waste	Waste material which can be transformed into new products in such a manner that the original product may lose its identity.
Refuse	All garbage, ashes, debris, rubbish, and other similar waste materials. Not included are explosive and incendiary waste and contaminated waste from medical and radiological processes.
Rubbish	A variety of unsalvageable waste materials such as metal, glass, crockery, floor sweepings, paper, wrapping, containers, cartons, and similar articles not used in preparing or dispensing food.
Sanitary	Free of microorganisms.
Solid Waste	Refuse and other discarded solid materials resulting from commercial, industrial, residential, and community activities. It does not include hazardous wastes, infectious/medical wastes, solids or dissolved materials in domestic sewage, or other significant pollutants in water resources such as silt, dissolved or suspended solids in industrial waste, water effluents, dissolved materials in irrigation return flow, or other common water pollutants.
Spillage	Any refuse dislodged from containers and/or solid waste collecting equipment in the course of collection and disposal.
Waste Deposit Area	Designated points where solid wastes will be placed for collection by the Contractor. May also be referred to as collection station, collection point, pick-up stations, or collection site.

ATTACHMENT J-1503030-02
REFERENCES AND TECHNICAL DOCUMENTS

<u>Title</u>	<u>Reference</u>
Solid Waste Management	40 CFR parts 243, 260 through 267, 270, 271 and 280
OPNAVINST 5090.1	Environmental and Natural Resources Protection Manual



SITE LOCATION

PINEY GREEN ROAD

T&P S

HOLCOMB BOULEVARD

200 m

500 ft

Attachment J-1503030-04

**PERFORMANCE
ASSESSMENT
PLAN**

**Annex 1503030
Integrated Solid Waste Management**

**MARINE CORPS BASE
CAMP LEJEUNE, NC 28547**

**SOLICITATION NO. N40085-15-R-0827
Wood and Yard Waste Grinding and Services
at
Base Landfill**

PREPARED BY: FSC

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1. Performance Assessment Plan

1.1 Introduction

The PAP establishes performance assessment (PA) provisions for resultant contract to Solicitation N40085-15-R-0827, Wood and Yard Waste Grinding Services in Support of Base Landfill Operations at Marine Corps Base Camp Lejeune, Jacksonville, North Carolina.

The PAP describes the methodology for assessing the Contractor's performance that will be used to provide Contractor feedback, update Contractor Performance Assessment Rating System (CPARS), and, Past Performance Information Retrieval System (PPIRS)-FAPIS. The PAP includes applicable Functional Assessment Plan (FAP) and standard Performance Assessment Worksheets (PAW) to document and report Government observations and rate Contractor performance. The Government's role is to assess Contractor's work against measurable performance standards, and under PBSA the Contractor's role is to ensure its quality through successful implementation of its QMS.

Government PA is intended to ensure payments are made only for services that comply with contract requirements.

A positive relationship between the Government and the Contractor is essential in fulfilling a performance-based requirement. The Government's relationship with the Contractors should be one that promotes a strong and positive business alliance to achieve mutually beneficial goals, such as timely delivery and acceptance of high-quality services, through the use of efficient business practices. It is essential that the Government and the Contractor work together as a team to communicate expectations, agree on common goals, develop a common understanding of measurable standards, and identify and address problems early in the contract to achieve desirable outcomes.

1.2 Roles and Responsibilities

The Government's key roles and responsibilities for performance assessment are as follows:

Performance Assessment Representative (PAR). The PAR reviews submittals, periodically assesses and documents Contractor performance, evaluates Contractor's QMS, keeps current records of performance issues and results, and communicates findings as necessary with the Contractor, Supervisory PAR (SPAR), Contracting Officer (KO), and Contracting Officer Representative (COR), as applicable.

Supervisory PAR (SPAR). The SPAR reviews documentation for completeness and accuracy before presentation to the Performance Assessment Board (PAB). The SPAR is normally designated as the PAB chairperson.

Contract Specialist (CS). The ACO and/or PCO assigned to the contract.

Contracting Officer (KO). The KO has final responsibility for Contractor PA per FAR Part 42—Contract Administration and Audit Services, non-conformance modifications, and unilateral determination of incentives.

Contracting Officer's Representative (COR). The COR is a PAB member responsible for a variety of duties that assist in performance assessment.

Performance Assessment Board (PAB). The PAB is comprised of key technical and administrative personnel appointed in writing by the KO. The PAB will convene periodically to review Contractor performance documentation and prepare and forward a summary report of findings and recommendations to the KO.

1.3 Training

To effectively implement the PA Program, individuals who monitor the Contractor's performance should be experienced in the annex/sub-annex areas for which they are assigned and adequately trained.

1.4 Safety

Ensure that the Contractor is in compliance with safety requirements specified in Spec Item 2.9 from Annex 2 of the contract. The PAR should be present during any local Safety briefings. If the PAR observes a violation of any safety requirements by the Contractor, the PAR should:

- Report the safety hazard resulting from unsafe acts or conditions, defective tools, materials, or equipment used by the Contractor to the KO.
- When imminent danger is apparent (where, if the hazard is not immediately corrected, there is a high probability that a serious accident will occur, life will be in danger or there will be extensive property damage), immediately inform the Contractor and request immediate action be taken to correct the hazard. If the Contractor does not voluntarily

1.5 Security

The PAR should become familiar with all security requirements specified in Spec Item 2.9 from Annex 2 of the contract and report any observed violations to the KO.

1.6 Submittals

The PAR should review reports and other submittals identified in Section F to ensure they comply with applicable requirements and specifications.

1.7 Meetings

The PAR should attend and be prepared for required meetings, including partnering sessions. The PAR should be familiar with the Spec Items 2.3.1 and 2.3.2 in Annex 2 titled "Required Conferences and Meetings" and "Partnering."

1.8 Methods of Assessment (MOA)

The PAR will periodically assess services for conformance to contract performance objectives and standards using the following MOAs:

- Periodic Sampling (PS)
- Random Sampling (RS)

- Validated Customer Complaints (VCC)
- Unscheduled Visits (UV)
- Customer's Evaluation (CE)

The MOAs used for assessment of each performance objective and standard are identified in each FAP included in Attachment A.

1.9 Quality Management System (QMS)

When the Government's assessment of the Contractor's performance reveals that the quality management efforts are not effective in ensuring performance objectives and standards are achieved, further action is required. The PAR will conduct a review of the Contractor's QC records and process for the work item(s) where deficiencies are noted to validate the accuracy and effectiveness of the Contractor's QMS.

For QMS to be considered acceptable, the Contractor must demonstrate to the Government through quality management and QC corrective and preventive actions that the risk of failure to meet performance standards has been satisfactorily mitigated.

1.10 Assessment Procedures

1.10.1 Post-Award Planning

The PAR should review and understand contract requirements, performance objectives, and standards, as well as the Contractor's technical proposal, QMS (including QC Plan), work schedules, and submittals. The PAR should develop a planned assessment schedule based upon factors such as selected MOAs, Contractor's recurring performance schedule, population of work, and local priorities and conditions.

1.10.2 Performance Assessment Process

The flowcharts and corresponding descriptions shown below detail the performance assessment process used by the PAR to observe, assess, document, and rate Contractor’s performance.

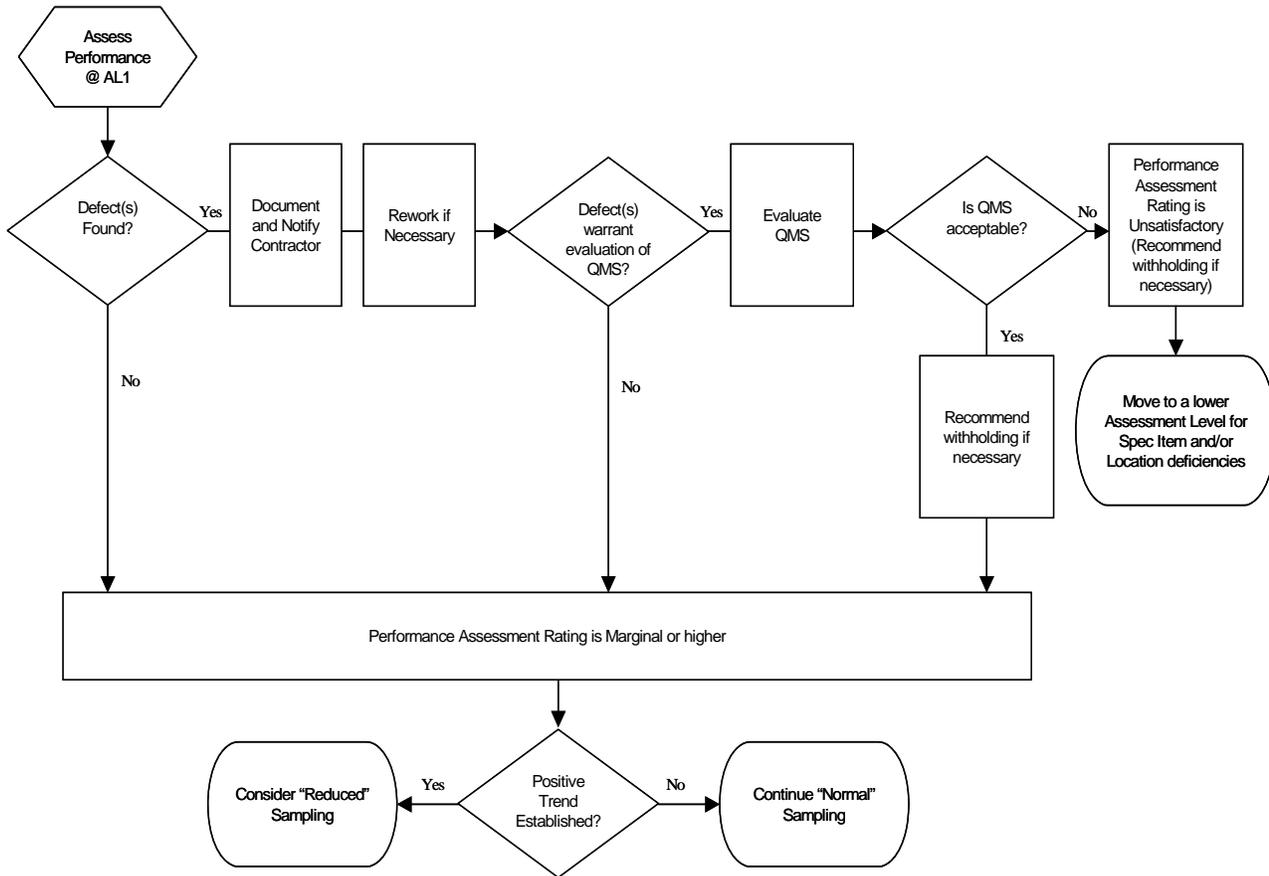


Figure 1. Performance Assessment Process for Assessment Level 1 (AL1)

The following descriptions are provided for the flowchart shown in Figure 1:

Assess Performance at AL1 – Starting point of assessment. Assess the Contractor’s performance using the MOA, frequencies, and sample sizes indicated at AL1 of the FAP, Attachment A. The starting point may include additional PA at lower assessment levels for mission critical, safety, or environmental related services.

Defect(s) Found – If the Contractor has performed all work in accordance with the performance objectives and standards, then a performance rating of satisfactory or higher should be assigned. The PAR will document any instances of value-added services or work that exceeds performance standards with supporting narrative on the Performance Assessment Worksheet (PAW), Attachment B. When the assessed work fails to comply with performance objectives and standards, the PAR

will document the defect on the PAW and notify the Contractor. Validated customer complaints (VCC) or instances of non-conforming work discovered during unscheduled visits (UV) should also be documented as defects. Where customer complaints are received, all alleged defects must be evaluated within a reasonable time to validate that the performance standards were not met. Documentation will be completed using the Customer Complaint Record, Attachment C. Documentation of UV will be completed on a PAW.

Document and Notify Contractor – Document instances of value-added performance that exceeds contract performance standards, and negative performance that fails to meet contract performance standards, with supporting narrative on the Performance Assessment Worksheet (PAW). If defects are found, the PAR will forward a copy of the PAW to the Contractor. The Contractor shall sign and return the PAW within 24 hours to acknowledge receipt of the document. The Contractor’s signature does not constitute agreement with the Government’s assessment, it merely acknowledges that the Contractor has been notified of a Government observed defect. Should the Contractor disagree with the Government’s observations, discussions should be conducted to reach a common understanding of performance objectives and standards.

Rework if Necessary – In the case of unsatisfactory or non-performed work, the Government may, at its option, allow the Contractor an opportunity to correct by re-performance at no additional cost to the Government. Rework shall be completed within the timeframe specified in Section E, Consequences of Contractor’s Failure to Perform Required Services clause of the contract.

Defect(s) Warrant Evaluation of QMS? – Defects warrant evaluation of QMS if 1) they are “Significant”, 2) a “Trend” has been established, or 3) the work is not considered “Substantially Complete”. Significant defects include the Contractor’s failure to meet performance objectives and standards that result in damage to the Government, or incomplete major or critical work items. Significant defects are subjective and should be discussed in initial partnering sessions with the Contractor. Trends are defects that may be considered minor but are recurring and have not been corrected through the Contractor’s QMS. Substantially complete means that the performance standard is fully met except for minor or trivial non-conformances per FAR 46.407. A service will be judged to be fully conforming to the contract performance standards if the nonconformance is minor or trivial and there is no omission of essential work, and approximately 95% of the total work (population) assessed meets the performance standard.

Evaluate QMS – The PAR should evaluate the Contractor’s QMS to verify proper controls are in place to ensure the delivery of quality services. This review should be limited to the Spec Items and/or location where defects have been found as opposed to a complete audit of the Contractor’s QMS. The evaluation should identify corrective actions the Contractor is taking for specific discrepancies and identify any QMS changes the Contractor is implementing to preclude systemic problems, avoid repeat discrepancies, and regain Quality Control (QC).

Is QMS Acceptable? – The Contractor must demonstrate to the Government that they have taken corrective actions and identified QMS changes to preclude systemic problems, avoid repeat discrepancies, and regain QC. QMS is considered “Acceptable” if the Contractor’s actions will satisfactorily reduce the risk of continued failure to meet performance standards.

Recommend withholding if necessary – The PAR should document recommendations for withholding of payment on the PAW for non-conforming services when defects cannot be corrected by re-performance. Withholdings should only be taken if the amount withheld exceeds the cost

associated with the Government's administrative effort to withhold funds. This should be performed in conjunction with the review of the Contractor's monthly invoice.

Performance Assessment Rating is Marginal or higher – The PAR shall document all findings, including findings associated with the Contractor's QMS if an evaluation was conducted, on PAW 1. The PAR should rate the Contractor Marginal, Satisfactory, Very Good, or Exceptional in accordance with the PARC adjectival descriptions shown in Attachment D.

Positive Trend Established? – If the Contractor has established a trend of Satisfactory, Very Good or Exceptional performance over a period of time, e.g., three months, the PAR should consider sampling at the reduced level. If a trend has not yet been established the PAR should continue normal sampling.

Continue "Normal" Sampling – The PAR should continue sampling the size identified as "Normal" in the FAP at AL1.

Consider "Reduced" Sampling – The PAR should adjust sampling to the size identified as "Reduced" in the FAP at AL1.

Performance Assessment Rating is Unsatisfactory – If the Contractor's QMS is unacceptable, then the PAR should document all findings, including findings associated with the Contractor's QMS, on PAW 1. The PAR should rate the Contractor Unsatisfactory in accordance with the adjectival ratings included in the PARC.

Move to a lower Assessment Level for Spec Item and/or Location deficiencies – When the Contractor’s performance is unsatisfactory at AL1, additional PA at Assessment Level 2 or 3 (AL2 or AL3) should be conducted for the Spec Item and/or location deficiencies as shown in Figure 2.

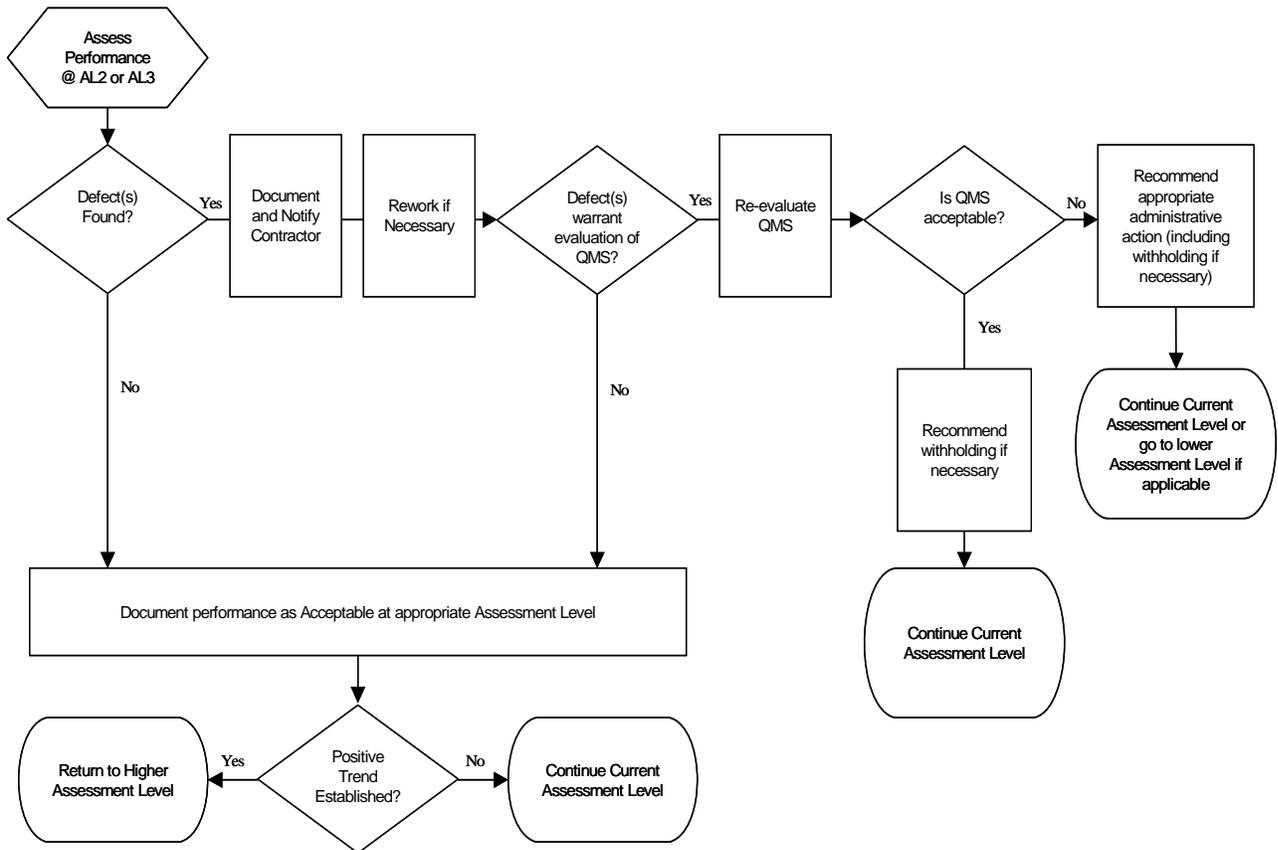


Figure 2. Performance Assessment Process for Assessment Level 2 or 3 (AL2 or AL3)

The following descriptions are provided for the flowchart shown in Figure 2:

Assess Performance at AL2 or AL3 – Start additional assessment(s) at a lower level if the rating on PAW 1 was unsatisfactory. Assess the Contractor’s performance using the MOA, frequencies, and sample sizes indicated at the appropriate assessment level, e.g., AL2 or AL3 of the FAP.

Defect(s) Found – If the Contractor has performed all work in accordance with the performance objectives and standards, then a performance rating of satisfactory or higher should be assigned. The PAR will document any instances of value-added services or work that exceeds performance standards with supporting narrative on the Performance Assessment Worksheet (PAW). When the assessed work fails to comply with performance objectives and standards, the PAR will document the defect on the PAW and notify the Contractor. Validated customer complaints (VCC) or instances of non-conforming work discovered during unscheduled visits (UV) should also be documented as defects. Where customer complaints are received, all alleged defects must be evaluated within a reasonable time to validate that the performance standards were not met. Documentation will be completed using the Customer Complaint Record, Attachment C. Documentation of UV will be completed on a PAW.

Document and Notify Contractor – Document instances of value-added performance that exceeds contract performance standards, and negative performance that fails to meet contract performance standards, with supporting narrative on the Performance Assessment Worksheet (PAW). If defects are found, the PAR will forward a copy of the PAW to the Contractor. The Contractor shall sign and return the PAW within 24 hours to acknowledge receipt of the document. The Contractor’s signature does not constitute agreement with the Government’s assessment, it merely acknowledges that the Contractor has been notified of a Government observed defect. Should the Contractor disagree with the Government’s observations, discussions should be conducted to reach a common understanding of performance objectives and standards.

Rework if Necessary – In the case of unsatisfactory or non-performed work, the Government may, at its option, allow the Contractor an opportunity to correct by re-performance at no additional cost to the Government. Rework shall be completed within the timeframe specified in Section E, Consequences of Contractor’s Failure to Perform Required Services clause of the contract.

Defect(s) Warrant Evaluation of QMS? – Defects warrant evaluation of QMS if 1) they are “Significant”, 2) a “Trend” has been established, or 3) the work is not considered “Substantially Complete”. Significant defects include the Contractor’s failure to meet performance objectives and standards that result in damage to the Government, or incomplete major or critical work items. Significant defects are subjective and should be discussed in initial partnering sessions with the Contractor. Trends are defects that may be considered minor but are recurring and have not been corrected through the Contractor’s QMS. Substantially complete means that the performance standard is fully met except for minor or trivial non-conformances per FAR 46.407. A service will be judged to be fully conforming to the contract performance standards if the nonconformance is minor or trivial and there is no omission of essential work, and approximately 95% of the total work (population) assessed meets the performance standard.

Document performance as Acceptable at appropriate assessment level – The PAR shall document all findings, including findings associated with the Contractor’s QMS if an evaluation was conducted. The PAR should rate the Contractor’s performance as Acceptable.

Positive Trend Established? – If the Contractor has established a trend of acceptable performance over a period of time, e.g., three months, the PAR should return to a higher assessment level. If a positive trend has not yet been established the PAR should continue at the current assessment level.

Continue Current Assessment Level – The PAR should continue sampling at the size and frequency identified in the FAP at the appropriate assessment level.

Return to Higher Assessment Level – The PAR should discontinue the additional lower level assessment and move to a higher assessment level or reduce to normal AL1 assessment.

Re-evaluate QMS – The PAR should reevaluate the Contractor's QMS to verify proper controls are in place to ensure the delivery of quality services. This review should be limited to the Spec Items and/or location where defects have been found as opposed to a complete audit of the Contractor's QMS. The evaluation should identify corrective actions the Contractor is taking for specific discrepancies, and identify any QMS changes the Contractor is implementing to preclude systemic problems, avoid repeat discrepancies, and regain Quality Control (QC).

Is QMS Acceptable? – The Contractor must demonstrate to the Government that they have taken corrective actions and identified QMS changes to preclude systemic problems, avoid repeat discrepancies, and regain QC. QMS is considered "Acceptable" if the Contractor's actions will satisfactorily reduce the risk of continued failure to meet performance standards.

Recommend withholding if necessary – If the Contractor's QMS is acceptable, then the PAR may still consider recommending withholding of payment for non-conforming services when defects cannot be corrected by re-performance by documenting on the PAW. Withholdings should only be taken if the amount withheld exceeds the cost associated with the Government's administrative effort to withhold funds. This should be performed in conjunction with the review of the Contractor's monthly invoice.

Continue Current Assessment Level – The PAR shall continue sampling the size identified in the FAP at the current assessment level.

Recommend appropriate administrative action – The PAR should document recommended administrative actions on the Monthly Performance Assessment Summary. Administrative actions may include additional performance review meetings, issuance of a CDR (Attachment C), withholding of payment including liquidated damages, or interim CPARS rating.

Continue Current Assessment Level or go to lower Assessment Level if applicable – The PAR shall continue sampling at the size and frequency identified in the FAP at the appropriate assessment level or can move to a lower level of assessment if applicable.

1.10.3 Assessment Summary and Evaluation Procedures

The PAR and SPAR will collect, review, and evaluate the results of all performance assessments including PAW documentation, validated customer complaints, customer evaluations, trend data, and Contractor QMS corrective and preventive actions. The SPAR summarizes PA information and recommended actions on the MPAS. The MPAS for each annex/sub-annex is included with the applicable FAP, Attachment A. Copies of completed PAWs, VCCs, Customer Evaluation forms, and other assessment documentation should be attached to the MPAS.

The PA information should also be used as part of the validation of the Contractor's monthly invoice amount. The PAR and SPAR will determine the value of the estimated damages to the Government

for non-conforming or non-performed work and recommend to the KO the appropriate withholding including liquidated damages (LDs). Documentation must be provided to support the reduced value of services and/or the estimated cost and related profit to correct deficiencies and complete unfinished work.

The PAB will convene to review and evaluate Contractor performance, as required. The PAB reviews the MPAS, recommended performance ratings, basis for withholdings, and other supporting PA information. Each PAB member rates overall Contractor performance using the PARC and then the PAB develops a consensus monthly rating. The PAB will submit a report to the KO for consideration when issuing contract modifications for non-conforming services per FAR Clause 52.246-4, INSPECTION OF SERVICES—FIXED PRICE, assessing contract incentives, and preparing a Contractor Performance Assessment Rating System (CPARS) evaluation per FAR Part 42.

1.11 Summary

The PAP is based on the premise that the Contractor is responsible for managing and ensuring that quality controls meet the terms of the contract. The PAP facilitates consistent and effective tiered PA to verify the accuracy and completeness of the Contractor's QMS and to assess overall compliance with performance objectives and standards. The Government will evaluate Contractor performance through appropriate assessment methods to ensure payments are made only for services that comply with contract requirements. This PAP is a "living" document that will be revised or modified as circumstances warrant.

2. Attachments

2.1 Attachment A: Functional Assessment Plan (FAP)

See Attached File entitled “Functional Assessment Plan (FAP)”

2.3 Attachment C: Customer Complaint Record

CUSTOMER COMPLAINT RECORD

ANNEX/SUB-ANNEX: _____

CONTRACT NO:		DATE/TIME RECEIVED:	
		RECEIVED BY:	
SOURCE OF COMPLAINT			
ORGANIZATION:		INDIVIDUAL:	PHONE:
LOCATION:			
SPEC ITEM:		TITLE:	
<u>DETAILS OF COMPLAINT:</u>			
<u>COMMENTS:</u>			
Complaint Validation:	<input type="checkbox"/> Valid	<input type="checkbox"/> Non-valid	
PAR (signature): _____		DATE: _____	
CONTRACTOR (signature): _____		DATE: _____	
REWORK:	<input type="checkbox"/> Acceptable	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> N/A
<u>QMS EVALUATION:</u> (Document effectiveness of contractor's QMS to detect/correct negative performance and reverse trends)			
QMS RATING:	<input type="checkbox"/> Acceptable	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> N/A

2.4 Attachment D: Performance Assessment Rating Criteria (PARC)

Adjectival Rating with Description	Percent Rating
<p>Exceptional: The Contractor demonstrates a high level of performance and quality that meets all and exceeds most performance objectives and standards. QMS is presumed effective based on little or no minor performance inconsistencies, all of which have been corrected/resolved. All work is performed in a timely manner and Customer needs are met.</p>	95 to 100
<p>Very Good: The Contractor demonstrates a high level of performance and quality that meets all and exceeds some performance objectives and standards. QMS is presumed effective based on some minor performance inconsistencies, all of which have been corrected/resolved. Vast majority of work is performed in a timely manner and Customer needs are met.</p>	90 to 94.9
<p>Satisfactory: The Contractor demonstrates a level of performance and quality that meets all performance objectives and standards. QMS is acceptable, however, there have been some discussions of management and quality control. Customer needs are predominantly met.</p>	85 to 89.9
<p>Marginal: The Contractor demonstrates a level of performance and quality that meets most but not all performance objectives and standards. Periodic input required from the Government to initiate corrective action. QMS is adequate with Government reminders. Customer needs are usually met.</p>	75 to 84.9
<p>Unsatisfactory: The Contractor demonstrates a level of performance and quality that fails to meet many performance objectives and standards and/or those that have a substantial impact on quality. The Contractor's performance is inadequate or inferior with an excessive number of inconsistencies. Substantial input is required from the Government to acquire corrective actions. QMS documentation and preventive actions are inadequate. Customer feedback indications are unsatisfactory.</p>	Below 75

Note: This table shows two columns, Adjectival and Numerical. Adjectival ratings provide CPARS equivalent descriptions, and, numerical ratings provide comparable values for use in summary performance evaluations where applicable, e.g., Award Fee.

2.5 Attachment E: Contract Discrepancy Report (CDR)

CONTRACT DISCREPANCY REPORT		1. CONTRACT NUMBER
GOVERNMENT ACTION		
2. TO (Contractor and Manager Name)	3. FROM (Name of Government Representative)	
4. DISCREPANCY OR PROBLEM		
5. CONTRACTOR NOTIFIED (Date, Time, Contact Name)		
6. SIGNATURE OF CONTRACTING OFFICER	7. DATE	
CONTRACTOR ACTION		
8. TO (Contracting Officer)	9. FROM (Contractor)	
10. CONTRACTOR RESPONSE (Cause, corrective actions to prevent recurrence. Attach continuation sheet if necessary.)		
11. SIGNATURE OF CONTRACTOR REPRESENTATIVE	12. DATE	
GOVERNMENT CLOSE OUT		
13. GOVERNMENT EVALUATION (Acceptance, partial acceptance. Attach continuation sheet if necessary.)		
14. GOVERNMENT ACTIONS (Payment deduction, cure notice, show cause, other.)		
15. SIGNATURE OF CONTRACTING OFFICER	16. DATE	
17. SIGNATURE OF REVIEWING OFFICIAL	18. DATE	