SECTION J

DOCUMENTS, EXHIBITS, AND OTHER ATTACHMENTS

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ATTACHMENT J-1502000-01
DEFINITIONS AND ACRONYMNS

DEFINITION	DESCRIPTION
CRANE, CATEGORY 1	Portal cranes, Hammerhead cranes, Locomotive cranes, Derricks, Floating cranes (YD), Tower cranes, Container cranes, Mobile cranes (except those indicated as category 4), including truck, cruiser, crawler, warehouse/industrial cranes, and cranes used for dragline, pile driving, clamshell, magnet, bucket work, and Aircraft crash cranes.
CRANE, CATEGORY 2 & 3	Cranes with rated capacities of 20,000 pounds or greater are category 2. Examples are Overhead traveling cranes, Gantry cranes (rail mounted), Wall cranes, Jib cranes, Pillar cranes, Pillar jib cranes, Monorails and associated hoists, Fixed hoists, including chain falls. Pedestal mounted commercial boom assemblies (fixed length, telescoping, and articulating types) attached to stake trucks, trailers, flatbeds, or railcars, or stationary mounted to piers, etc., with OEM rated capacities less than 2,000 pounds.
CRANE, CATEGORY 4	Commercial truck mounted cranes, Truck mounted articulating boom cranes, Pedestal mounted commercial boom assemblies (fixed length, telescoping, and articulating types) attached to stake trucks, trailers, flatbeds, or railcars, or stationary mounted to piers, etc., with OEM rated capacities of 2,000 pounds and greater. Commercial truck mounted cranes and truck mounted articulating boom cranes with OEM capacities of 2,000 pounds and greater require a licensed operator even if the cranes are down rated below 2,000 pounds capacity for administrative purposes.
EQUIPMENT, COLLATERAL	Encompasses built-in and large substantially affixed equipment/property that is normally acquired and installed as part of a facility project.
EQUIPMENT, INSTALLED	Encompasses building-type equipment, built-in equipment, and large, substantially affixed equipment/property, and is normally acquired and installed as part of a facility project. Installed equipment is normally required to make a facility useful and operable. Removing such equipment would impair the usefulness, safety, or environment of the facility or the facility restoration work required after its removal, is substantial.
EQUIPMENT, PERSONAL PROPERTY	Personal property equipment includes all equipment other than collateral equipment. Such equipment, when acquired and used in a facility or a test apparatus, can be severed and removed aster erection or installation without substantial loss of value or damage thereto or to the premises where installed.
FACILITIES LIFE CYCLE	A facilities life cycle is divided into four stages, requirements (planning and design), acquisition (construction and acceptance), stewardship (operations, maintenance and repair), and disposal.
FACILITIES MAINTENANCE MANAGEMENT	The planning, prioritizing, organizing, controlling, reporting, evaluating, and adjusting of facilities maintenance operations to support the CNO/NAVFAC facilities policy and objectives and satisfy customers' facility needs. Defined by the International Facility Management Association as "the practice of coordinating the physical workplace with the people and work of the organization."
Integrated Maintenance Program (IMP)	IMP is a recurring state-of-the-art, reliability-centered inspection, testing, maintenance and repair program that determines best practices for managing the functions and consequences of failures of facilities equipment and system components. IMP encompasses accepted commercial practices, including reactive, preventive, predictive and proactive maintenance, into one optimal program. The IMP approach gives the Contractor full responsibility to maintain systems and equipment and perform repairs whenever necessary to ensure equipment and systems are operational and remain in a constant state of readiness. Service calls will not be issued for accomplishment of repairs on systems and equipment maintained under IMP.
LIFE-CYCLE COSTS	A form of economic analysis that considers the total cost of owning, operating, and maintaining a building or system over its useful life.

MAINTENANCE, PREVENTIVE	Maintenance designed to increase the availability of the facilities/equipment by reducing the number of unexpected breakdowns or service interruptions. It is any planned maintenance activity that improves equipment life and avoid any unplanned maintenance requirements.
MANAGEMENT INFORMATION SYSTEMS-MAINTENANCE	A computerized system that will provide sufficient information for management to evaluate differences between budgets and actual costs and evaluate performance.
REPAIR	Repair is the restoration of facilities or equipment to such a condition that it may be effectively utilized for its designated purposes by overhaul, reconstruction, or replacement of constituent parts or materials which have deteriorated by action of the elements or usage, and which have not been corrected through maintenance. This term also applies to replacement of the entire unit or system if beyond economical repair. The intent of repair is to have the equipment at normal working condition.
REPLACEMENT	Replacement, as a distinct work element, is confined to a program of planned replacement of a facility or its components. It may be further limited to major components such as air conditioning compressors, furnaces or hot water heaters. Replacement is performed when the equipment has reached the end of its useful life; when it no longer can perform due to degradation of its internal components and repair is no longer cost effective. Included under the replacement would be the major rebuilding of any component, since rebuilding also restores performance.
RESTORATION	Restoration of real property to such a condition that it can be used for its intended purpose. Includes repair or replacement work to restore facilities damaged by inadequate sustainment, excessive age, natural disaster, fire, accident or other causes.
SUSTAINMENT	Maintenance and repair activities necessary to keep a typical inventory of facilities in “normal working condition”. Sustainment includes regularly scheduled maintenance as well as cyclical major repairs or replacement of components that occur periodically over the expected service life of the facilities.
SERVICE ORDER	Any work required to return a facility, system, equipment or component to normal working condition. Service orders are minor facility problem requests or requests for facilities-related work that are too small to be planned and estimated.
SERVICE ORDER CYCLE	Count down starts when the customer is notified that the work has been accepted to be accomplished to the time when the work chit is turned in by the craftsmen as complete is one complete cycle period for a service order.
SERVICE ORDER, EMERGENCY	Emergency is defined as any facility deficiency that immediately compromises the mission or life, health and safety. Always includes, but is not limited to, failure of any utility, fire protection, environmental control, or security alarm systems.
SERVICE ORDER, URGENT	Urgent is defined as any deficiency that does not immediately endanger personnel or property, but extended delays of repairs could result in damage to Government property, or soon affect the security, health, or well-being of personnel or the continued operation of a service or system.
SERVICE ORDER, ROUTINE	Routine is defined as any deficiency that does not qualify as emergency or urgent, but is needed to maintain the agreed upon facility condition. Maintain means to repair to such a condition that it may be used for its intended purpose and to normal working condition. Does not include improvements.
WEIGHT HANDLING EQUIPMENT (WHE)	Weight handling equipment consists of cranes (e.g., portal cranes, jib cranes), rigging gear (e.g., slings, shackles), and associated equipment (e.g., portable hoists, dynamometers). For purposes of this technical sub-annex, WHE does not include mobile or transportable truck, crawler, and railway mounted locomotive cranes covered in 1700000 BSVE.

ATTACHMENT J-1502000-01
DEFINITIONS AND ACRONYMNS

Acronym	Title
BPVC	Boiler and Pressure Vessel Code
HVAC	Heating, Ventilation, and Air Conditioning
RPIE	Real Property Inventory Equipment
SCADA	Supervisory Control And Data Acquisition
SRM	Sustainment, Restoration and Modernization
UFC	Unified Facilities Criteria
UPV	Unfired Pressure Vessel
VTE	Vertical Transportation Equipment

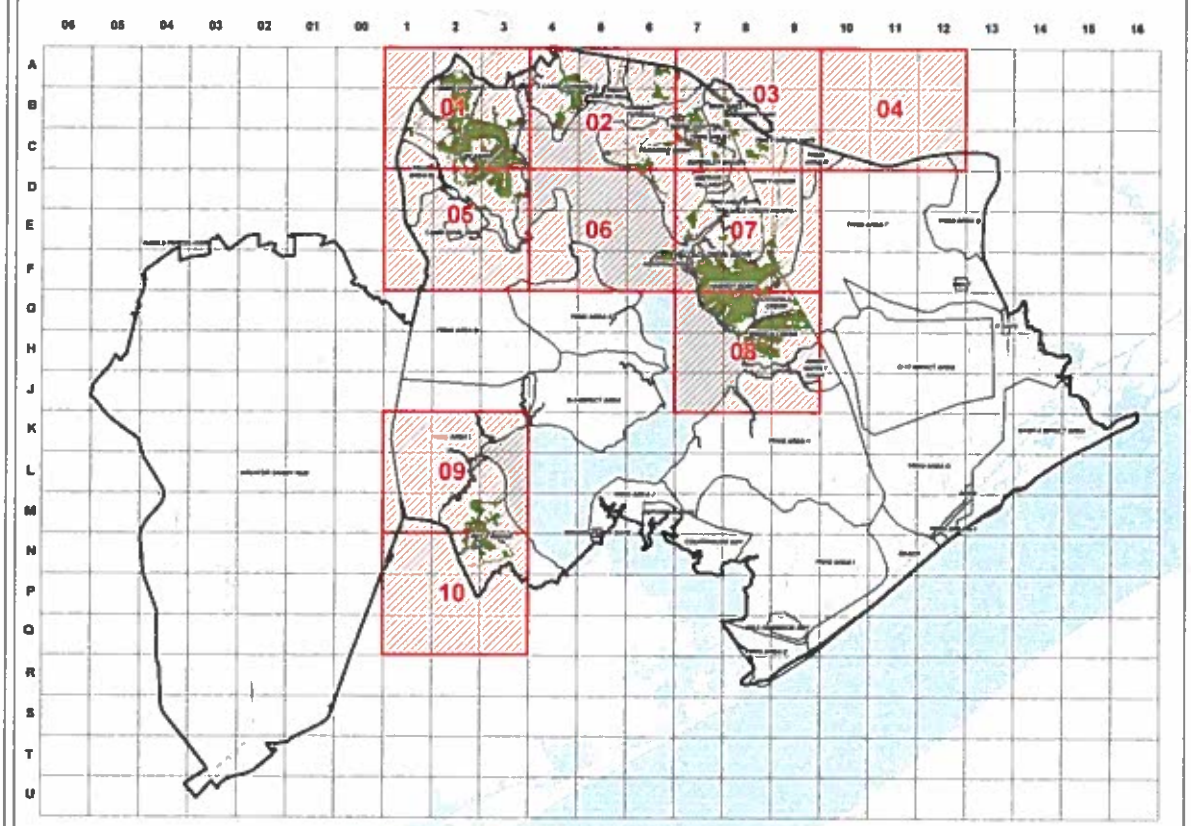
ATTACHMENT J-1502000-02
REFERENCES AND TECHNICAL DOCUMENTS

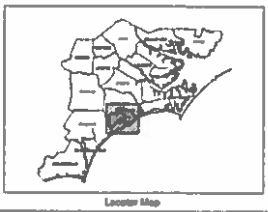
Reference	Title
UFC 3-430-07	Operations and Maintenance: Inspection and Certification of Boilers and Unfired Pressure Vessels
NAVFAC P-307	Management of Weight Handling Equipment

ATTACHMENT J-1502000-03
FACILITY INVENTORY

SCHOOL	BUILDING	ADDRESS
JOHNSON PRIMARY SCHOOL	2027	2027 STONE STREET, CLNC
LEJEUNE HIGH SCHOOL	835	835 STONE STREET, CLNC
BREWSTER MIDDLE SCHOOL	883	833 STONE STREET, CLNC
HEROES ELEMENTARY SCHOOL	PP201	100 BARNETT WAY, CLNC
TARAWA TERRACE ELEMENTARY SCHOOL	TT84	84 IWO JIMA BLVD., CLNC

ATTACHMENT J-1502000-04
SITE MAPS





Locator Map

Map generated using the Geographic Information System Managed by the Installation Geospatial Information & Services (IGI&S) Office Regional Geospatial Information & Services Division, GF MCIEAST - MCB CAMLEJ

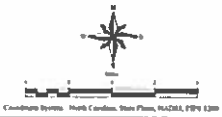
Questions regarding map content should be directed to the Public Works Department, Facilities Support Customer (910) 451 1101

NOTE: THIS MAP IS FOR REFERENCE & FOR OFFICIAL USE ONLY (FOUO)

Although every effort has been made to ensure the accuracy of the information, errors and conditions originating from physical sources in digital file database may be reflected in the data supplied. The user must be aware of data anomalies and ultimately bear responsibility for the appropriate use of the information with respect to spatial detail, original map scale, minimum mapping/line, currency of the data, and other conditions specific to certain data.

Legend

- Selected Grids
- Existing Conditions Grid
- Grounds Maintenance Area
- Base Boundary
- Natural Area
- Golf Course Fairway
- Airfield
- Bridge
- Road Centerline
- Water



Coordinate System: North Carolina State Plane, NAD83, FIPS 3200

INDEX MAP

MARINE CORPS BASE

SHRUBBERY MAINTENANCE SERVICE AT MCB & MCAS NEW RIVER

MCB CAMP LEJEUNE, NORTH CAROLINA

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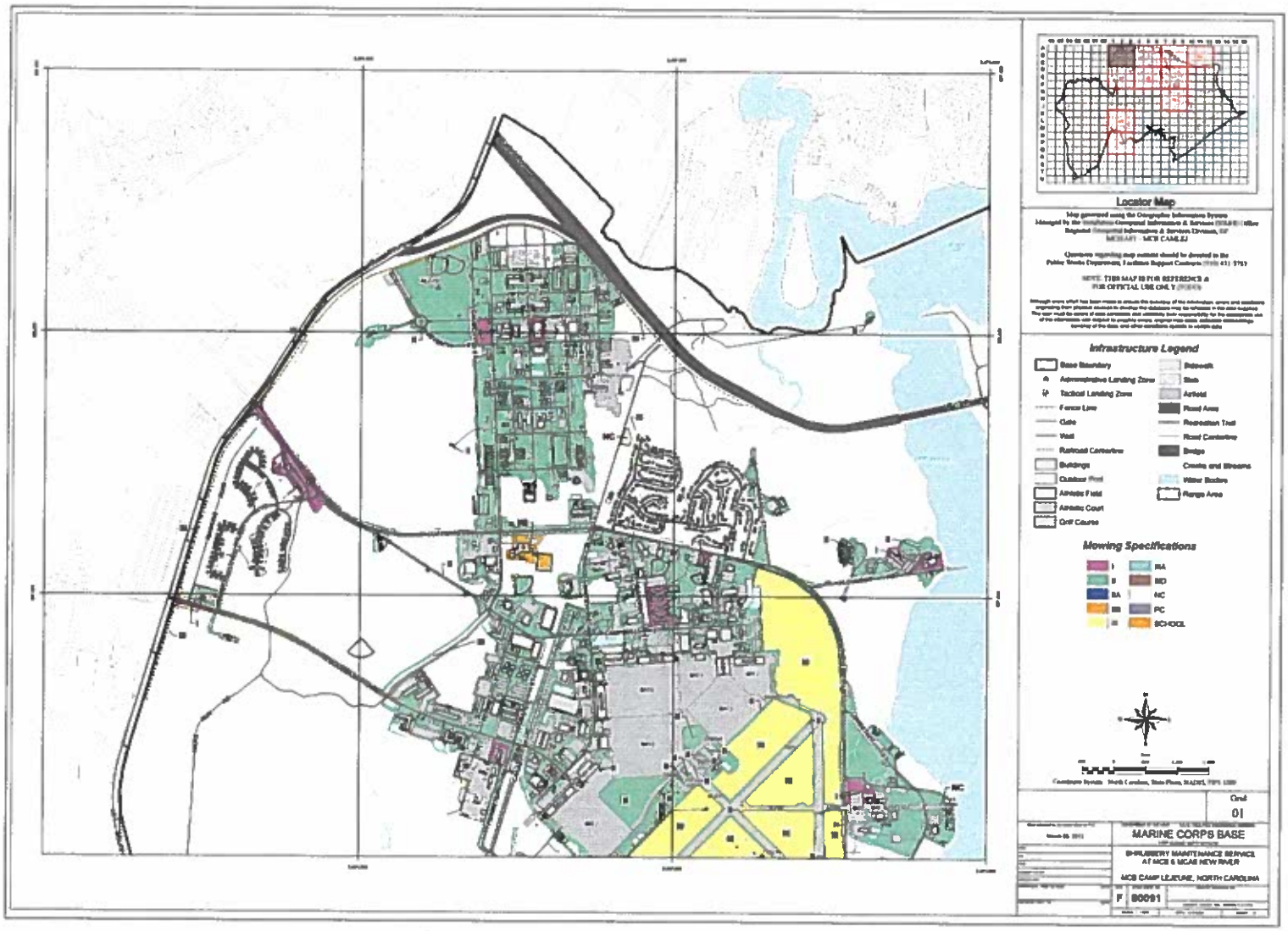
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Infrastructure Legend
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Administrative Landing Zone
Tactical Landing Zone
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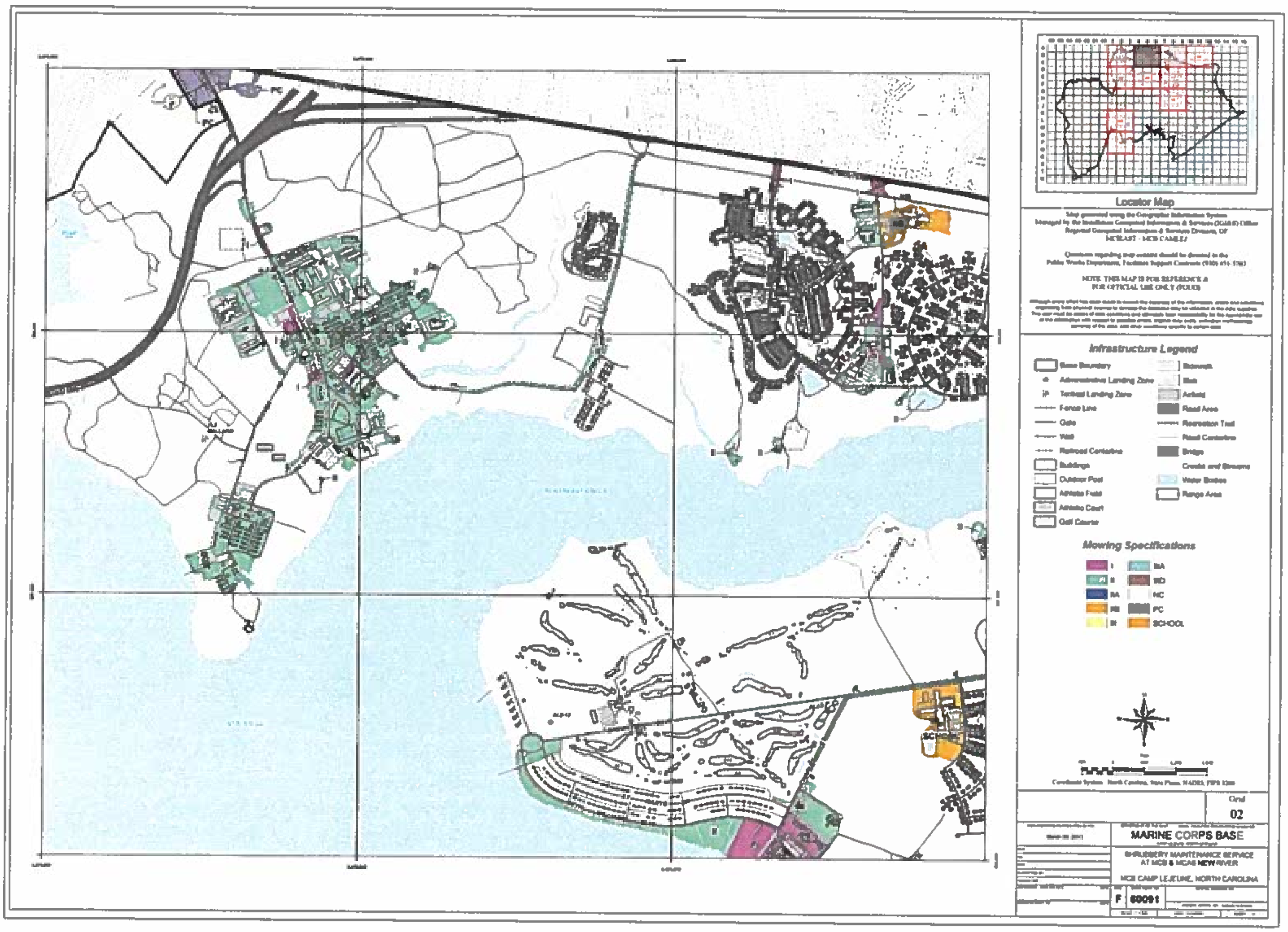
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MARINE CORPS BASE
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MCB CAMP LEJEUNE, NORTH CAROLINA
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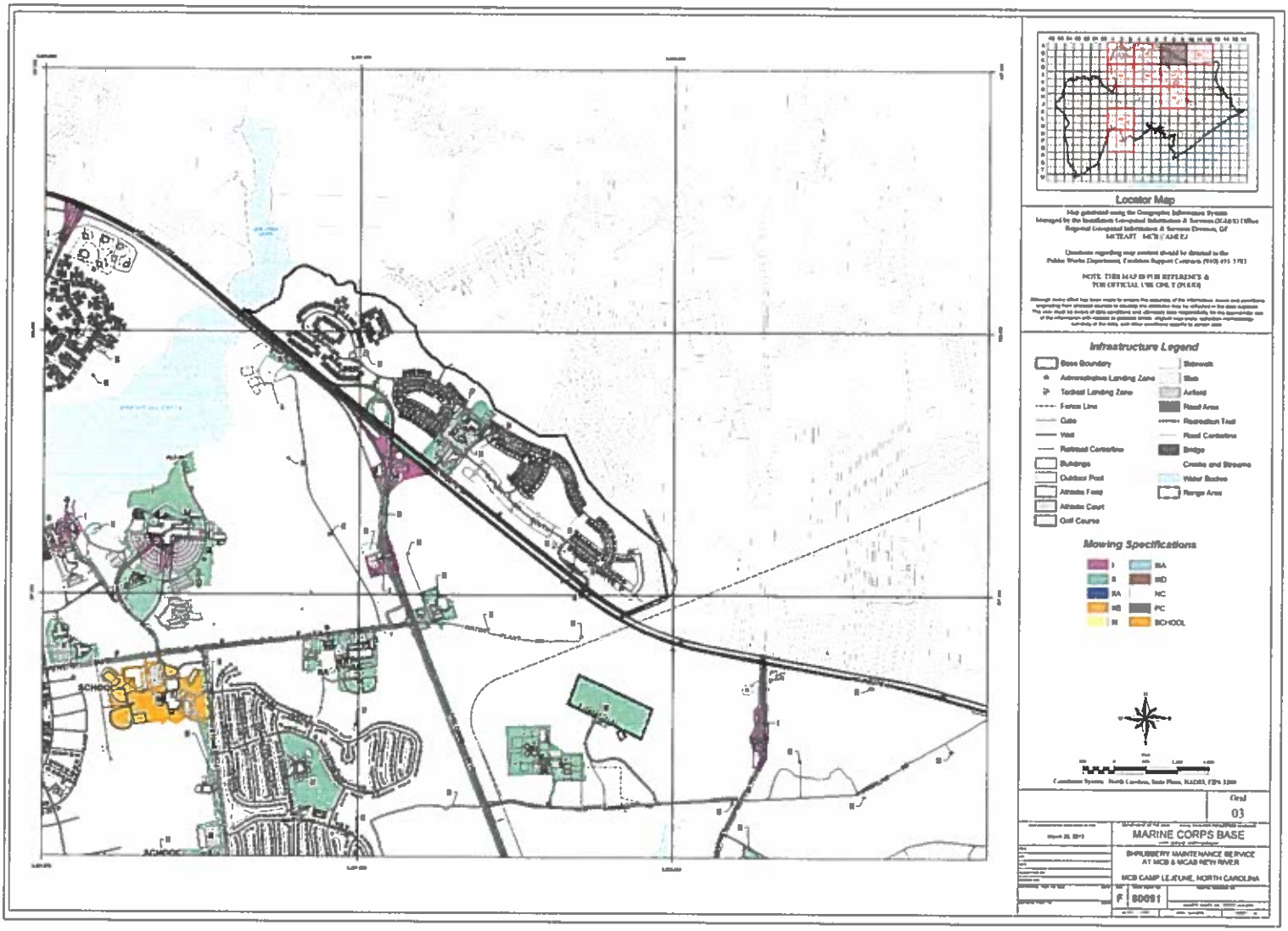
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BASE GROUNDS MAINTENANCE SERVICE
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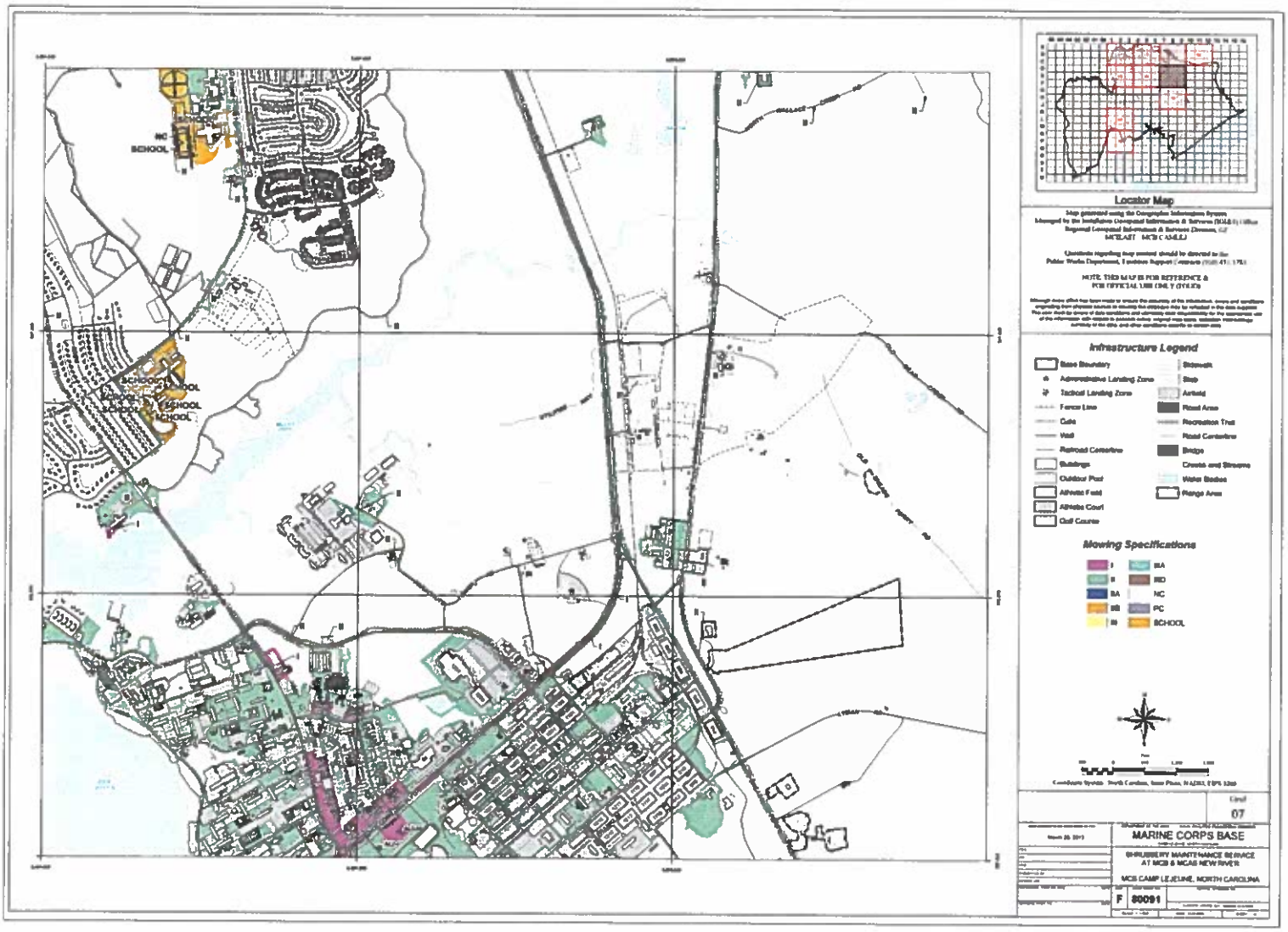
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ATTACHMENT J-1502000-05
PERSONS OF CONTACT

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Chuck Drake:	(910) 451-5361 (Phone) (910) 265-0006 (Mobile) charles.drake@am.dodea.edu
Rich Houghton (For Service Calls Only)	(910) 526-9783

ATTACHMENT J-1502000-06

HVAC SERVICES **(ONLY)**

BUILDING TT-84

SCHOOL	MANUFACTURER	TON	EQUIPMENT	BLDG	QUANTITY	MODEL NUMBER	SERIAL NUMBER
TARAWA TERRACE ELEMENTARY SCHOOL	TRANE	120	AIR COOLED SCROLL	TT84	1	CGAM 120F 2F02 AX02 A1A1 A1AX	U12G31088
TARAWA TERRACE ELEMENTARY SCHOOL	YORK	260	AIR COOLED VARIABLE SPEED	TT84	1	YVAA0275EUV46BA	CM416260

ATTACHMENT J-1502000-07
HVAC EQUIPMENT INVENTORY

EQUIPMENT FOR PREVENTIVE MAINTENANCE

	Description	Model #	S/N	Location	Historical Information
1.	Trane 120 ton air cooled scroll packaged chiller	CGAM 120F 2F02 AX02 AlAl AlAX	Ul2G31088	Tarawa Terrace Elementary School Bldg. TT84 84 Iwo Jima Blvd. Camp Lejeune, NC	5-year warranty on parts and labor expires 10/17/17 on this unit
2	York 260 ton air cooled variable speed screw chiller	YVAA0275EUV46BA	CM-416260	Tarawa Terrace Elementary School Bldg. TT84 84 Iwo Jima Blvd. Camp Lejeune, NC	Chiller installed November 2015, includes 5 year entire parts and labor warranty
3.	York 180 ton air cooled variable speed screw chiller	YVAA0183ABF46A	CM-415660	Delalio Elementary School Bldg. TC1500 1500 Curtis Road MCAS New River, Jacksonville, NC	Unit on site and to be installed in new school building. Unit will be under General Contractor's warranty for one year; includes 5 year entire parts and labor warranty.

EQUIPMENT FOR INTEGRATED MAINTENANCE PROGRAM

	Description	Model #	S/N	Location	Additional Information
4.	York 269 ton rotary screw chiller	YCAS0270EC46XGADBTX	RHMM09319	Johnson Primary School Bldg 2027 2027 Stone Street Camp Lejeune, NC	
5.	York 269 ton rotary screw chiller	YCAS0270EC46XGADBTX	RHMM09320	Johnson Primary School Bldg 2027 2027 Stone Street Camp Lejeune, NC	
6.	Dunham-Bush 180 ton water cooled rotary screw chiller*	WCFX18AR	663ll01A96C	Lejeune High School Bldg 835 835 Stone Street Camp Lejeune, NC	Includes water tower, water treatment of condenser and chill water loop
7.	Trane 90 ton air cooled rotary screw chiller*	RTAA0904YF02A3COK	U96H36317	Lejeune High School Bldg 835 835 Stone Street Camp Lejeune, NC	
8.	Trane 180 ton air cooled rotary screw	RTAC 1854 UW0N UAFN N1TX 1CDB NN6T Nl0A N0EX N	U12L04892	Brewster Middle School Bldg 883	

	chiller			883 Stone Street Camp Lejeune, NC	
9.	Trane 180 ton air cooled rotary screw chiller	RTAC 1854 UW0N UAFN N1TX 1CDB NN6T Nl0A N0EX N	U12L04891	Brewster Middle School Bldg 883 883 Stone Street Camp Lejeune, NC	
10.	York 227 ton air cooled rotary screw chiller	YC1V0227PA46VABSXT	2NWM009118	Heroes Elementary School Bldg. PP201 100 Barnett Way Camp Lejeune, NC	
11.	York 227 ton air cooled rotary screw chiller	YC1V0227PA46VABSXT	2NWM009119	Heroes Elementary School Bldg. PP201 100 Barnett Way Camp Lejeune, NC	
12.	Marley Water Tower*	NC8303CB	NC801403-A1NC8303EICS041	Lejeune High School Bldg 835 835 Stone Street Camp Lejeune, NC	
13.	External Loop/ Condenser Water*			Lejeune High School Bldg 835 835 Stone Street	
14.	Closed Chill Water Loops (5)			Brewster Middle School Bldg 883 883 Stone Street Camp Lejeune, NC Heroes Elementary School Bldg. PP201 100 Barnett Way Camp Lejeune, NC Johnson Primary School Bldg 2027 2027 Stone Street Camp Lejeune, NC *Bitz Intermediate Bldg 2028 **XXX** **XXX**	

				Tarawa Terrace Elementary School Bldg. TT84 84 Iwo Jima Blvd. Camp Lejeune, NC	

***INFORMATIONAL NOTE:**

Units scheduled for replacement under MILCON project. Projected demolition is 1st calendar quarter 2017.

ATTACHMENT J-1502000-08
ANNUAL COOLING TOWER PM CHECKLIST

TASK	DESCRIPTION
1	Check operation of unit for water leaks, noise ands vibration
2	Check and inspect hot water basin.
3	Check electrical wiring and connections, tighten loose connections
4	Lubricate all motor and fan bearings
5	Check fan blades or blowers for unbalance and tip clearance
6	Check belt for war, tension, and alignment; adjust as required
7	Drain and flush cold water sump and clean strainer
8	Clean inside of water tower using water hose; scrape brush, and wipe as
9	Refill with water, check makeup water assembly for leakage, adjust float if
10	Inspect and clean around cooling tower
11	Upon completion, notify the Government of any repairs required to this equipment
12	Complete a MAXIMO Equipment Update Form to verify the location, manufacturer, model, and serial number for this piece of equipment and forward to the Government

ATTACHMENT J-1502000-09
ANNUAL AIR COOLED CHILLER PM CHECKL.IST

TASK	DESCRIPTION
1	Check unit for proper operation, excessive noise and vibration
2	Run system diagnostics test
3	check oil level in sight glass of each compressor, add oil as necessary
4	Check superheat and sub cooling temperatures
5	Check liquid line sight glass, oil, and refrigerate pressures
6	Check contactors, sensors, and mechanical safety limits
7	Check electrical wiring and connections, tighten loose connections
8	Clean intake side of condenser coils, fans, and intake screens per manufacturer's specifications
9	Inspect fan(s) or blower(s) for bent blades or unbalance
10	Lubricate shaft bearings and motor bearings as required
11	Inspect plumbing and valves for leaks, adjust as necessary
12	Check evaporator and condenser for corrosion and deterioration
13	Check voltage reading
14	Adjust belt tension, or replace belts, as required
15	Check piping and unit insulation
16	Perform operations test
17	Clean chiller and surrounding area
18	Upon completion, notify the Government of any repairs required to this equipment
19	Complete a MAXIMO Equipment Update Form to verify the location, manufacturer, model, and serial number for this piece of equipment and forward to the Government

ATTACHMENT J-1502000-09
ANNUAL AIR COOLED CHILLER PM CHECKL.IST

ATTACHMENT J-1502000-10
HISTORICAL SERVICE ORDER WORKLOAD

Estimated Maintenance Based on Historical Data	343
Preventive Maintenance	78
Repair of Equipment Parts and Materials	250

ATTACHMENT J-1502000-11
METER GROUP DESCRIPTIONS

Uniformat Classification & Description	Meter & Description
D3030135 - Chiller, Reciprocating, Air Cooled	CR-5140 - Record the condition of the Compressor
	CR-5155 - Record the condition of the Condenser
	CR-5175 - Record the condition of the Condenser Fan(s) Assembly
	CR-5200 - Record the condition of the Controls
	CR-5295 - Record the condition of the Enclosure
	CR-5305 - Record the condition of the Evaporator
	CR-5520 - Record the condition of the Pipes/Fittings/Valves
	CR-5565 - Record the condition of the Receiver Tank
	CR-5690 - Record the condition of the Wiring/Connections
D3030140 - Chiller, Centrifugal, Water Cooled-Building 835 (Only)	CR-5110 - Record the condition of the Centrifugal Motor
	CR-5140 - Record the condition of the Compressor
	CR-5155 - Record the condition of the Condenser
	CR-5210 - Record the condition of the Controls/Sensors
	CR-5295 - Record the condition of the Enclosure
	CR-5305 - Record the condition of the Evaporator
	CR-5530 - Record the condition of the Piping/Fittings/Valves
	CR-5565 - Record the condition of the Receiver Tank
D3030145 - Chiller, Gas Absorption, Water Cooled	CR-5000 - Record the condition of the Absorber
	CR-5140 - Record the condition of the Compressor
	CR-5155 - Record the condition of the Condenser
	CR-5200 - Record the condition of the Controls
	CR-5295 - Record the condition of the Enclosure
	CR-5305 - Record the condition of the Evaporator
	CR-5430 - Record the condition of the Heat Generator
	CR-5520 - Record the condition of the Pipes/Fittings/Valves
	CR-5555 - Record the condition of the Receiver
	CR-5140 - Record the condition of the Compressor
	CR-5155 - Record the condition of the Condenser
	CR-5200 - Record the condition of the Controls
	CR-5295 - Record the condition of the Enclosure
	CR-5305 - Record the condition of the Evaporator
	CR-5430 - Record the condition of the Heat Generator
	CR-5520 - Record the condition of the Pipes/Fittings/Valves
	CR-5555 - Record the condition of the Receiver
D3030310 - Cooling Tower, Galvanized	CR-5025 - Record the condition of the Basin/Sump
	CR-5280 - Record the condition of the Electrodes
	CR-5325 - Record the condition of the Fan Assembly
	CR-5350 - Record the condition of the Fill Material
	CR-5520 - Record the condition of the Pipes/Fittings/Valves

ATTACHMENT J-1502000-11
METER GROUP DESCRIPTIONS

Uniformat Classification & Description	Meter & Description
D5030910 - Communication/Alarm Systems	CR-5015 - Record the condition of the Annunciator/Control Panel
	CR-5020 - Record the condition of the Audible/Visual Alarm Device
	CR-5030 - Record the condition of the Batteries
	CR-5240 - Record the condition of the Detectors
	CR-5625 - Record the condition of the Switches
	CR-5690 - Record the condition of the Wiring/Connections

ATTACHMENT J-1502000-12
GENERAL DIRECT CONDITION RATING GUIDANCE

Rating	SRM Needs	Rating Definition
Green (+)	Sustainment consisting of possible preventive maintenance (where applicable).	Entire component-section or component-section sample free of observable or known distress.
Green	Sustainment consisting of possible preventive maintenance (where applicable) and minor repairs (corrective maintenance) to possibly few or some subcomponents.	No component-section or sample serviceability* or reliability* reduction. Some, but not all, minor (non-critical) subcomponents may suffer from slight degradation or few major (critical) subcomponents may suffer from slight degradation.
Green (-)		Slight or no serviceability or reliability reduction overall to the component-section or sample. Some, but not all, minor (non-critical) subcomponents may suffer from minor degradation or more than one major (critical) subcomponent may suffer from slight degradation.
Amber (+)	Sustainment or restoration to any of the following: Minor repairs to several subcomponents; or Significant repair, rehabilitation, or replacement of one or more subcomponents, but not enough to encompass the component-section as a whole; or Combinations thereof.	Component-section or sample serviceability or reliability is degraded, but adequate. A very few, major (critical) subcomponents may suffer from moderate deterioration with perhaps a few minor (non-critical) subcomponents suffering from severe deterioration.
Amber		Component-section or sample serviceability or reliability is definitely impaired. Some, but not a majority, major (critical) subcomponents may suffer from moderate deterioration with perhaps many minor (non-critical) subcomponents suffering from severe deterioration.
Amber (-)		Component-section or sample has significant serviceability or reliability loss. Most subcomponents may suffer from moderate degradation or a few major (critical) subcomponents may suffer from severe degradation.
Red (+)	Sustainment or restoration required consisting of major repair, rehabilitation, or replacement to the component-section as a whole.	Significant serviceability or reliability reduction in component–section or sample. A majority of subcomponents are severely degraded and others may have varying degrees of degradation.
Red		Severe serviceability or reliability reduction to the component-section or sample such that it is barely able to perform. Most subcomponents are severely degraded.
Red (-)		Overall component-section degradation is total. Few, if any, subcomponents salvageable. Complete loss of component-section or sample serviceability.

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5000	GREEN: Absorber has minimal damage and corrosion, but no leaks AMBER: Absorber has noticeable damage and corrosion, but minimal leaks and is still operational RED: Absorber has significant damage and corrosion, and noticeable leaks, operationally impaired
CR-5015	GREEN: Annunciator/Control Panel has minimal damage, alarm component fully operational AMBER: Annunciator/Control Panel has minimal signs of wear, but alarm component functions properly RED: Annunciator/Control Panel has noticeable damage, and/or alarm component does not function properly
CR-5020	GREEN: Alarms function properly AMBER: None RED: Alarms do not function properly
CR-5025	GREEN: Sump has minimal damage or corrosion, no leaking AMBER: Sump has noticeable damage or corrosion, but no leaking RED: Sump has significant damage or corrosion, and noticeable leaking, operationally impaired
CR-5030	GREEN: Batteries provide adequate power to the device. AMBER: None. RED: Batteries do not provide adequate power to the device.
CR-5035	GREEN: Battery Rack shows little to no signs of corrosion or damage. AMBER: Battery Rack shows minimal to noticeable corrosion or damage, but rack is structurally sound RED: Battery Rack shows significant signs of corrosion and/or the rack is significantly damaged, rack is structurally unsound.
CR-5045	GREEN: Pump has minimal damage or corrosion, no unusual noise/vibration, no leaks, and is fully operational AMBER: Pump has noticeable damage or corrosion, slight leaking, unusual noise/vibration, but still operational RED: Pump has significant damage or corrosion, excessive noise/vibration, noticeable leaking, and/or is operationally impaired
CR-5050	GREEN: Brakes have minimal wear AMBER: Brakes have noticeable wear, may exhibit unusual noise, but are still operational RED: Brakes have significant wear, excessive noise, or may not function properly
CR-5055	GREEN: Breaker successfully trips when circuit is overloaded/shorted out. Fuse is not burnt out. AMBER: Breaker has been tripped RED: Breaker does not successfully trip when circuit is overloaded/shorted out. Fuse is burnt out.
CR-5060	GREEN: Burners have minimal damage or corrosion, but is fully operational AMBER: Burners have noticeable damage or corrosion, flame quality may need adjustment, but still operationally sound RED: Burners have significant damage or corrosion, may be loose or displaced, improper flame, and is not operationally sound
CR-5070	GREEN: Busings/Insulators show little to no signs of damage or wear, fully operational AMBER: Bushings/Insulators have noticeable damage or wear, but still operational RED: Busings/Insulators have significant damage or wear, operationally impaired
CR-5075	GREEN: Minimal damage or corrosion on enclosure, fully secured AMBER: Noticeable damage/corrosion to enclosure, may be slightly detached, loose or displaced RED: Significant damage/corrosion to enclosure, loose, displaced, or missing
CR-5085	GREEN: Cable/Chain has minimal wear, no damage, functions properly AMBER: Cable/Chain has noticeable wear, minimal damage, may need adjustment but still functions RED: Cable/Chain has significant wear, excessive damage, and does not function properly

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5090	GREEN: Car Supporting Platform/Frame has no damage, is structurally sound AMBER: Car Supporting Platform/Frame has noticeable damage or corrosion, but no loss of structural integrity RED: Car Supporting Platform/Frame has significant damage and corrosion, structural integrity significantly impaired
CR-5095	GREEN: Car Operating Panel/Indicator has minimal damage and corrosion, fully operational AMBER: Car Operating Panel/Indicator has noticeable damage and corrosion, still operational RED: Car Operating Panel/Indicator has significant damage and corrosion, operationally impaired
CR-5100	GREEN: Safety Buffers have minimal deterioration or damage, fully operational AMBER: Safety Buffers have noticeable deterioration or damage, still operational RED: Safety Buffers have significant deterioration or damage, operationally impaired
CR-5110	GREEN: Motor operates properly, free of excessive noise/vibration, or overheating AMBER: Motor exhibits unusual noise/vibration, but still operational, may require maintenance RED: Motor exhibits excessive noise/vibration, overheating, and/or operation is significantly impaired
CR-5115	GREEN: Hook has minimal damage or wear, and is fully secured AMBER: Hook has noticeable damage or wear, but is still securely fastened RED: Hook has significant damage, connections not secure
CR-5120	GREEN: Coils have minimal scaling and free of debris. AMBER: Coils are clogged, or show significant scaling and deterioration, but minimal damage. RED: Coils are clogged, show some signs of damage, or significant scaling and deterioration.
CR-5125	GREEN: Coils have minimal scaling and free of debris. AMBER: Coils are clogged, or show significant scaling and deterioration, but minimal damage. RED: Coils are clogged, show some signs of damage, or significant scaling and deterioration.
CR-5135	GREEN: Comb Plates have minimal deterioration and damage, and are not loose or displaced AMBER: Comb Plates have noticeable deterioration and damage, but are not loose or displaced RED: Comb Plates have significant deterioration and damage, may be noticeably loose, displaced, or misaligned
CR-5140	GREEN: No excessive noise, vibration, or overheating from compressor, little to no damage and fully operational AMBER: Excessive Noise, Vibration, or overheating noticeable from compressor, but compressor is still functional RED: Unacceptable Noise, Vibration, or overheating from compressor, significant damage, and/or operationally impaired
CR-5145	GREEN: Piping/fittings free of leaks, all connections are tight, valves operate properly, insulation is in place, minimal corrosion AMBER: Piping/Fittings show noticeable signs of corrosion, missing or damaged insulation, but connections are tight and no leaking RED: Piping/Fittings are damaged and leaking, valves are not functioning, significant internal scale and corrosion may lead to clogs
CR-5150	GREEN: Pump has minimal damage or corrosion, no unusual noise/vibration, no leaks, and is fully operational AMBER: Pump has noticeable damage or corrosion, slight leaking, unusual noise/vibration, but still operational RED: Pump has significant damage or corrosion, excessive noise/vibration, noticeable leaking, and/or is operationally impaired
CR-5155	GREEN: Minimal corrosion or fouling of the condenser/coils, no damage AMBER: Minimal to noticeable signs of corrosion on coils, or coils are clogged, still operational RED: Significant damage, corrosion or fouling of the condenser/coils, no damage, operationally impaired

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5175	GREEN: Motor operates properly, free of excessive noise/vibration, or overheating AMBER: Motor exhibits unusual noise/vibration, but still operational, may require maintenance RED: Motor exhibits excessive noise/vibration, overheating, and/or operation is significantly impaired
CR-5185	GREEN: Coils have minimal scaling and free of debris. AMBER: Coils are clogged, or show significant scaling and deterioration, but minimal damage. RED: Coils are clogged, show some signs of damage, or significant scaling and deterioration.
CR-5195	GREEN: Controls function properly AMBER: Controls need calibrating RED: Controls are damaged and/or not operational
CR-5200	GREEN: Controls function properly AMBER: Controls need calibrating RED: Controls are damaged and/or not operational
CR-5210	GREEN: Controls function properly AMBER: Controls need calibrating RED: Controls are damaged and/or not operational
CR-5220	GREEN: Radiator has minimal damage and corrosion, Fins are straight allowing good airflow, Flow rate is adequate AMBER: Radiator has noticeable damage and corrosion, some Fins are bent but still allow good airflow though system, Flow rate is less than usual, but still functional RED: Radiator has significant damage and corrosion, many fins are bent and preventing air flow, Flow is blocked or slowed, operationally impaired
CR-5225	GREEN: Crane Unit shows minimal signs of wear, no loose components, structurally sound, fully operational AMBER: Crane Unit shows noticeable signs of damage or wear, but no loose or missing components, and still operational RED: Crane Unit shows significant signs of damage or wear, may have missing or loose components, comprised structural integrity, or is operationally impaired
CR-5230	GREEN: Crank Case Heater fully functional AMBER: None RED: Crank Case Heater is operationally impaired
CR-5235	GREEN: Damper has minimal damage, is secured and aligned properly, and fully operational AMBER: Damper has noticeable damage and corrosion, may be slightly loose or misaligned, but still operational RED: Damper has significant damage and corrosion, noticeably loose, misaligned, or missing, and/or operationally impaired
CR-5240	GREEN: Detectors function properly AMBER: None RED: Detectors do not function properly
CR-5245	GREEN: Disconnect/Safety Switch is present and works properly AMBER: None RED: Disconnect/Safety Switch is missing or not functional
CR-5250	GREEN: Door has minimal damage and corrosion, is square and securely fastened AMBER: Door has noticeable damage and corrosion, may be slightly displaced, but does not affect door operation or safety RED: Door has significant damage and/or corrosion, noticeably displaced, and may be structurally unsound or affect door operation
CR-5255	GREEN: Car Doors have minimal damage or wear, door operation is smooth AMBER: Car Doors have noticeable damage or wear, doors are operational but may need adjustments RED: Car Doors have significant damage or corrosion, doors are operationally impaired

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5260	GREEN: Drain Pan has minimal damage or corrosion AMBER: Drain Pan has noticeable damage or corrosion, but no leaks RED: Drain Pan has significant damage or corrosion, and noticeable leaks
CR-5265	GREEN: Motor operates properly, free of excessive noise/vibration, or overheating AMBER: Motor exhibits unusual noise/vibration, but still operational, may require maintenance RED: Motor exhibits excessive noise/vibration, overheating, and/or operation is significantly impaired
CR-5275	GREEN: Ductwork has little to no damage or corrosion, insulation is intact and there are no holes, leaks, or blockages AMBER: Ductwork has noticeable damage or corrosion, but minimal leaks or blockages RED: Ductwork has significant damage or corrosion, holes, punctures, leaks, or blockages. Operation is severely impaired
CR-5280	GREEN: Conductivity Electrodes have minimal damage and corrosion, secure connections and fully functional AMBER: Conductivity Electrodes have noticeable damage and corrosion, some loose connections but still functional RED: Conductivity Electrodes have significant damage and corrosion, loose or missing connections, operationally impaired
CR-5285	GREEN: Controls function properly AMBER: Controls need calibrating RED: Controls are damaged and/or not operational
CR-5290	GREEN: Encasement/Deflector has minimal damage or deterioration, and is fully secured AMBER: Encasement/Deflector has noticeable damage or deterioration, some panels may be loose or displaced RED: Encasement/Deflector has significant damage, panels are displaced or missing
CR-5295	GREEN: Minimal damage and corrosion on Enclosure, fully secured AMBER: Noticeable damage/corrosion to Enclosure, Panels may be slightly detached, loose or displaced RED: Significant damage/corrosion to Enclosure, a number of panels are loose, displaced, or missing
CR-5300	GREEN: Engine operates properly, free of excessive noise/vibration, no fluid leaks or overheating AMBER: Engine exhibits unusual noise/vibration, minor fluid leaks but still operational, may require maintenance RED: Engine exhibits excessive noise/vibration, overheating, noticeable fluid leaks, and/or operation is significantly impaired
CR-5305	GREEN: Minimal corrosion or fouling of the evaporator/coils, no damage AMBER: Minimal to noticeable signs of corrosion on coils, or coils are clogged, still operational RED: Significant damage, corrosion or fouling of the evaporator/coils, operationally impaired
CR-5315	GREEN: Exhaust has minimal damage and corrosion, suppresses engine noise AMBER: Exhaust has noticeable damage and corrosion, engine noise is louder than usual RED: Exhaust has significant damage and corrosion, engine noise not being surprised
CR-5325	GREEN: Fan blades are in balance and free of damage or corrosion AMBER: Excessive Noise/Vibration, but blades not bent or corroded, fully operational RED: Fans blades are out of balance, significantly bent or corroded, or fan is operationally impaired
CR-5330	GREEN: Fan blades are in balance and free of damage or corrosion AMBER: Excessive Noise/Vibration, but blades not bent or corroded, fully operational RED: Fans blades are out of balance, significantly bent or corroded, or fan is operationally impaired
CR-5335	GREEN: Fan blades are in balance and free of damage or corrosion AMBER: Excessive Noise/Vibration, but blades not bent or corroded, fully operational RED: Fans blades are out of balance, significantly bent or corroded, or fan is operationally impaired
CR-5340	GREEN: Fan blades are in balance and free of damage or corrosion AMBER: Excessive Noise/Vibration, but blades not bent or corroded, fully operational RED: Fans blades are out of balance, significantly bent or corroded, or fan is operationally impaired

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5345	GREEN: Feed Water System has no damage or leaks, fully operational AMBER: Feed Water System has noticeable damage or corrosion, may have slight leaks but still operational RED: Feed Water System has significant damage or corrosion, noticeable leaks, and does not function properly
CR-5350	GREEN: Filter has minimal to no dirt and debris, free of damage AMBER: Filter shows noticeable signs of debris, but little to no damage allowing unobstructed flow RED: Air Filter clogged with dirt and debris, or shows signs of damage such as, punctures, tears, rips
CR-5365	GREEN: Firebox has minimal damage or corrosion AMBER: Firebox has noticeable damage or corrosion, but no cracks or holes RED: Firebox has significant damage or corrosion, cracks or holes may be present
CR-5370	GREEN: Flue has minimal damage, is secured and aligned properly, and fully operational AMBER: Flue has noticeable damage and corrosion, may be slightly loose or misaligned, but still operational RED: Flue has significant damage and corrosion, noticeably loose, misaligned, or missing, and/or operationally impaired
CR-5375	GREEN: Supports have minimal damage and corrosion, are fully stable and secure AMBER: Supports have noticeable damage and corrosion, but still structurally stable and secure RED: Supports have significant damage and corrosion, and/or unstable or not secured
CR-5380	GREEN: Little to no damage or corrosion, secure connections, no leaks, fully operational AMBER: Fuel System has noticeable damage or corrosion, but free of leaks, fully operational RED: Fuel System has significant damage or corrosion, significant leaking, and/or is operationally impaired
CR-5385	GREEN: Fuel Tank and Pump has little to no damage, no leaks, fully operational AMBER: Fuel Tank and Pump has some noticeable damage, but no leaks and fully operational RED: Fuel Tank and Pump has significant damage and corrosion, may have leaks, or is operationally impaired
CR-5390	GREEN: Gaskets/Seals are fully intact, no leaks AMBER: Gaskets/Seals experience slight leaking RED: Gaskets/Seals show noticeable signs of leaks
CR-5400	GREEN: Generator is fully operational, no excess noise, vibration, or overheating AMBER: Generator exhibits excess noise or vibration, but no overheating and is still operational RED: Generator exhibits excess noise, vibration, or overheating, and/or is operationally impaired
CR-5405	GREEN: No damage to grounding system, all connections are secure, fully operational AMBER: Slight damage or corrosion, but connections are secure and Grounding System is operational RED: Significant damage or corrosion, loose or missing connections, inadequately grounded
CR-5410	GREEN: Guide Wheels show little to no wear or damage, are securely fastened, and fully functional AMBER: Guide Wheels have noticeable wear, may have slight damage, but are secure and still operational RED: Guide Wheels have significant damage, may be loose, displaced, missing, or operationally impaired
CR-5415	GREEN: Guides/Stops/Rollers/Pulleys show no signs of wear or damage, and are properly secured and aligned AMBER: Guides/Stops/Rollers/Pulleys show slight wear, and/or may be slightly loose or misaligned RED: Guides/Stops/Rollers/Pulleys have noticeable damage or wear, and are insecurely fastened and/or misaligned
CR-5420	GREEN: Handrails have minimal damage or corrosion, and are fully secured AMBER: Handrails have noticeable damage or corrosion, slightly loose but still operational RED: Handrails have significant damage or corrosion, noticeable loose or missing

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5430	GREEN: Heating Element has little to no damage or corrosion, and is fully operational AMBER: Heating Element has noticeable damage or corrosion, but still operational RED: Heating Element has significant damage or corrosion, operationally impaired
CR-5435	GREEN: Motor operates properly, free of excessive noise/vibration, or overheating AMBER: Motor exhibits unusual noise/vibration, but still operational, may require maintenance RED: Motor exhibits excessive noise/vibration, overheating, and/or operation is significantly impaired
CR-5440	GREEN: Hook has minimal damage or wear, and is fully secured AMBER: Hook has noticeable damage or wear, but is still securely fastened RED: Hook has significant damage, connections not secure
CR-5445	GREEN: Motor operates properly, free of excessive noise/vibration, or overheating AMBER: Motor exhibits unusual noise/vibration, but still operational, may require maintenance RED: Motor exhibits excessive noise/vibration, overheating, and/or operation is significantly impaired
CR-5450	GREEN: Pan has minimal damage or corrosion AMBER: Pan has noticeable damage or corrosion, but no leaks RED: Pan has significant damage or corrosion, and noticeable leaks
CR-5455	GREEN: Motor operates properly, free of excessive noise/vibration, or overheating AMBER: Motor exhibits unusual noise/vibration, but still operational, may require maintenance RED: Motor exhibits excessive noise/vibration, overheating, and/or operation is significantly impaired
CR-5460	GREEN: Motor operates properly, free of excessive noise/vibration, or overheating AMBER: Motor exhibits unusual noise/vibration, but still operational, may require maintenance RED: Motor exhibits excessive noise/vibration, overheating, and/or operation is significantly impaired
CR-5465	GREEN: Insulation has minimal deterioration, and is mostly in place where necessary AMBER: Insulation has noticeable deterioration, portions may be loose or displaced, but mostly intact RED: Insulation is significantly damaged, or large portions are displaced or missing
CR-5475	GREEN: Interlocks have no damage, none are loose or missing AMBER: A small number of interlocks are damaged, loose, or missing RED: Significant number of interlocks are damaged, loose or missing
CR-5480	GREEN: Lamps/Lamp Heads have minimal damage or deterioration, are secure, and fully operational AMBER: Lamps/Lamp Heads have noticeable damage or deterioration, some may be loose, but still operational RED: Lamps/Lamp Heads have significant damage or deterioration, a significant number may be loose or missing, and/or operationally impaired
CR-5485	GREEN: Platform has little to no damage or deterioration, and is structurally sound AMBER: Platform has noticeable damage or deterioration, but still structurally sound RED: Platform has significant damage or deterioration, may be loose or unstable
CR-5490	GREEN: Hydraulic Piston Well has minimal damage, deterioration, no cracks or leaks, fully secured AMBER: Hydraulic Piston Well has noticeable damage, deterioration, but no cracks or leaks, still operational RED: Hydraulic Piston Well has significant damage, deterioration, cracks or leaks, operationally impaired
CR-5495	GREEN: Louvers have minimal damage and corrosion, fully secured AMBER: Louvers have noticeable damage and corrosion, may be loose but still operational RED: Louvers have significant damage and corrosion, may be loose, missing, and/or operationally impaired

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5500	GREEN: Meters show no damage, are fully operational and properly calibrated AMBER: Meter show some damage, are fully functional but may need calibration RED: Meter has significant damage, does not function properly
CR-5505	GREEN: Motor operates properly, free of excessive noise/vibration, or overheating AMBER: Motor exhibits unusual noise/vibration, but still operational, may require maintenance RED: Motor exhibits excessive noise/vibration, overheating, and/or operation is significantly impaired
CR-5510	GREEN: Motor Rotor has minimal wear, fully functional AMBER: Motor Rotor has noticeable signs of wear, still operational RED: Motor Rotor shows excessive signs of wear or damage, operationally impaired
CR-5515	GREEN: Nozzles show no signs of damage, corrosion, or clogging, fully operational AMBER: Nozzles have some damage, corrosion, or clogs, noticeable obstruction of flow, but operational RED: Nozzles have significant damage and corrosion, severely obstructed flow, operationally impaired
CR-5520	GREEN: Piping/fittings free of leaks, all connections are tight, valves operate properly, insulation is in place, minimal corrosion AMBER: Piping/Fittings show noticeable signs of corrosion, missing or damaged insulation, but connections are tight and no leaking RED: Piping/Fittings are damaged and leaking, valves are not functioning, significant internal scale and corrosion may lead to clogs
CR-5530	GREEN: Piping/fittings free of leaks, all connections are tight, valves operate properly, insulation is in place, minimal corrosion AMBER: Piping/Fittings show noticeable signs of corrosion, missing or damaged insulation, but connections are tight and no leaking RED: Piping/Fittings are damaged and leaking, valves are not functioning, significant internal scale and corrosion may lead to clogs
CR-5535	GREEN: Valve has little to no damage or corrosion, is fully operational AMBER: Valve shows some damage or corrosion, valve functions but may require calibration RED: Valve has significant damage or corrosion, is operationally impaired
CR-5540	GREEN: Tank has little to no damage or corrosion, no leaks, insulation is intact where applicable, stable and secure AMBER: Tank has some damage or corrosion, insulation may be mission, very minor leaks may be present, but overall holds its contents, is stable and secure RED: Tank has noticeable damage, punctures, holes, and leaks, may be unstable or not fully secured
CR-5555	GREEN: Tank has little to no damage or corrosion, no leaks, insulation is intact where applicable, stable and secure AMBER: Tank has some damage or corrosion, insulation may be mission, very minor leaks may be present, but overall holds its contents, is stable and secure RED: Tank has noticeable damage, punctures, holes, and leaks, may be unstable or not fully secured
CR-5560	GREEN: Pump has minimal damage or corrosion, no unusual noise/vibration, no leaks, and is fully operational AMBER: Pump has noticeable damage or corrosion, slight leaking, unusual noise/vibration, but still operational RED: Pump has significant damage or corrosion, excessive noise/vibration, noticeable leaking, and/or is operationally impaired
CR-5565	GREEN: Tank has little to no damage or corrosion, no leaks, insulation is intact where applicable, stable and secure AMBER: Tank has some damage or corrosion, insulation may be mission, very minor leaks may be present, but overall holds its contents, is stable and secure RED: Tank has noticeable damage, punctures, holes, and leaks, may be unstable or not fully secured

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5570	GREEN: Valve has little to no damage or corrosion, is fully operational AMBER: Valve shows some damage or corrosion, valve functions but may require calibration RED: Valve has significant damage or corrosion, is operationally impaired
CR-5575	GREEN: Roof/Wall Sleeve has minimal damage or corrosion, securely fastened, no leaks AMBER: Roof/Wall Sleeve has noticeable damage or corrosion, may be loosely fastened, but still functional RED: Roof/Wall Sleeve has significant damage, corrosion, cracks or holes, and may be loose, missing, or experience leaking
CR-5580	GREEN: Controls function properly AMBER: Controls need calibrating RED: Controls are damaged and/or not operational
CR-5585	GREEN: Silencer/Muffler has minimal damage and corrosion, baffles effectively suppress exhaust noise AMBER: Silencer/Muffler has noticeable damage / corrosion, exhaust noise is unusually loud, still functional RED: Silencer/Muffler has significant damage / corrosion, exhaust noise is excessively loud, not functional
CR-5590	GREEN: Valve has little to no damage or corrosion, is fully operational AMBER: Valve shows some damage or corrosion, valve functions but may require calibration RED: Valve has significant damage or corrosion, is operationally impaired
CR-5600	GREEN: Step Risers/Tread have minimal damage or deterioration, fully secured and aligned AMBER: Step Risers/Tread have noticeable damage or deterioration, are mostly secure and operational RED: Step Risers/Tread have significant deterioration, damage, corrosion, or are loose or misaligned
CR-5610	GREEN: Structural Frame has minimal damage and corrosion, is square and securely fastened AMBER: Structural Frame has noticeable damage and corrosion, may be slightly displaced, but does not affect door operation or safety RED: Structural Frame has significant damage and/or corrosion, noticeably displaced, and may be structurally unsound or affect door operation
CR-5615	GREEN: Pump has minimal damage or corrosion, no unusual noise/vibration, no leaks, and is fully operational AMBER: Pump has noticeable damage or corrosion, slight leaking, unusual noise/vibration, but still operational RED: Pump has significant damage or corrosion, excessive noise/vibration, noticeable leaking, and/or is operationally impaired
CR-5620	GREEN: Anchors/Cables/Tie Backs show no damage, deterioration and corrosion, fully secure AMBER: Anchors/Cables/Tie Backs show minimal wear or deterioration, but are still fully secure and stable RED: Anchors/Cables/Tie Backs have noticeable damage, deterioration and/or corrosion, loosely secured or unstable, may jeopardize safety
CR-5625	GREEN: Switches function properly AMBER: None RED: Switches do not function properly
CR-5630	GREEN: Switches function properly AMBER: None RED: Switches do not function properly
CR-5640	GREEN: Switching Device functions properly AMBER: None RED: Switching Device does not function properly

ATTACHMENT J-1502000-13
METER GROUP CONDITION RATING GUIDANCE

Meter	Direct Condition Rating Guidance
CR-5650	GREEN: Transformer has shows little to no sign of damage, no excessive noise or vibration or overheating, fully operational AMBER: Transformer shows some noticeable damage, and excessive noise or vibration, but no overheating and is operational RED: Transformer shows significant damage, is overheated, and/or is significantly operationally impaired
CR-5655	GREEN: Bearings operate smoothly, no excessive noise or vibration AMBER: Unusual Noise and/or Vibration from the bearings, operation is less than smooth RED: Excessive Noise and/or Vibration from bearings, operation significantly impaired
CR-5660	GREEN: Trolley Drive has minimal to no damage, operation is smooth, fully functional AMBER: Trolley Drive has noticeable damage, wear, may require adjustments but is fully functional RED: Trolley Drive has significant damage or wear, operation is significantly impaired
CR-5665	GREEN: Trolley Wheels show little signs of wear, completely secure, and fully operational AMBER: Trolley Wheels have noticeable wear, but wheels are secure and operational RED: Trolley Wheels have significant wear, loose or missing hardware, operationally impaired
CR-5680	GREEN: UPS Alarm System functions properly AMBER: None RED: UPS Alarm System does not function properly
CR-5690	GREEN: Wiring is protected/insulated and connections are secure AMBER: Wiring is may be frayed but not exposed, connection are generally secure, no noticeable risk of unintentional grounding RED: Wiring is significantly deteriorated or frayed, connection are loose, or risk of unintentional grounding

FUNCTIONAL ASSESSMENT PLAN (FAP)

FACILITY INVESTMENT

1502000

FACILITY INVESTMENT FAP

Assessment Levels (AL)

AL1	**Start assessment at this Level**
AL2	**Add this Level if Contractor performance for AL1 is Unsatisfactory**
AL3	**Add this Level if Contractor performance at AL1 or AL2 is Unsatisfactory**

Note: Return to appropriate Assessment Level when performance improves.

Assessment Frequency (Freq)

- **A – Annually**
- **Q – Quarterly**
- **M – Once per month**
- **BW – Once every 13-16 days**
- **W – Once per week**
- **R – As required**

Method of Assessment (MOA)

- **PS – Periodic Sampling**
- **VCC – Validated Customer Complaints**
- **UV – Unscheduled Visits**
- **CE – Customer's Evaluation**

Note: The first method listed in the MOA column below is the primary assessment method.

Spec Item	Performance Objective (ALL INCLUSIVE CONTRACT)	Performance Standard	MOA	Assessment Level			Sample Size			Freq
				AL1	AL2	AL3	UOM (total)	Normal	Reduced	
3.1	**Service Orders** The Contractor shall perform service order work in a timely manner and ensure installed equipment and systems are restored to a safe, normal working condition and function properly.	Service order work is responded to and completed within the specified time. Installed equipment and systems are restored to normal working condition, including recertification is applicable. When repair is complete the installed equipment and system does not present danger to personnel or equipment.	PS VCC		N/A	N/A		10%	5%	M
3.1.1	**Emergency Service Orders** The Contractor shall respond to emergency service orders and arrest emergent conditions to minimize and mitigate damage to installed equipment and systems and danger to personnel.	Emergency service orders responded to within two (2) hours of receipt of call. Emergency service orders are arrested with two (2) hours of receipt of call. Work is continued without interruption until emergent condition is arrested.	PS VCC	N/A		N/A		10%	N/A	M

Spec Item	Performance Objective (ALL INCLUSIVE CONTRACT)	Performance Standard	MOA	Assessment Level			Sample Size			Freq
				AL1	AL2	AL3	UOM (total)	Normal	Reduced	
3.1.2	**Routine Service Orders** The Contractor shall complete routine service orders in a timely manner and installed equipment and systems are restored to a safe, normal working condition and function properly.	Routine service orders are completed within eight (8) hours.	PS VCC	N/A		N/A		10%	N/A	M
3.2	**Preventive Maintenance (PM) Program** The Contractor shall develop and implement a PM program for installed equipment and systems to ensure proper operation, to minimize breakdowns, and to maximize useful life.	Maintenance is accomplished in accordance with the Contractor's PM program and work schedule. PM is performed in accordance with manufacturers' recommended procedures and OEM standards.	PS		N/A	N/A		10%	5%	M
3.2.1	**HVAC Systems** The Contractor shall maintain HVAC and refrigeration systems to ensure proper operation, to minimize breakdowns, and to maximize useful life.	Maintenance is performed in accordance with Contractor's IMP and work schedule. When a problem or a need for repair is identified, the Contractor shall respond within two (2) hours and complete the repair within 48 hours. Systems and equipment are maintained and repaired to sustain a fully functional and operable condition in accordance with OEM specifications. When repair is complete the facility, system, or equipment does not present any hazard or danger to personnel.	PS	N/A		N/A		10%	N/A	M

Spec Item	Performance Objective (ALL INCLUSIVE CONTRACT)	Performance Standard	MOA	Assessment Level			Sample Size			Freq
				AL1	AL2	AL3	UOM (total)	Normal	Reduced	
3.3	**Integrated Maintenance Program (IMP)** The Contractor shall develop and implement an IMP program for installed equipment and systems to ensure they are safe, fully functional, and operational per Section F.	Maintenance is performed in accordance with Contractor's IMP and work schedule. When a problem or a need for repair is identified, the Contractor shall respond within two hours and complete the repair within 48 hours. Systems and equipment are maintained and repaired to sustain a fully functional and operable condition in accordance with OEM specifications. When repair is complete the facility, system, or equipment does not present any hazard or danger to personnel.	PS	N/A		N/A		10%	N/A	M

MONTHLY PERFORMANCE ASSESSMENT SUMMARY

Contract #: N40085-16-R-6361 **Installation/Site:** _____
Annex/sub-annex: 1502000 Facility Investment **Month/Year:** _____

Spec Item	Title	AL1 Rating						AL2/AL3 Rating			VCC	Safety	
		E	VG	S	M	U	# Samples	A	U	# Samples		Issues	# Samples
3.1	Service Orders												
3.1.1	Emergency Service Orders												
3.1.2	Routine Service Orders												
3.2	Preventive Maintenance (PM) Program												
3.2.1	HVAC Systems												
3.3	Integrated Maintenance Program (IMP)												

Comments:

Recommended Actions:

	Technical Ratings (mark using "X")				
	E	VG	S	M	U
Overall Technical Rating for Recurring Work					
Overall Technical Rating for Non-recurring Work					

SPAR Signature: _____ **Date:** _____

PERFORMANCE ASSESSMENT PLAN

N40085-16-R-6361
Lejeune Schools Chiller/Water Tower/Chill Water Loop Maintenance

Marine Corps Base
Camp Lejeune, NC

PREPARED BY:

Facilities Support Contracts (FSC)

2 May 2016

Performance Assessment Plan Contents

List of Attachments

Performance Assessment Plan

1. Introduction

1.1 Purpose

The Performance Assessment Plan (PAP) establishes Performance Assessment (PA) provisions for Contract N40085-16-R-6361, Lejeune Schools Chiller/Water Tower/Chill Water Loop Maintenance.

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). The PAP includes the Functional Assessment Plan (FAP), Attachment A, and standard Performance Assessment Worksheets (PAW), Attachment B, to document and report Government observations of Contractor performance. The Government's role is to assess Contractor's work against measurable performance standards, and per the principles of Performance Based Services Acquisition (PBSA), the Contractor's role is to ensure its quality through successful implementation of its Quality Management System (QMS). Per FAR Subpart 46.4, Government PA "shall be performed at such times and places as may be necessary to determine that the supplies or services conform to contract requirements" in order to ensure payments are made only for services that meet performance standards specified in the contract.

1.2 Partnering

Effective partnering and establishing a positive relationship between the Government and the Contractor is essential in fulfilling a performance-based requirement. The Government's relationship with the Contractor 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. Business relationships should seek to create a cooperative environment to ensure effective communication between the parties. Teamwork, cooperation, and good-faith performance are important for meeting mission objectives and resolving conflicts and problems. Each party should clearly understand the goals, objectives, and needs of the other. 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.

2. Roles and Responsibilities

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

FSC Management and Facility Services (FMFS) Branch Head. The FMFS Branch Head provides direct supervision of SPARs, PARs, Spec Writers, etc assigned to the FMFS Branch. The FMFS branch head is responsible for ensuring adequate funding and staffing to support the specification development, contract management, and performance assessment function of the branch as well as all personnel management responsibilities. The COR and PAR are assigned for this contract.

Facilities Support Contract Manager (FSCM). The FSCM is the overall technical lead for the management of Facility Support Contract requirements from cradle to grave.

Contracting Officer (KO). The ACO and/or PCO assigned to the contract. 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 responsible for monitoring the Contractor's technical compliance and progress based on the contract requirements specified in the PWS and in accordance with the PAP. The COR performs a variety of contract administration duties that includes oversight of PA, documenting and rating Contractor performance, reviewing invoices, and acceptance of work.

Senior PAR (SPAR). The SPAR is responsible for coordinating efforts of multiple PARs assigned to this contract. The SPAR reviews PA schedules and PA documentation for sufficiency and consistency of oversight.

Performance Assessment Representative (PAR). The PAR is assigned as a Technical Point of Contact (TPOC) / Subject Matter Expert (SME) to the COR to perform duties as the on-site representative who assesses Contractor performance. The PAR periodically observes Contractor performance, reviews delivered services, reviews quality management corrective actions, periodically assesses and documents Contractor performance on Performance Assessment Worksheets (PAWs) and the Monthly Performance Assessment Summary (MPAS), and communicates findings as necessary with the Contractor, Senior PAR (SPAR), and Contracting Officer Representative (COR).

Note: Throughout NAVFAC policy, processes, and training, the term Performance Assessment Representative (PAR) refers to anyone responsible for conducting assessments of a NAVFAC administered Facility Support Contract. The term PAR will be used in reference to any individual assigned as a TPOC/SME to provide support to the COR, including as a collateral duty of other PWD or customer personnel, regardless of billet. All personnel assigned these duties must follow the guidance and direction provided to PARs.

Performance Assessment Board (PAB). The PAB is comprised of key technical and administrative personnel appointed in writing by the KO. The PAB will convene on a regular basis to review Contractor performance documentation for the prior evaluation period, and prepare and forward a summary report of findings and recommendations to the KO. The PAB makes recommendations for CPARS and provides input for the determination of contract incentives, if applicable. Details of PAB membership and the process for convening the PAB are provided in paragraph 11.4 below.

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. Mandatory training standards for all personnel performing PA of NAVFAC contracts are specified in BMS B-14.3, Performance Assessment. Additionally, safety training requirements are detailed in BMS B-14.18, FSC Safety and training for those assigned as CORs is promulgated by NFAS 1.602 and detailed in NAVFAC Instruction 4200.1.

CORs assigned to provide oversight of this contract must meet the applicable training requirements and must be appointed in writing by the KO per BMS S-18.3.6. PARs providing support as TPOC/SME for the COR must meet the applicable training requirements and must be assigned in writing by per BMS S-18.3.6 and B-14.3.

4. Safety

Proper oversight of Contractor safety is an integral part of effective performance assessment. The PAR must ensure that the Contractor is in compliance with safety requirements specified in Spec Item 2.9 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 COR.
- 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 is taken to correct the hazard. If the Contractor does not voluntarily take corrective action, require the Contractor to stop work and immediately notify the COR.

Further detail of safety assessment procedures is provided in paragraph 10.4.3 below.

5. Security

The PAR should become familiar with all security requirements specified in Spec Item 2.8.7 of the contract and report any observed violations to the KO.

6. Submittals

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

6.1 Quality Management Plan Submittal

The Quality Management System Pre-Performance Review Checklist, Attachment C, should be used for the review of the Contractor's QM Plan submittal and as a guideline for discussion of the Contractor's QMS during the post-award kickoff/pre-performance conference. The PAR, SPAR, Contractor Quality Manager and Project Manager, and any applicable subcontractor quality representatives should sign off on the QMS review checklist.

6.2 Accident Prevention Plan Submittal

Per BMS B-14.18, FSC Safety, the FMFS Pre-Performance Safety Checklist should be used for the review of the Contractor's Accident Prevention Plan submittal (including Activity Hazard Analyses (AHAs) and Occupational Risk and Compliance Plans and Programs) and as a guideline for discussion of the Contractor's Safety Program during the post-award kickoff/pre-performance conference. The PAR should coordinate with the local command Safety Representative for assistance in review of Contractor's APP. The PAR, SPAR, Contractor Site Safety and Health Officer (SSHO) and Project Manager, and any applicable subcontractor safety representatives should

sign off on the Safety review checklist. The Contractor must submit and have an approved APP before any work may begin on site. Additionally, new or revised AHAs must be submitted and reviewed at the beginning of each work phase, when new hazards are identified, or when a new work crew is brought on site.

7. Meetings

The PAR should attend and be prepared for required meetings, including partnering sessions. The PAR should be familiar with the Spec Items in Annex 2 titled "Required Conferences and Meetings" and "Partnering." The FSC Partnering process is addressed in BMS B-14.16.

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) – requires a pre-determined plan for assessing a portion of the work, using sample size and frequency at the applicable assessment level.
- Validated Customer Comments (VCC) – consists of customers observing the performance of services they have received and using a pre-determined procedure to provide feedback and/or report observations to the PAR for validation.
- Unscheduled Visits (UV) – impromptu assessments of performance standards and objectives whenever practical.
- Customer's Evaluation (CE) – consists of collected survey data of Contractor performance from the customer's perspective through the use of a feedback form.

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

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 QMS processes and quality inspection and surveillance records 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.

Further detail of the QMS review process is provided within the assessment procedures in paragraph 10.4 below.

10. Performance Assessment Process

10.1 Post-Award Planning

Performance Assessment personnel should review and understand the final contract requirements, including any amendments made during the solicitation period, paying particular attention to performance objectives and standards and any changes in the scope of work. Performance Assessment personnel should also review the Contractor's technical proposal received in response to the solicitation and initial submittals, such as the QMS program (including Quality Management Plan), Accident Prevention Plan (including Activity Hazard Analyses (AHAs) and Occupational Risk and Compliance Plans and Programs), list of key personnel and employee listing.

Performance Assessment personnel should also meet with customer representatives to review details of the contract and discuss the process for reporting and handling of customer comments and review the contract requirements for partnering and the process described in BMS B-14.16, FSC Partnering, to be prepared for these meetings.

10.2 Scheduling Assessments

Performance Assessment personnel 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. Certain work requirements may necessitate increased assessment based on performance risk considerations, e.g., services that are mission critical or have life safety impacts. Increased assessment may be conducted by adding AL2 or AL3 assessments or by targeting specific samples during routine AL1 assessment. Risk is measured based on two things: the likelihood (or probability) and event will occur and the consequence (or impact) if the event does occur.

The FAP, Attachment A, along with the starting point for assessments based on risk determination should be compared against the Contractor's work schedules as applicable to develop the initial assessment schedule. This schedule may be adjusted when required based on Contractor performance as detailed within the assessment procedures in paragraph 10.4 below.

10.3 Non-recurring Task Orders

Non-recurring Task Orders (TO) require 100% assessment. This means that all TOs must be verified as satisfactorily complete prior to payment. For EMALL Task Orders, verification is performed by the customer through the validation of the credit card payment and acceptance in EMALL. EMALL orders that involve high-risk evolutions will be indicated as "HIGH RISK" in the EMALL short description. The customer must notify the COR by email or phone immediately upon ordering a high-risk Non-recurring TO. The COR will schedule appropriate safety oversight for these evolutions. For all other Non-recurring TOs, validation is the responsibility of PA personnel. Scheduling of assessments must be planned based on the nature of the work (i.e. simple, short duration tasks performed at a single location vs. complex work performed over a longer period at multiple locations) and added to the assessment schedule after TO award.

10.4 Assessment Procedures

Every assessment must be documented on a Performance Assessment Worksheet (PAW) using the form provided in Attachment B. The assessment procedures based on the scheduled level of assessment performed are detailed below.

10.4.1 AL1 Assessments

The flowchart in Figure 1 below and corresponding descriptions shown below detail the performance assessment process used by the PAR to observe, assess, and document Contractor's performance for 2-digit Spec Items (AL1).

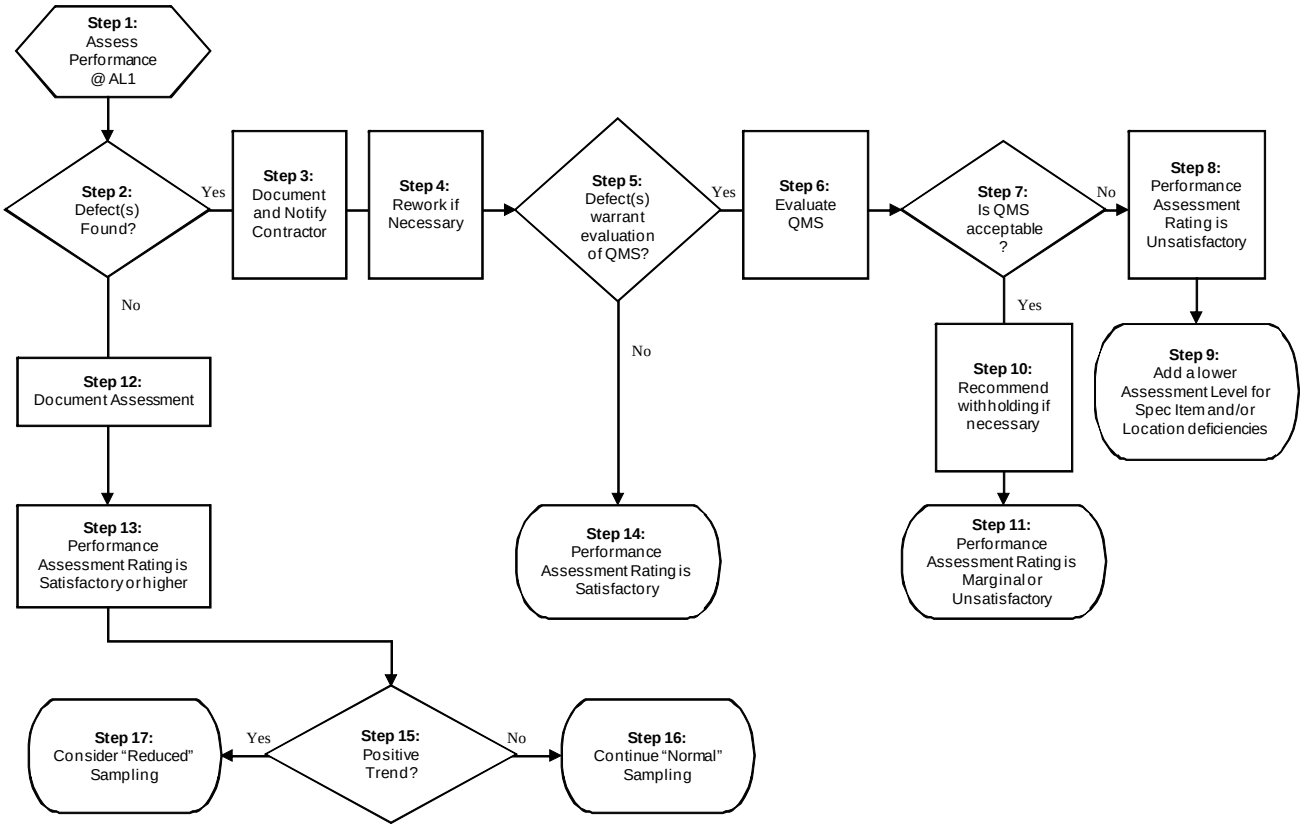

Figure 1. Performance Assessment Process for Assessment Level 1 (AL1)

Step 1: Assess Performance at AL1 – This is the typical starting point of assessment. Assess the Contractor's performance using the MOA, frequencies, and sample sizes indicated at AL1 of the FAP. The starting point may include additional PA at lower assessment levels for mission critical, safety, or environmental related services as determined based on the risk assessment performed during post-award planning. A Performance Assessment Worksheet (PAW) must be used for each assessment indicating this is an AL1 assessment. A PAW is the form used to document and report Government observations and rate Contractor performance.

Step 2: Defect(s) Found – The PAR should evaluate the Contractor's performance of work looking for both failures to comply with performance objectives and standards as well as instances of value-added services or work that exceeds performance standards. Any observation of work that fails to meet any of the specified performance standards will be documented as a defect. Instances of non-conforming work discovered during unscheduled visits (UV) should also be documented as defects. Where customer comments are received (VCC), 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 Comment Record, Attachment D. Documentation of UVs will be completed on a PAW. DECISION: If a defect is found, continue. If not, jump to Step 12.

Step 3: Document and Notify Contractor – Document any observed 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 the specified timeframe 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.

Step 4: 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 reperformance 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.

Step 5: 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 Contractors QMS. Trends are typically defects found in the same or similar work requirements repeated consistently over several periods of the assessment frequency. 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. Substantial completion can be measured based on the total work requirement being assessed or based on any one element of work performance. DECISION: If QMS evaluation is warranted, continue. If not, jump to Step 14.

Step 6: Evaluate QMS – The PAR should evaluate the Contractor's QMS to verify proper controls are in place to ensure the delivery of quality services. The PAR should follow the QMS In-Process Review Checklist, Attachment E, and document findings on this form. This review should begin with a focus on the Spec Items and/or location where defects have been found as opposed to a complete audit of the Contractor's QMS (use Parts A & B of the checklist). 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). If the initial evaluation identifies deficiencies in the Contractor's QMS with insufficient planned corrective actions or QMS changes, or, if corrective actions and QMS changes planned during previous QMS reviews have been ineffective, then broaden the evaluation to a more comprehensive review of the Contractor's QMS program (use Parts C through F of the checklist).

Step 7: 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. DECISION: If QMS is unacceptable, continue. If QMS is acceptable, jump to Step 10.

Step 8: Performance Assessment Rating is Unsatisfactory – If the Contractor's QMS is unacceptable, then the PAR should document all findings, including a summary of the findings associated with the Contractor's QMS, on the PAW. The PAR should rate the Contractor Unsatisfactory in accordance with the evaluation ratings definitions included in the PAB Rating Summary. The PAR should also document recommendations for withholding of payment on the PAW for non-conforming services when defects cannot be corrected by reperformance.

Step 9: Add a lower Assessment Level for Spec Item and/or Location deficiencies – When the Contractor's performance is Unsatisfactory at AL1 and QMS is Unacceptable, 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 3. [End of this assessment]

Step 10: Recommend withholding if necessary – Even if the QMS is acceptable and the Contractor has implemented or planned appropriate corrective actions, withholdings may still be warranted. The PAR should document recommendations for withholding of payment on the PAW for non-conforming services when defects cannot be corrected by reperformance.

Step 11: Performance Assessment Rating is Marginal or Unsatisfactory – The PAR shall document all findings, including a summary of the findings associated with the Contractor's QMS evaluation, on the PAW. The PAR should rate the Contractor Marginal or Unsatisfactory in accordance with the evaluation ratings definitions included in the PAB Rating Summary. The PAR should continue sampling the size identified as "Normal" in the FAP at AL1. [End of this assessment]

Step 12: Document Assessment – Document results of assessment particularly noting how it was validated that performance complied with contract requirements and detailing any instances of value-added services or work that exceeds contract performance standards, with supporting narrative on the PAW.

Step 13: Performance Assessment Rating is Satisfactory or Higher – 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 should rate the Contractor Satisfactory, Very Good, or Exceptional in accordance with the evaluation ratings definitions included in the PAB Rating Summary. Jump to Step 15.

Step 14: Performance Assessment Rating is Satisfactory – The PAR shall document all findings, including details of the failures to comply with performance objectives and standards on the PAW.

Per the evaluation ratings definitions included in the PAB Rating Summary, Satisfactory is defined as "contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory." Therefore, the PAR should rate the Contractor Satisfactory and continue sampling the size identified as “Normal” in the FAP at AL1. [End of this assessment]

Step 15: Positive Trend Established? – If the Contractor has established a trend of Satisfactory, Very Good or Exceptional performance, repeated consistently over several periods of the assessment frequency, the PAR should consider sampling at the reduced level (Jump to Step 17). If a trend has not yet been established the PAR should continue normal sampling.

Step 16: Continue “Normal” Sampling – The PAR should continue sampling the size identified as “Normal” in the FAP at AL1. [End of this assessment]

Step 17: Consider “Reduced” Sampling – The PAR should adjust sampling to the size identified as “Reduced” in the FAP at AL1. [End of this assessment]

10.4.2 AL2/3 Assessments

The flowchart in Figure 2 below and corresponding descriptions shown below detail the performance assessment process used by the PAR to observe, assess, and document Contractor’s performance for 3-digit and 4-digit Spec Items (AL2/3).

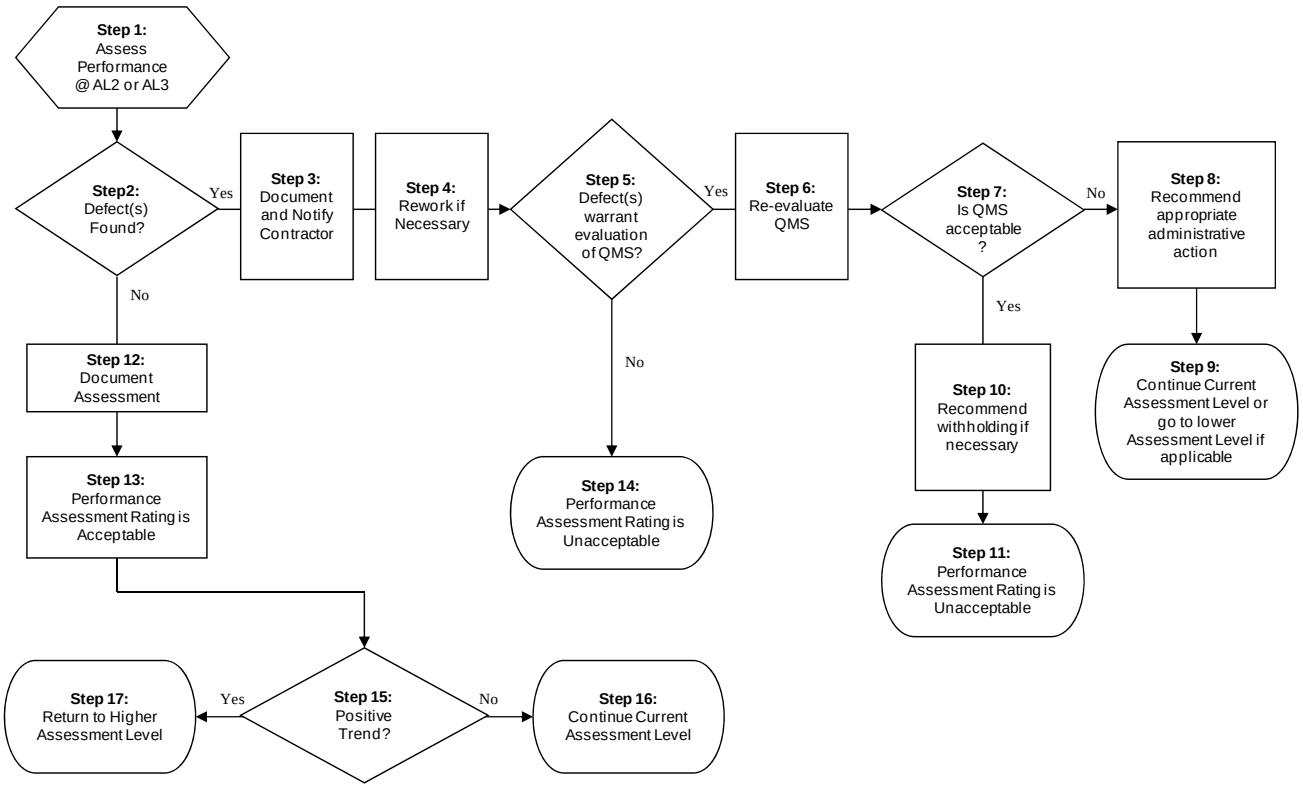

Figure 2. Performance Assessment Process for Assessment Level 2 or 3 (AL2 or AL3)

Step 1: Assess Performance at AL2 or AL3 – Start additional assessment(s) at a lower level if the rating on PAW 1 was Unsatisfactory and QMS was unacceptable. Certain work requirements may necessitate normal assessment at AL2 or AL3 based on performance risk considerations, e.g., services that are mission critical or have life safety impacts. 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.

Step 2: Defect(s) Found – If the Contractor has performed all work in accordance with the performance objectives and standards, then a performance rating of Acceptable 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. Instances of non-conforming work discovered during unscheduled visits (UV) should also be documented as defects. Where customer comments (VCC) 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 Comment Record, Attachment D. Documentation of UV will be completed on a PAW. DECISION: If defect is found, continue. If not, jump to Step 12.

Step 3: 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 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 the specified timeframe 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.

Step 4: 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.

Step 5: 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 Contractors 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. DECISION: If QMS evaluation is warranted, continue. If not, jump to Step 14.

Step 6: Re-evaluate QMS – The PAR should reevaluate the Contractors 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).

Step 7: 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. DECISION: If QMS is unacceptable, continue. If QMS is acceptable, jump to Step 10.

Step 8: Recommend appropriate administrative action – The PAR should make recommendations to the Contracting Officer via the SPAR/COR/FSCM for appropriate administrative actions. Administrative actions may include additional performance review meetings, issuance of a Contract Discrepancy Report (CDR), Attachment F, withholding of payment including liquidated damages, or interim CPARS rating. The PAR should also document recommendations for withholding of payment on the PAW for non-conforming services when defects cannot be corrected by reperformance.

Step 9: 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. Additionally, if there is a negative trend in Contractor performance, the PAR should consider modification of the MOAs, sample sizes, and frequencies included in the FAP.

Step 10: 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.

Step 11: Document Performance Assessment Rating as Unacceptable – The PAR shall document all findings, including findings associated with the Contractor's QMS, which justify rating the Contractor's performance as Unacceptable. The PAR shall continue sampling the size identified in the FAP at the current assessment level. [End of this assessment]

Step 12: Document Assessment – Document results of assessment with supporting narrative on the PAW, particularly noting how it was validated that performance complied with contract requirements.

Step 13: Document Performance Assessment Rating as Acceptable at appropriate assessment level – The PAR shall document all findings which justify rating the Contractor's performance as Acceptable. Jump to Step 15.

Step 14: Document Performance Assessment Rating as Unacceptable – The PAR shall document all findings which justify rating the Contractor's performance as Unacceptable. The PAR shall continue sampling the size identified in the FAP at the current assessment level. [End of this assessment]

Step 15: 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 (Jump to Step 17). If a positive trend has not yet been established the PAR should continue at the current assessment level.

Step 16: Continue Current Assessment Level – The PAR should continue sampling at the size and frequency identified in the FAP at the appropriate assessment level. [End of this assessment]

Step 17: 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. [End of this assessment]

10.4.3 Safety Assessment

As detailed in BMS B-14.18, FSC Safety, proper oversight of Contractor safety is an integral part of effective performance assessment. There are two preferred methods for assessing a Contractor's safety performance: 1) Assessing safety while conducting regular periodic sampling; and 2) Documenting "unscheduled visits" to specifically assess safety anytime the performance of work can be observed.

> Note: Anytime a safety issue is observed, the PAR should take appropriate immediate action to stop work as necessary until the unsafe practices are properly corrected.

The PAR shall record all safety assessments on the PAW including a supporting narrative regarding the safety issues observed in the comments block. The FSC Safety Assessment Checklist, Attachment G, should be used to identify the specific areas where safety issues were noted and attached to the PAW. Similar to the assessment process detailed above, the PAR should consider the significance of safety issues and any trends observed in evaluating the need for further review of the Contractor's safety program and the addition of more scheduled assessments.

If a detailed review of the Contractor's safety program is deemed necessary, the PAR should evaluate the Contractor's Accident Prevention Plan (APP)/Activity Hazard Analysis (AHA) to verify proper safety controls are in place to ensure their employees are performing work in accordance with EM 385-1-1. This review shall ensure the APP/AHA is site specific and relevant to the service process. The safety program review should identify discrepancies between the Contractor's APP/AHA with the EM 385-1-1 and identify any corrective actions the Contractor is implementing to preclude systemic problems and avoid repeat safety issues. The PAR should coordinate with the local command Safety Representative for assistance in review of Contractor's APP.

The PAR must also be familiar with other safety responsibilities detailed in BMS B-14.18, including assisting with Occupational Safety and Health Administration (OSHA) inspections and ensuring Contractors follow the proper procedure for mishap notification.

10.4.4 Management and Administration Assessment –

> Contractor compliance with contract requirements, including those specified in Annex 0200000 or Spec Item 2 of the functional annex, can generally be evaluated through the assessment of work performed. For example, the Contractor must provide properly trained and qualified personnel to perform work in order to meet the standards specified in the contract. However, there remain certain overall management and administration

requirements that cannot be effectively assessed through PA scheduled per the FAPs
Contract Discrepancy Reports

Contract Discrepancy Reports (CDRs) are a formal administrative action intended to document and track Contractor corrective actions for resolution of continued unsatisfactory performance. CDRs will be issued for repeated failures where the Contractor has an unacceptable QMS that has not been effectively corrected. That is, the following conditions have occurred:

1) Defects at AL1 led to a QMS evaluation,
2) The Contractor's QMS was found to be unacceptable and additional assessments were scheduled for the AL2/3 level,
3) AL2/3 assessments revealed further defects and the QMS evaluation was again unacceptable.

Issuance of a CDR requires the Contractor to evaluate the noted discrepancy, determine root cause of the failure to perform, and develop a plan to ensure contract requirements are met. CDRs require Contractor response and Government acceptance of the Contractor's corrective action. CDRs must be tracked until officially closed out by the Government. The Contract Discrepancy Report format is included in Attachment F.

11. Assessment Summary and Evaluation

11.1 Monthly Performance Assessment Summary (MPAS)

The PAR and SPAR will collect, review, and evaluate the results of all performance assessments including PAW documentation, safety assessments, validated customer comments, customer evaluations, trend data, and Contractor QMS corrective and preventive actions. The PAR summarizes PA information and completes the comments block on the MPAS for each annex/sub-annex. The MPAS for each annex/sub-annex is included with the applicable FAP, Attachment A. The SPAR reviews completed annex/sub-annex MPAS, provides recommended actions as applicable, assigns an overall technical rating for the function, and validates the MPAS by signing it.

11.2 Invoice Validation and Withholdings

Results of performance assessments and other PA information should also be used as part of the validation of the Contractor's monthly invoice amount. The COR will make a determination for 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 COR is designated as a Departmental Accountable Official (DAO) due to the duties for invoice verification and the responsibility to ensure that payment recommendations are made only for services received that meet the performance standards of the contract. The COR must review the submitted invoices for accuracy and completion of required supporting documentation. The COR should reference MPASs with associated PAWs and other assessment documentation to verify completion of required services and determine if any withholdings or deductions are warranted.

For invoices submitted though Wide Area Work Flow (WAWF), the COR performs the inspector role as detailed in BMS S-17.4.14.2 Process Wide Area Work Flow (WAWF) Invoices. For non-WAWF invoices, follow local process for documenting invoice reviews.

11.2 COR Activity File

In order to provide an auditable trail of documentation supporting the assessment of Contractor performance, the COR is required to maintain a file for each contract/order assigned. A list of items that must be included (at a minimum) in a COR file can be found in NAVFAC Instruction 4200.1, Contracting Officer's Representative. The COR File will be maintained until the end of contract performance, when it is then turned over to the Contracting Officer for inclusion as part of the official contract file.

Hardcopy files are maintained by the COR in a folder(s) annotated with the contract number and period of performance for the included documentation. Supporting documentation (e.g. PAWs) for the current period of performance may be located in individual files retained by each PAR. All content in electronic format is located on a secure shared drive at the following path:

X://PWD Anywhere/FEAD/FMFS/Contract N40085-16-R-6361.

11.3 Performance Assessment Board (PAB)

The Performance Assessment Board membership consists of the following:

PAB Chairperson – COR

PAB Member – SPAR

PAB Member – KO

The PAB will convene on an as needed basis to review and evaluate Contractor performance. The date, time, and location of PAB meetings will be established by the PAB Chairperson and communicated to all PAB members.

Additional participants may include the Site Safety Manager. The personnel may participate in the discussion of Contractor performance, but will have no vote on consensus ratings.

The COR (with support as required from PARs/SPARs) should be prepared to brief the PAB on the monthly summary information and trend data and offer a recommended consensus rating to the PAB based on assessment results. Each PAB member should consider the information presented and individually document ratings with supporting comments for each area defined in CPARS on the PAB Rating Summary form, Attachment J. The PAB Chairperson should develop a consensus rating for each factor and document comments relevant to each rating factor from the PAB review. At, or near, the end of each performance period, the PAB should review previous PAB Rating Summaries in addition to performance during the most recent evaluation period to develop overall input for official CPARS ratings and relevant comments. This final PAB report should be used by the Assessing Official Representative (AOR) for entry into CPARS for the performance period. Additionally, this PAB should make final recommendations for assessing contract incentives in accordance with the Award Fee or Award Option Plan.

Specific details of the PAB process are provided in BMS B-14.26, Performance Assessment Board.

12. 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.

Attachment A: Functional Assessment Plan (FAP)

Included only in Government copy

PERFORMANCE ASSESSMENT WORKSHEET

ANNEX/SUB-ANNEX: _____

Attachment B: Performance Assessment Worksheet

PAW (Indicate Level)	☐ 1	☐ 2	☐ 3	☐ Non-recurring
CONTRACT NO:		PAR NAME:		
SAMPLE ID:		DATE:		
SAMPLE LOCATION:				
SPEC ITEM / TO #:	TITLE:			
SAFETY ASSESSMENT: Issues found? ☐ No ☐ Yes (document details below)				
COMMENTS: (Document findings/observations of how performance complies with contract requirements and detail any value-added or negative performance, and trends)				
RATING: **(For AL-2/3)**	☐ Acceptable	☐ Unacceptable		
PAR (signature): _____ DATE: _____				
CONTRACTOR (signature): _____ DATE: _____				
REWORK:	☐ Acceptable	☐ Unacceptable	☐ N/A	
QMS EVALUATION: (Document effectiveness of contractor's QMS to detect/correct negative performance and reverse trends. Attach QMS review checklist.)				
QMS RATING:	☐ Acceptable	☐ Unacceptable	☐ N/A	
PERFORMANCE ASSESSMENT RATING: (FOR AL-1 or Non-recurring)				
☐ Exceptional	☐ Very Good	☐ Satisfactory	☐ Marginal	☐ Unsatisfactory

QUALITY MANAGEMENT SYSTEM
PRE-PERFORMANCE REVIEW CHECKLIST

Attachment C: QMS Pre-performance Review Checklist

GENERAL INFORMATION			
	NAME	**PHONE**	**EMAIL**
CONTRACTOR Project Manager			
CONTRACTOR Quality Manager			
SUB-CONTRACTOR QC			
SUB-CONTRACTOR QC			
PERFORMANCE ASSESSMENT REPRESENTATIVE (PAR)			
SUPERVISORY PAR / COR			

CONTRACT INFORMATION		
TITLE:		
Contract #:	TO#	LOCATION:
START:	END:	CONTRACT PRICE:

ACCEPTANCE OF CONTRACTOR'S QUALITY APPROACH DOES NOT LIMIT CONTRACTING OFFICER FROM REQUIRING ADDITIONAL MEASURES IF PERFORMANCE IS UNACCEPTABLE.

QUALITY MANAGEMENT BRIEFING CHECKLIST		
CHECKPOINT (Y/N)		**COMMENTS**
QUALITY ORGANIZATION:		
	Is the QM plan submitted in accordance with Annex 0200000 and Section F requirements?	
	Is the Quality organization clearly identified (e.g., org chart) and a list of all Quality personnel provided?	
	Are the responsibilities of Quality personnel detailed and lines of authority explained (e.g., Quality staff and Quality Manager reports directly to Prime Contractor management)?	
	Are the training and qualification requirements for Quality staff specified and does the Contractor's staff meet these requirements?	
	Does the Quality organization show relationship between the Prime Contractor's Quality staff and Subcontractor's management or Quality?	

QUALITY MANAGEMENT SYSTEM
PRE-PERFORMANCE REVIEW CHECKLIST

QUALITY APPROACH:		
	Is the QM plan current and specifically tailored for this contract?	
	Does the Contractor's Quality Management System and management approach indicate a clear understanding of the contract requirements?	
METHODS AND PROCEDURES FOR PERFORMANCE OF WORK:		
	Does the Contractor provide detail of their work planning and control to ensure first time quality? This could include:	
	a. Proper selection and training of personnel	
	b. Tracking and verification of training and certification requirements	
	c. Work center supervisor/lead personnel oversight of work performance	
	d. Detailed SOPs and procedures for work requirements	
	e. Routine training and meetings	
	f. Selection procedures for subcontractors	
	g. Management control of subcontracted work	
SURVEILANCE AND INSPECTION PROCEDURES:		
	Does the Contractor provide detailed procedure for the selection of samples (e.g., percentage of work inspected, process for selection of samples, in-process vs. completed work.)?	
	Does the QM plan detail procedures for the collection, recording, and analysis of inspection and surveillance results?	
	Does the QM plan include processes for utilization analysis of inspection and surveillance results to determine cause and implement corrective actions?	
	Does the QM plan provide a process for preventing recurrence of quality issues and continuous improvement of work performance?	
	Does the QM plan detail specific procedures for the oversight of subcontracted work or the review and analysis of subcontractor quality?	

QUALITY MANAGEMENT SYSTEM
PRE-PERFORMANCE REVIEW CHECKLIST

DOCUMENTATION AND RECORDS MANAGEMENT:		
	Does the Contractor have a process for the control and retention of Quality documentation and records?	
	Does the Contractor provide the controls in place to ensure all Quality records are documented, maintained reviewed and properly filed?	
	Does the QM plan have a process for the review of documentation for completeness, accuracy, and consistency? (This may include management reviews or internal audit plan.)	
	Does the QM Plan provide a process for tracking and ensuring all submittal requirements are met?	
COMMUNICATION WITH GOVERNMENT:		
	Does the QM plan address the level, format, and frequency of communications with the government? This could include:	
	a. Routine, yet informal communications between contractor, quality staff, and Government PARs	
	b. Established meeting requirements between Contractor Quality and/or management staff with Government PA and/or contracting personnel.	
	c. Progressive reporting and communication based on the frequency or severity of the issue being addressed (e.g., Quality staff to PAR, Quality Manager to SPAR/FSCM, Project Manager to PWO	
	d. Details of protocol for attendance at meetings required by contract, including partnering sessions.	

REVIEW SIGNATURES	
PAR:	DATE:
SPAR/COR:	DATE:
CONTRACTOR QUALITY MANAGER:	DATE:
CONTRACTOR PROJECT MANAGER:	DATE:
SUBCONTRACTOR:	DATE:
SUBCONTRACTOR:	DATE:

CUSTOMER COMMENT RECORD

ANNEX/SUB-ANNEX: _____

Attachment D: Customer Comment Record

CONTRACT NO:		DATE/TIME RECEIVED: RECEIVED BY:	
SOURCE OF COMMENT ORGANIZATION:_____ INDIVIDUAL:_____ PHONE:_____			
LOCATION:			
SPEC ITEM:	TITLE:		
DETAILS OF OBSERVATION: (Provide specific details of the requirement observed.)			
Comment Validation:	☐ Valid	☐ Non-valid	
COMMENTS:			
PAR (signature): _____ DATE: _____			
CONTRACTOR (signature): _____ DATE: _____			
REWORK:	☐ Acceptable	☐ Unacceptable	☐ N/A
PAR (signature): _____ DATE: _____			

QMS IN-PROCESS REVIEW CHECKLIST

Attachment E: QMS In-process Review Checklist

CONTRACT #:	TITLE:
PAR NAME:	DATE:
ANNEX/SUB-ANNEX:	
SPEC ITEM:	TITLE:

QMS REVIEW CHECKLIST		
If observed defects warrant evaluation of QMS, the initial review should be limited to the Spec Items and/or location where defects have been found. This process begins with Part A & B below.		
CHECKPOINT (Y/N)		**COMMENTS**
A.	**QUALITY SURVEILLANCE AND INSPECTION SCHEDULES**	
	1. Is there a quality surveillance and inspection schedule? Does it include:	
	a. Surveillance and inspections to be performed?	
	b. Frequency of surveillance and inspections?	
	2. Is there a current schedule?	
	3. Does the schedule reflect all contractual requirements?	
	4. Are the number and frequency of surveillance and inspections sufficient?	
	5. Do the schedules match the QM plan?	
	6. Is the schedule being followed?	
B.	**DOCUMENTATION AND ANALYSIS OF QUALITY DATA**	
	1. Are the results of all surveillance and inspections properly documented?	
	2. Are quality deficiencies properly resolved and tracked?	
	3. Is quality documentation of deficiencies analyzed for trends and root cause?	
	4. Is appropriate action taken or planned to prevent recurrence of quality issues?	
	5. Is there verification process to ensure corrective and preventative actions are effective?	
	6. Are appropriate continuous improvement plans in place and communicated to workforce?	

QMS IN-PROCESS REVIEW CHECKLIST

Comments: (Document corrective actions taken or QMS changes being implemented. If QMS is unsatisfactory, document findings and rationale for additional review conducted below.)

If review conducted above identifies deficiencies in the Contractor's QMS with insufficient planned corrective actions or QMS changes, or, if corrective actions and QMS changes planned during previous QMS reviews have been ineffective, then continue review with Parts C through F below.

	CHECKPOINT (Y/N)	COMMENTS
C.	**QUALITY MANAGEMENT PLAN**	
	1. Is the written QM plan available on site?	
	2. Is the QM Plan current?	
	3. Does the QM staff meet the requirements designated in QM plan (in terms of staff provided and qualifications and training)?	
D.	**WORK PROCESSES AND PROCEDURES**	
	1. Are work instructions, processes and procedures documented?	
	2. Are work instructions, processes and procedures available and used by affected personnel?	
	3. Is there a process to communicate work instructions, processes and procedures throughout the project and organization?	
	4. Are training records properly maintained for employees who are performing the work?	
E.	**SURVEILLANCE AND INSPECTION PROCESS**	
	1. Does the documented surveillance and inspection system match the requirements of the QM plan?	
	2. Are surveillance and inspection forms used systematically that document both conformances and non-conformances?	
	3. Are the surveillance and inspection criteria linked to the performance objectives and standards of the contract?	
	4. Does the communication and follow-up on deficiencies follow the process detailed in the QM plan?	
	5. Is analysis performed on surveillance and inspection data to identify trends and opportunities for improvement?	
	6. Are there examples of process improvements based on surveillance and inspection data?	

QMS IN-PROCESS REVIEW CHECKLIST

CHECKPOINT (Y/N)		COMMENTS
F.	**CUSTOMER COMMUNICATION**	
	1. Are required meetings being held and attended as scheduled?	
	2. Is there documentation of the meetings and associated follow-up activities, i.e. action registers, meeting minutes, agendas?	
	3. Is there proper response and tracking of issues identified by Government personnel?	
	4. Is there a written documentation of issues, e.g., complaint/compliments logs, registers, records?	
	5. Is there a system for correction of defects/problems to satisfy customers?	
	6. Is there an escalation procedure if defects/problems are not addressed satisfactorily?	

Comments: (Document corrective actions taken or QMS changes being implemented. If QMS is unsatisfactory, document recommendation to move to a lower assessment level or take appropriate administrative action.)

QMS RATING:	□ Acceptable	□ Unacceptable	□ N/A

REVIEW SIGNATURES	
PAR:	DATE:
CONTRACTOR QUALITY REPRESENTATIVE:	DATE:

Attachment F: 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

FSC SAFETY ASSESSMENT CHECKLIST

ANNEX/SUB-ANNEX: _____

Attachment G: FSC Safety Assessment Checklist

CONTRACT NO:	PAR NAME:
SAMPLE ID:	DATE:
SAMPLE LOCATION:	
SPEC ITEM / TO #:	TITLE:

SAFETY ASSESSMENT: Issues found? ☐ No ☐ Yes (indicate area of safety deficiency below)

Administrative	**Issue**	**No Issue**	**N/A**
Is the Contractor staff knowledgeable of Activity Hazard Analyses (AHAs) and Occupational Risk and Compliance Plans and Programs related to the work performed?			
Is the Contractor Site Safety Plan (AHA) on site?			
Have all potential hazards been identified and appropriate controls implemented?			
Are there Emergency Planning/Communication procedures in place?			
Are there First Aid and CPR Trained personnel on site as required?			

Safety Hazards	**Issue**	**No Issue**	**N/A**	**Safety Hazards**	**Issue**	**No Issue**	**N/A**
Chemical hazards/MSDS				Accident Prevention (signs, tags, barricades, covers, etc)			
Site Cleanliness (floor care, signage removal, etc)				Hot Work (Welding/Grinding)			
Environmental Conditions (Heat/Cold stress, weather)				Fall Protection/Working at Heights (Ladder Safety, Scaffolding/Staging, Aerial Lifts, etc)			
Lead Paint/Asbestos				Slips, Trips, and Falls			
Biological Hazards (Animals, insects, etc)				Personal Protective Equipment (PPE)			
Soil Disturbance				Respirator Protection			
Underground Utilities/Utility Clearance				Confined and Enclosed Space			
Vehicle Operation and Condition				Trenching/Excavations			
Weight Handling Equipment Safety				Electrical Safety			
Crane Safety				Lockout/Tagout (Control of Hazardous Energy)			
Traffic Control				Ergonomics and Musculoskeletal Hazards			
Equipment Use and Condition				Fire Safety			
Material Handling				Compressed Gas			

Note: Include detailed comments related to Safety assessment on the PAW

Attachment H: Annex 2 – Management and Administration Evaluation Checklist

See checklist that begins on next page.

ANNEX 2 – MANAGEMENT AND ADMINISTRATION EVALUATION CHECKLIST

Contract #: NXXXXX-YY-Z-1234 **Title:** _____ **Period Assessed:** _____

Quality of Product or Service					
Spec Item	**Title**	**Requirement**	**YES**	**NO**	**N/A**
2.5	Contractor-Furnished Items	Does the Contractor provide all equipment, materials, parts, supplies, components and facilities to perform the requirements of this contract?			
2.5	Contractor-Furnished Items	Are inadequate or unsafe items removed and replaced by the Contractor at no cost to the Government?			
2.5	Contractor-Furnished Items	Are materials asbestos, lead, and polychlorinated biphenyls (PCBs) free?			
2.5	Contractor-Furnished Items	Are energy efficient tools and equipment used when available?			
2.5	Contractor-Furnished Items	Are samples, Material Safety Data Sheets (MSDS) or Manufacturer's Data Cut Sheets of Materials provided upon request?			
2.6	Management				
2.6.4	Deliverables	Are records and reports accurate, complete and submitted within the times specified as per Section F?			
2.6.6	Government's Computerized Maintenance Management Systems (CMMS)	Are the records stored in the Government's Computerized Maintenance Management Systems (CMMS) maintained accurate and complete?			
2.6.7	Quality Management System (QMS)	Is the Contractor's Quality Management System (QMS) an effective and efficient means of identifying and correcting problems throughout the entire scope of operations?			
2.6.9	System and Equipment Replacement	Are replacement components the same model/style or equivalent as the component being replaced?			
2.6.9	System and Equipment Replacement	Are all substitute replacement components accepted by the KO prior to use?			
2.12	Technical Library	Does the Contractor continually update library material to ensure all data is current, complete, accurate and suitable for intended use?			
2.12	Technical Library	Does the Contractor monitor the use of the libraries to ensure materials are returned and data integrity is not compromised?			
2.13	Warranty Management	Is the Contractor aware of which equipment and components are covered by the original warranty and the warranty duration?			
2.13	Warranty Management	Does the Contractor report any defect in workmanship, material, or parts, and any improper installation of equipment and components that are covered by a warranty?			

COMMENTS: (Document findings of how performance complies with contract requirements and detail any value-added or negative performance, and trends)

☐ **Exceptional**	☐ **Very Good**	☐ **Satisfactory**	☐ **Marginal**	☐ **Unsatisfactory**

ANNEX 2 – MANAGEMENT AND ADMINISTRATION EVALUATION CHECKLIST

Contract #: NXXXXX-YY-Z-1234 **Title:** _____ **Period Assessed:** _____

Schedule					
Spec Item	**Title**	**Requirement**	**YES**	**NO**	**N/A**
2.6	Management				
2.6.1	Work Reception	Does the Contractor receive, prioritize, correspond, and respond to trouble/service calls and task orders during Government regular working hours and provide a point of contact at a local or toll free number who can perform the above function during other than Government regular working hours?			
2.6.2	Work Control	Has the Contractor implemented all necessary work control procedures to ensure timely accomplishment of work requirements, as well as to permit tracking and reporting of work in progress.			
2.6.2	Work Control	Does the Contractor plan and schedule work to assure material, labor, and equipment are available to complete work requirements within the specified time limits and in conformance with the quality standards?			
2.6.2	Work Control	Are status updates provided within the times specified?			
2.6.3	Work Schedule	Does the Contractor work interfere with normal Government business?			
2.6.3	Work Schedule	In those cases where some interference is unavoidable, does the Contractor minimize the impact and effects of the interference?			
2.6.3	Work Schedule	Does the Contractor provide advance access to all of their work schedules and notify the KO of any difficulty in scheduling work due to Government controls?			
2.6.6	Government's Computerized Maintenance Management Systems (CMMS)	Are the records stored in the Government's Computerized Maintenance Management Systems (CMMS) updated within the times specified?			
2.14	Recurring Work Procedures	Does the Contractor take full responsibility for work up to the Recurring limits that are specified in subsequent annexes or sub-annexes			
2.15	Non-recurring Work	Does the contractor submit proposals for task orders on time?			
2.15	Non-recurring Work	Does the contractor provide reasonable price proposals for task orders?			

COMMENTS: (Document findings of how performance complies with contract requirements and detail any value-added or negative performance, and trends)

☐ **Exceptional**	☐ **Very Good**	☐ **Satisfactory**	☐ **Marginal**	☐ **Unsatisfactory**

ANNEX 2 – MANAGEMENT AND ADMINISTRATION EVALUATION CHECKLIST

Contract #: NXXXXX-YY-Z-1234 **Title:** _____ **Period Assessed:** _____

Business Relations					
Spec Item	**Title**	**Requirement**	**YES**	**NO**	**N/A**
2.3	General Administrative Requirements				
2.3.1	Required Conferences and Meetings	Does the Contractor attend all required conferences and meetings?			
2.3.2	Training for Maintenance and Operation of New and Replacement Systems and Equipment	Does the Contractor attend Government provided training for maintenance and operation of new and replacement systems and equipment?			
2.3.3	Partnering	Do key members of the prime contractor and subcontractors teams (including senior management) participate?			
2.3.3	Partnering	Did partnering demonstrate cohesiveness between the Government and Contractor?			
2.3.4	Permits and Licenses	Has the Contractor obtained and submitted to the KO within the time specified all required permits, licenses, and authorizations to perform work under this contract and comply with all the applicable Federal, state and local laws and regulations?			
2.3.6	Protection of Government Property	Does the Contractor protect Government property and return areas damaged as a result of negligence under this contract to their original condition?			
2.4	Government-Furnished Property, Materials and Services	Does the Contractor maintain Government-Furnished Property in accordance with FAR 52.245, GOVERNMENT PROPERTY and NAVFAC Clause 5252.245-9300, GOVERNMENT-FURNISHED PROPERTY, MATERIALS AND SERVICES?			
2.6.8	Property Management Plan	Has the Property Management Plan shall be submitted per Section F?			
2.6.8	Property Management Plan	Does the contractor's Property Management Plan identify the Contractor's policies, procedures, and practices in receiving and performing physical inventories, repairing and maintaining, preserving and protecting, and reporting the disposition of accepted government property in its possession?			
2.11	Disaster Preparedness	Does the Contractor comply with the installation's Contingency Instruction and support the installation Contingency Response Plan, as directed by the KO?			

COMMENTS: (Document findings of how performance complies with contract requirements and detail any value-added or negative performance, and trends)

☐ **Exceptional**	☐ **Very Good**	☐ **Satisfactory**	☐ **Marginal**	☐ **Unsatisfactory**

ANNEX 2 – MANAGEMENT AND ADMINISTRATION EVALUATION CHECKLIST

Contract #: NXXXXX-YY-Z-1234 **Title:** _____ **Period Assessed:** _____

Management of Key Personnel					
Spec Item	**Title**	**Requirement**	**YES**	**NO**	**N/A**
2.7	Personnel Requirements				
2.7.1	Key Personnel	Has the Contractor submitted a List of Key Personnel, Qualifications and an Organizational Chart that includes the names of personnel and their position title?			
2.7.1	Key Personnel	Does the contractor meet the qualifications of the key position, as described in the contract, with who filled the key position?			
2.7.2	Employee Requirements	Do the Contractor key personnel manage their employees to ensure personnel are fully knowledgeable of all safety, environmental, and energy requirements associated with the work they perform?			
2.7.2	Employee Requirements	Do the key personnel ensure that all personnel are legal residents, speak, read, and comprehend English to the extent that they can perform the contract requirements and comply with installation emergency procedures?			
2.8	Security Requirements	Do the Contractor key personnel ensure that employees are in compliance with all Federal, state, and local security statutes, regulations, requirements, and ensure that all security/entrance clearances are obtained?			

COMMENTS: (Document findings of how performance complies with contract requirements and detail any value-added or negative performance, and trends)

☐ **Exceptional**	☐ **Very Good**	☐ **Satisfactory**	☐ **Marginal**	☐ **Unsatisfactory**

ANNEX 2 – MANAGEMENT AND ADMINISTRATION EVALUATION CHECKLIST

Contract #: NXXXXX-YY-Z-1234 **Title:** _____ **Period Assessed:** _____

Safety					
Spec Item	**Title**	**Requirement**	**YES**		**NO**
2.9	Contractor Safety Program	Is the Contractor's safety program in compliance with all safety standards identified in the U.S. Army Corps of Engineers Safety and Health Requirements Manual, EM 385-1-1 and Public Law 91-596, Occupational Safety and Health Act?			
2.9	Contractor Safety Program	Has the Contractor develop and implement an APP (which includes the AHA and the Occupational Risk and Compliance Plans) in accordance with the requirements in Annex 2.			

COMMENTS:

☐ **Exceptional**	☐ **Very Good**	☐ **Satisfactory**	☐ **Marginal**	☐ **Unsatisfactory**

COR (signature): _____ **DATE:** _____

COR (printed name): _____

PERFORMANCE ASSESSMENT BOARD RATING SUMMARY

Contract #: NXXXXX-YY-Z-1234 **Period of Rating:** _____

Attachment I: MPAS Coversheet

Attachment J: PAB Rating Summary

Block 18a - Quality of Product or Service.

Assess the contractor's conformance to contract requirements, specifications and standards of good workmanship (e.g., commonly accepted technical, professional, environmental, or safety and health standards). List and assess any sub-elements to indicate different efforts where appropriate. Include, as applicable, information on the following:

- Are reports/data accurate?
- Does the product or service provided meet the specifications of the contract?
- Does the contractor's work measure up to commonly accepted technical or professional standards?
- What degree of Government technical direction was required to solve problems that arise during performance?

	Exceptional	Very Good	Satisfactory	Marginal	Unsatisfactory
Rating (place an X in the appropriate box)					

Comments:

Block 18b - Schedule.

Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, and administrative requirements (e.g., efforts that contribute to or affect the schedule variance).

This assessment of the contractor's adherence to the required delivery schedule should include the contractor's efforts during the assessment period that contributes to or affect the schedule variance. This element applies to contract closeout activities as well as contract performance. Instances of adverse actions such as the assessment of liquidated damages or issuance of Cure Notices, Show Cause Notices, and Delinquency Notices are indicators of problems which may have resulted in variance to the contract schedule and should, therefore, be noted in the evaluation.

	Exceptional	Very Good	Satisfactory	Marginal	Unsatisfactory
Rating (place an X in the appropriate box)					

Comments:

Block 18c - Cost Control. (N/A).

Block 18d - Business Relations.

Assess the integration and coordination of all activity needed to execute the contract, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor's history of reasonable and cooperative behavior (to include timely identification of issues in controversy), customer satisfaction, timely award and management of subcontracts. Include, as applicable, information on the following:

• Is the contractor oriented toward the customer?

• Is interaction between the contractor and the government satisfactory or does it need improvement?

• Include the adequacy of the contractor's accounting, billing, and estimating systems and the contractor's management of Government Property (GFP) if a substantial amount of GFP has been provided to the contractor under the contract.

• Address the timeliness of awards to subcontractors and management of subcontractors, including subcontract costs. Consider efforts taken to ensure early identification of subcontract problems and the timely application of corporate resources to preclude subcontract problems from impacting overall prime contractor performance.

• Assess the prime contractor's effort devoted to managing subcontracts and whether subcontractors were an integral part of the contractor's team.

	Exceptional	Very Good	Satisfactory	Marginal	Unsatisfactory
Rating (place an X in the appropriate box)					

Comments:

Block 18e - Management of Key Personnel (For Services and Information Technology Business Sectors only - Not Applicable to Operations Support).

Assess the contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel. For example:

• How well did the contractor match the qualifications of the key position, as described in the contract, with the person who filled the key position?

• Did the contractor support key personnel so they were able to work effectively?

• If a key person did not perform well, what action was taken by the contractor to correct this?

• If a replacement of a key person was necessary, did the replacement meet or exceed the qualifications of the position as described in the contract schedule?

	Exceptional	Very Good	Satisfactory	Marginal	Unsatisfactory
Rating (place an X in the appropriate box)					

Comments:

Block 18f – Utilization of Small Business.

FAR Subpart 19.7 and 15 U.S.C. 637 contains statutory requirements for complying with the Small Business Subcontracting Program. Assess whether the contractor provided maximum practicable opportunity for Small Business (including Alaska Native Corporations (ANCs) and Indian Tribes) (including Small Disadvantaged Businesses (which also includes ANCs and Indian Tribes), Women Owned Small Businesses, HUBZone, Veteran Owned, Service Disabled Veteran Owned Small Business, Historically Black Colleges and Minority Institutions and ANCs and Indian Tribes that are not Small Disadvantaged Businesses or Small Businesses) to participate in contract performance consistent with efficient performance of the contract.

A4.27.1 Assess compliance with all terms and conditions in the contract relating to Small Business participation (including FAR 52.219-8, Utilization of Small Businesses and FAR 52.219-9, Small Business Subcontracting Plan (when required). Assess any small business participation goals which are stated separately in the contract. Assess achievement on each individual goal stated within the contract or subcontracting plan including good faith effort if the goal was not achieved.

A4.27.2 It may be necessary to seek input from the Small Business specialist, ACO or PCO in regards to the contractor's compliance with these criteria. For DoD in cases where the contractor has a comprehensive subcontracting plan, request DCMA Comprehensive Subcontracting Plan Manager to provide input including any program specific performance information.

A4.27.3 For contracts subject to a commercial subcontracting plan, the Utilization of Small Business factor should be rated "satisfactory" as long as an approved plan remains in place, unless liquidated damages have been assessed by the contracting officer who approved the commercial plan (see FAR 19.705-7(h)). In such case, the Utilization of Small Business area must be rated "unsatisfactory".

A4.27.4 This area must be rated for all contracts and task orders that contain a small business subcontracting goal.

	Exceptional	Very Good	Satisfactory	Marginal	Unsatisfactory
Rating (place an X in the appropriate box)					

Comments:

Block 18g - Other Areas. (Safety)

Assess the contractor's conformance to safety requirements, specifications, and adherence to their safety program (including APP, AHAs, and Occupational Risk and Compliance Plans). List and assess any sub-elements to indicate different efforts where appropriate. Include, as applicable, information on the following:

- Has the Contractor consistently demonstrated a commitment to safety and properly managed and implemented safety procedures for itself and its subcontractors?
- Do the documented safety issues, near misses, and recordable safety incidents indicate the Contractor has followed safe work practices taking into account any upward or downward trends and extenuating circumstances?
- Has the Contractor reported safety incidents in a proper and timely manner and taken appropriate corrective actions?
- What degree of Government direction was required to solve problems that arise during performance?

	Exceptional	Very Good	Satisfactory	Marginal	Unsatisfactory
Rating (place an X in the appropriate box)					

Comments:

PERFORMANCE ASSESSMENT BOARD RATING SUMMARY

Contract #: NXXXXX-YY-Z-1234 **Period of Rating:** _____

Evaluation Ratings Definitions (Excluding Utilization of Small Business)		
Rating	Definition	Note
Exceptional	Performance meets contractual requirements and exceeds many to the Government'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.	To justify an Exceptional rating, identify multiple significant events and state how they were of benefit to the Government. 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.
Very Good	Performance meets contractual requirements and exceeds some to the Government'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 was effective.	To justify a Very Good rating, identify a significant event and state how it was a benefit to the Government. There should have been no significant weaknesses identified.
Satisfactory	Performance meets 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.	To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract. There should have been NO significant weaknesses identified. 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.
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.	To justify Marginal performance, identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the Government. A Marginal rating should be supported by referencing the management tool that notified the contractor of the contractual deficiency (e.g., management, quality, safety, or environmental deficiency report or letter).

PERFORMANCE ASSESSMENT BOARD RATING SUMMARY

Contract #: NXXXXX-YY-Z-1234 **Period of Rating: _____**

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 a serious problem(s) for which the contractor's corrective actions appear or were ineffective.	To justify an Unsatisfactory rating, identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted the Government. A singular problem, however, could be of such serious magnitude that it alone constitutes an unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the management tools used to notify the contractor of the contractual deficiencies (e.g., management, quality, safety, or environmental deficiency reports, or letters).

ATTACHMENT J-1502000-15

DoDEA/DDESS NC Camp Lejeune District
Camp Lejeune Dependents Schools
Total Maintenance Service Agreement-Chillers/Water Tower/Water Treatment

Total Maintenance HVAC Service for:

Two (2) York 269 ton rotary screw chillers, Model #YCAS0270EC46XGADBTX, S/N RHMM09319 and RHMM09320 located at Johnson Primary School, Bldg. 2027, 2027 Stone Street, Camp Lejeune NC.

One (1) Dunham-Bush 180 ton water cooled rotary screw chiller, Model WCFX18AR, S/N 6631101A96C, water tower, water treatment of condenser and chill water loop; one (1) Trane 90 ton air cooled rotary screw chiller, Model RTAA0904YF02A3COK, S/N U96H3617 located at Lejeune High School, Bldg. 835, 835 Stone Street, Camp Lejeune, NC (Base Year Only, units scheduled for replacement under MILCON Project, projected demolition is 1st Calendar Quarter 2017 (2nd Quarter FY 2017)

Two (2) Trane 180 ton air cooled rotary screw chillers, Model RTAC 1854 UW0N UAFN N1TX 1CDB NN6T N10A N0EX N, S/N U12L04892 and S/N U12L04891 located at Brewster Middle School, Bldg. 883, 883 Stone Street, Camp Lejeune, NC

Two (2) York 227 ton air cooled rotary screw chillers, Model #YC1V0227PA46VABSXT, S/N 2NWM009118 and 2NWM009119 located at Heroes Elementary School, Bldg. PP201, 100 Barnett Way, Camp Lejeune, NC.

Scope:

Chillers-provide total maintenance, parts and labor to include but not limited to all labor needed to diagnose, repair, or replace failed components of equipment covered under this requirement to include compressors and non-CFC refrigerant (R22, 123A, 134A, R410); twelve (12) operational visits that include four (4) preventive maintenance visits; annual condenser coil cleaning on air cooled units and annual tube bundle cleaning on water cooled units; annual oil analysis; and annual vibration analysis.

Water Tower-provide total maintenance, parts and labor, of tower, motor, gear box and fan; and annual cleaning of 200 ton Marley water tower, Model #NC8303CB, S/N NC801403-A1NC8303EICS04 1 located at Lejeune High, Bldg. 835 (Base Year Only, units scheduled for replacement under MILCON Project, projected demolition is 1st Calendar Quarter 2017 (2nd Quarter FY 2017).

Alternating the type of biocide used is preferred. Provide annual analysis of inhibitor in closed chill water loops and add inhibitor as needed at five (5) schools: Brewster Middle, Bldg. 883; Heroes Elementary, Bldg. PP201; Johnson Primary, Bldg. 2027; Bitz Intermediate, Bldg. 2028; Tarawa Terrace Elementary, Bldg. TT84.

Preventive Maintenance HVAC Service only for:

One (1) Trane 120 ton air cooled scroll packaged chiller, Model# CGAM 120F 2F02 AX02 A1A1 A1AX, S/N U12G31088 located at Tarawa Terrace Elementary School, Bldg. TT84, 84 Iwo Jima Blvd, Camp Lejeune, NC (Preventive Maintenance Only through Base Year ending date, move to Total Maintenance in 1st Option Year; 5-year warranty on parts and labor expires option year end on this unit).

One (1) York 260 ton air cooled variable speed screw chiller, Model #YVAA0275EUV46BA, S/N CM-416260 located at Tarawa Terrace Elementary School, Bldg. TT84, 84 Iwo Jima Blvd., Camp Lejeune, NC (chiller installed November 2015, includes 5 year entire parts and labor warranty).

One (1) York 180 ton air cooled variable speed screw chiller, Model# YVAA0183ABF46A, S/N CM-415660 located at Delalio Elementary School, Bldg. TC1500, 1500 Curtis Road, Marine Corps Air Station New River. (Unit on site, to be installed in new school building, will be under General Contractor's warranty for one year; includes 5 year entire parts and labor warranty).

Scope:

Chillers-provide preventive maintenance, parts and labor to include but not limited to all labor needed to diagnose equipment operation covered by this requirement; four (4) preventive maintenance visits; annual condenser oil cleaning; annual oil analysis; and annual vibration analysis. Repair and replacement of failed components will be provided under existing warranty. Component failures for equipment located at Tarawa Terrace Elementary and Delalio Elementary discovered during maintenance visits shall be reported to the District technical persons of contact.

Reporting-Total Maintenance and Preventive Maintenance:

Reports on test results of annual condenser and tube bundle cleaning, annual oil analysis, and annual vibration analysis of chillers; and annual cleaning of water tower and annual closed water loop inhibitor analysis shall be submitted to DoDEA/DDESS NC Camp Lejeune District Facilities Manager within ten (10) business days of test/cleaning. Electronic submission is acceptable.

Twelve (12) monthly reports of all work performed during the month shall be submitted to DoDEA/DDESS NC Camp Lejeune District Facilities Manager within ten (10) business days after the close of the month. Reports shall include location, dates and time work is performed, description of work performed, and list of equipment repaired, replaced or treated.