PERFORMANCE ASSESSMENT PLAN

N62473-14-R-4807
Habitat Enhancement MASC

PREPARED BY:

NAVFAC Southwest
San Diego, CA

ATTACHMENT J-1

1. Performance Assessment Plan

1.1 Introduction

The Performance Assessment Plan (PAP) establishes Performance Assessment (PA) provisions for Contracts resulting from solicitation N62473-14-R-4807 for natural resource services throughout the states of Arizona, California, and Nevada.

The PAP describes the methodology for assessing the Contractor's performance. Assessment of Contractor performance will be used for input into the Contractor Performance Assessment Rating System (CPARS) as well as for making a determination as to whether or not the Contractor will be awarded one or more of the five award option years (beyond the base year and four option years of this contract). The PAP includes a Functional Assessment Plan (FAP) and standard Performance Assessment Worksheets (PAW). The FAP and PAW form the basis for documenting and reporting Government observations and rating Contractor performance. The Government's role is to assess Contractor's work against measurable performance standards. Under Performance Based Service Acquisition (PBSA), the Contractor's role is to ensure its quality through successful implementation of its Quality Management System (QMS). Government PA is intended to ensure payments are made only for services that comply with contract requirements.

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

1.2 Roles and Responsibilities

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

Performance Assessment Representative (PAR). The PAR reviews submittals, periodically assesses and documents Contractor performance, evaluates Contractor's QMS, keeps current records of performance issues and results, and communicates findings as necessary with the Contractor, Senior PAR (SPAR), Contracting Officer (KO), and Contracting Officer Representative (COR), as applicable. The PAR responsible for performance assessment will be identified in each Task Order.

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

Contract Specialist (CS). The Administrative Contracting Officer or the Procuring Contracting Officer assigned to the contract.

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

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

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

1.3 Training

To effectively implement the PA Program, individuals who monitor the Contractor's performance should be experienced in the annex/sub-annex areas for which they are assigned and have sufficient experience and/or received adequate specialized training. 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 BMS B-18.3.6.

PARs, NTRs and 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.

1.4 Safety

Ensure that the Contractor is in compliance with safety requirements specified in Spec Item 2.10 of the contract. The PAR should be present during any local Safety briefings. If the PAR observes a violation of any safety requirements by the Contractor, the PAR should:

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

1.5 Security

The PAR should become familiar with all security requirements specified in Spec Item 2.10 of the contract and report any observed violations to the KO.

1.6 Submittals

The PAR should review reports and other submittals identified in each Task Order and ensure they comply with applicable requirements and specifications.

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.

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.

1.7 Meetings

The PAR should attend and be prepared for required meetings, including partnering sessions. The PAR/COR 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.

1.8 Methods of Assessment (MOA)

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

- Periodic Sampling (PS)) – requires a pre-determined plan for assessing a portion of the work, using sample size and frequency at the applicable assessment level
- Validated Customer Complaints (VCC) - consists of customers observing defects in the services they have received and using a pre-determined procedure to report these defects 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 in each FAP included in Attachment A.

1.9 Quality Management System (QMS)

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

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

1.10 Assessment Procedures

1.10.1 Post-Award Planning

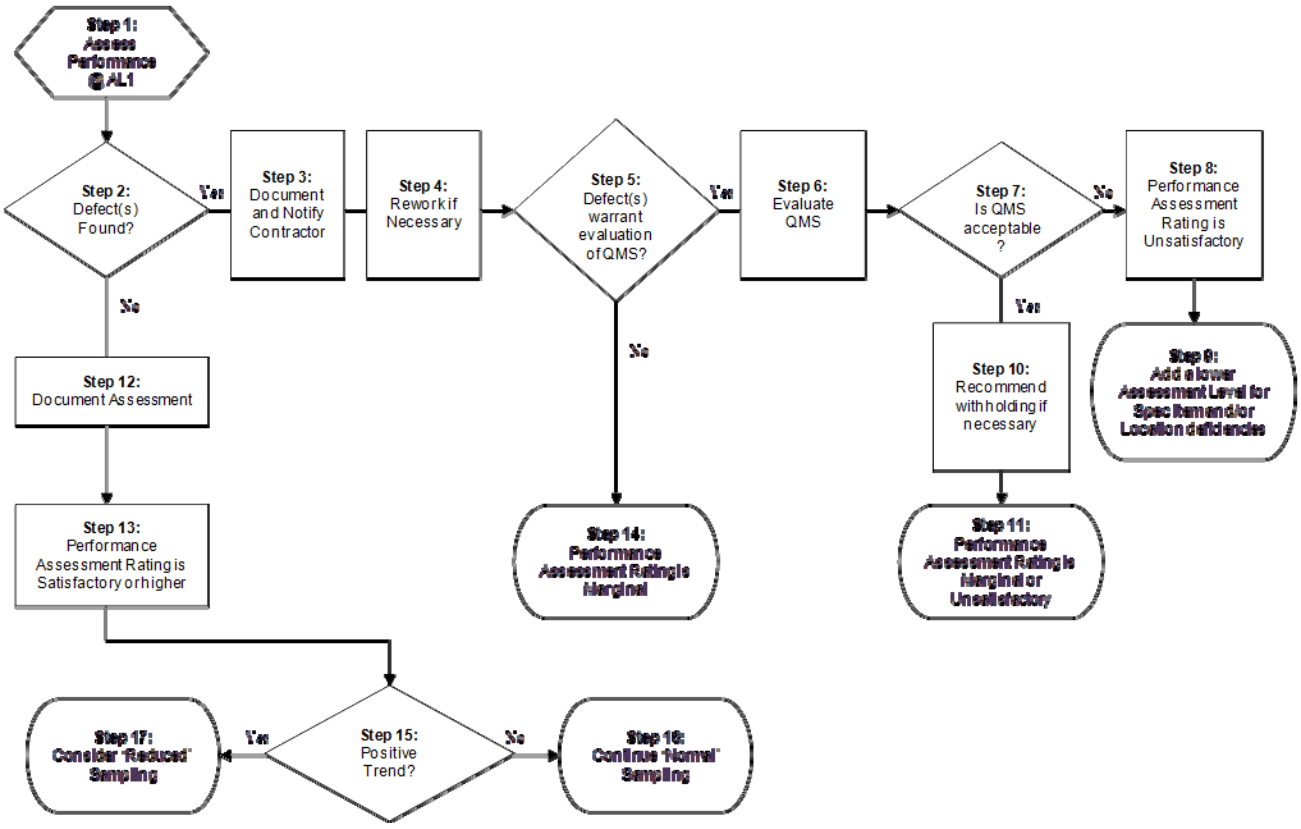
The PAR should review and understand contract requirements, performance objectives and standards, as well as the Contractor's technical proposal, QMS (including QC Plan), work schedules, and submittals. The PAR should develop a planned assessment schedule based upon factors such as selected MOAs, Contractor's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

1.10.2 Performance Assessment Process

The PAR/COR/SPAR 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 normal assessment at AL2 or AL3 based on performance risk considerations, e.g., services that are mission critical or have life safety impacts. 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 in paragraph 1.10.3 below

1.10.3 Performance Assessment Process

A PA will be conducted at the completion of each Task Order for Task Orders having performance periods fewer than six months in duration. PA will be conducted every six months for Task Orders having performance periods exceeding six months in duration. In addition, a PA will be immediately triggered if the PAR becomes aware of a defect or if a Customer Complaint is received.



The steps below detail the performance assessment process used by the PAR to observe, assess, document, and rate Contractor's performance:

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/COR 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. Validated customer complaints (VCC) or instances of non-conforming work discovered during unscheduled visits (UV) should also be documented as defects. Where customer complaints are received, all alleged defects must be evaluated within a reasonable time to validate that the performance standards were not met. Documentation will be completed using the Customer Complaint Record, Attachment 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 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. 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/COR should evaluate the Contractor's QMS to verify proper controls are in place to ensure the delivery of quality services. The PAR/NTR/COR 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/COR should document all findings, including a summary of the findings associated with the Contractor's QMS, on the PAW. The PAR/COR should rate the Contractor Unsatisfactory in accordance with the adjectival ratings included in the PARC. The PAR/NTR/COR should also document recommendations for withholding of payment on the PAW for non-conforming services when defects cannot be corrected by re-performance.

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/NTR/COR should document recommendations for withholding of payment on the PAW for non-conforming services when defects cannot be corrected by re-performance.

Step 11: Performance Assessment Rating is Marginal or Unsatisfactory – The PAR/COR shall document all findings, including a summary of the findings associated with the Contractor's QMS evaluation, on the PAW. The

PAR/COR should rate the Contractor Marginal or Unsatisfactory in accordance with the PARC adjectival descriptions. The PAR/COR 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/COR should rate the Contractor Satisfactory, Very Good, or Exceptional in accordance with the PARC adjectival descriptions. Jump to Step 15.

Step 14: Performance Assessment Rating is Marginal – The PAR/COR shall document all findings, including details of the failures to comply with performance objectives and standards on the PAW. The PAR/COR should rate the Contractor Marginal in accordance with the PARC adjectival descriptions. The PAR/COR should 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/COR should consider sampling at the reduced level (Jump to Step 17). If a trend has not yet been established the PAR/COR should continue normal sampling.

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

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

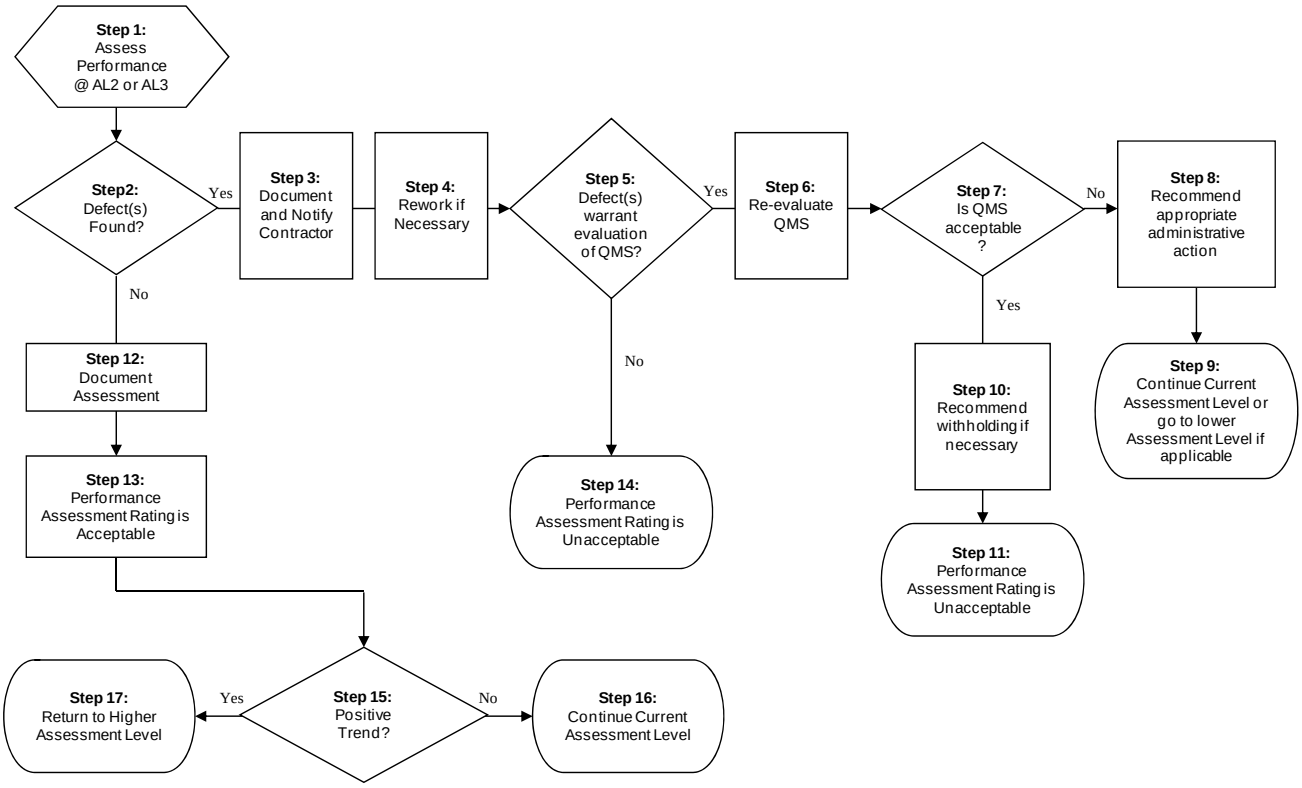


Figure 2. Performance Assessment Process for Assessment Level 2 or 3 (AL2 or AL3)

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

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/NTR/COR 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/COR will document the defect on the PAW and notify the Contractor. Validated customer complaints (VCC) or instances of non-conforming work discovered during unscheduled visits (UV) should also be documented as defects. Where customer complaints are received, all alleged defects must be evaluated within a reasonable time to validate that the performance standards were not met. Documentation will be completed using the Customer Complaint Record, Attachment 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 Performance Assessment Worksheet (PAW). If defects are found the PAR/COR 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/COR 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 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/COR should also document recommendations for withholding of payment on the PAW for non-conforming services when defects cannot be corrected by re-performance.

Step 9: Continue Current Assessment Level or go to lower Assessment Level if applicable – The PAR/COR 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/COR 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/NTR/COR 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/COR shall document all findings, including findings associated with the Contractor's QMS, which justify rating the Contractor's performance as Unacceptable. The PAR/COR 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/NTR/COR 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/COR shall document all findings which justify rating the Contractor's performance as Unacceptable. The PAR/COR 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/COR should return to a higher assessment level (Jump to Step 17). If a positive trend has not yet been established the PAR/NTR/COR should continue at the current assessment level.

Step 16: Continue Current Assessment Level – The PAR/COR 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/COR should discontinue the additional lower level assessment and move to a higher assessment level or reduce to normal AL1 assessment. [End of this assessment]

1.10.4 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/COR should take appropriate immediate action to stop work as necessary until the unsafe practices are properly corrected.

The PAR/COR 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/COR 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/COR 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/COR should coordinate with the local command Safety Representative for assistance in review of Contractor's APP.

The PAR/COR 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.

1.11 Assessment Summary and Evaluation Procedures

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.

1.11.1 Monthly Performance Assessment Summary (MPAS)

The PAR/COR and SPAR will collect, review, and evaluate the results of all performance assessments including PAW documentation, safety assessments, validated customer complaints, customer evaluations, trend data, and Contractor QMS corrective and preventive actions. The PAR/COR 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. *<<Note to Spec Writer/PAR/COR:* Include if applicable and desired for use on multifunction contracts, e.g., The SPAR/COR consolidates all annex/sub-annex ratings with supporting comments on the MPAS Coversheet, Attachment H, provides a recommended overall rating for the Contractor's performance, and validates the MPAS Coversheet by signing it.>> Supporting information (e.g. copies of completed PAWs, VCCs, Customer Evaluation forms, and other assessment documentation) should be made available with the MPAS.

1.11.2 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 PAR/COR and SPAR will determine the value of the estimated damages to the Government for non-conforming or non-performed work and recommend to the KO the appropriate withholding including liquidated damages (LDs), if any. 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.

1.11.3 Performance Assessment Board (PAB)

The Performance Assessment Board membership consists of the following:

PAB Chairperson –To be provided upon award of the contract, COR

PAB Member – To be provided upon award of the contract task order.

The PAB will convene semi-annually 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 Small Business Specialist, Site Safety Manager, Customer representative, etc. as specifically requested or approved by the PAB Chairperson. The personnel may participate in the discussion of Contractor performance, but will have no vote on consensus ratings.

The PAR/COR/SPAR 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 I. 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.

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

1.12 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.

2. Attachments

Attachment A: FUNCTIONAL ASSESSMENT PLAN (FAP)

ENVIRONMENTAL FAP	
Assessment Frequency: A Performance Assessment will be conducted at the completion of each Task Order for Task Orders having performance periods fewer than six months. A Performance Assessment will be conducted every six months for Task Orders having performance periods exceeding six months in duration. In addition, a Performance Assessment will be immediately triggered if the PAR becomes aware of a defect or if a Customer Complaint is received.	**Method of Assessment (MOA):** The MOA will vary by Task Order. MOA's may include the following (or combinations of the following): PS – Periodic Sampling VCC – Validated Customer Complaint UV – Unscheduled Visit CE – Customer's Evaluation Note: The first method listed in the MOA column is the primary assessment method.

TASK ORDER PERFORMANCE ASSESSMENT SUMMARY

(Attach *Task Order Performance Assessment Summary* to the PAW)

Annex/Sub-Annex: 1800000 Environmental **Task Order Number _____**

Task Order Status (circle as appropriate):
Task Order Complete / 6 Month Performance Assessment / Defect Discovered / Customer Complaint

Spec Item (List All Spec Items Included Under Task Order)	**Spec Item Title**	**Were All Performance Standards for Spec Item Met? (Yes / No)** (If "No", detail deficiency in the "Comments" box below.)
Example:		
4.1.12	*Archaeological Site Recordation Only*	*Yes*

Comments:

Recommended Actions:

SPAR Signature: **Date:**

PERFORMANCE ASSESSMENT WORKSHEET

ANNEX/SUB-ANNEX: **1800000 Environmental**

PAW (Indicate Level)	☐ 1	☐ 2	☐ 3	☐ IDIQ
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 IDIQ)				
☐ Exceptional	☐ Very Good	☐ Satisfactory	☐ Marginal	☐ Unsatisfactory

QUALITY MANAGEMENT SYSTEM
PRE-PERFORMANCE REVIEW CHECKLIST

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

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 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?	
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:	DATE:
CONTRACTOR QUALITY MANAGER:	DATE:
CONTRACTOR PROJECT MANAGER:	DATE:
SUBCONTRACTOR:	DATE:
SUBCONTRACTOR:	DATE:
SUBCONTRACTOR:	DATE:

CUSTOMER COMPLAINT RECORD

ANNEX/SUB-ANNEX: _____

CONTRACT NO:		DATE/TIME RECEIVED: RECEIVED BY:	
SOURCE OF COMPLAINT ORGANIZATION:	INDIVIDUAL:	PHONE:	
LOCATION:			
SPEC ITEM:	TITLE:		
DETAILS OF COMPLAINT:			
COMMENTS:			
Complaint Validation:	☐ Valid	☐ Non-valid	
PAR (signature): _____		DATE: _____	
CONTRACTOR (signature): _____ _____		DATE: _____	
REWORK:	☐ Acceptable	☐ Unacceptable	☐ N/A
PAR (signature): _____		DATE: _____	

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?	

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?	
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: _____

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: MPAS Coversheet

MONTHLY PERFORMANCE ASSESSMENT SUMMARY COVERSHEET

Contract #: _____ Month/Year: _____

<<Note to Spec Writer: **Insert any annexes/sub-annexes as appropriate. Remove annexes/sub-annexes that are not used and add more rows as necessary for additional annexes/sub-annexes.>>**

Annex/ Sub-annex	Title	Functional Annex/ Sub-annex Rating (mark using "X")					
		E	VG	S	M	U	N/A
1503010	Custodial (FFP Work)						
	Custodial (IDIQ Work)						
	Comments:						
1503020	Pest Control (FFP Work)						
	Pest Control (IDIQ Work)						
	Comments:						
1503030	Integrated Solid Waste Management (FFP Work)						
	Integrated Solid Waste Management (IDIQ Work)						
	Comments:						
1503060	Pavement Clearance (FFP Work)						
	Pavement Clearance (IDIQ Work)						
	Comments:						
OVERALL RATING FOR FFP AND IDIQ WORK							
SPAR: _____							
Signature: _____ Date: _____							

Performance Assessment Board 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:

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).
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).