

**AWARD FEE PLAN – FISCAL YEAR 2015**

**For**

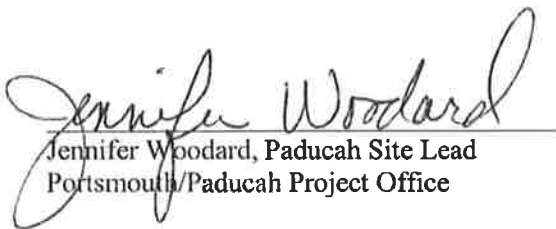
**SWIFT & STALEY INC.**

**Paducah Infrastructure  
Contract Number DE-AC30-10CC40021**

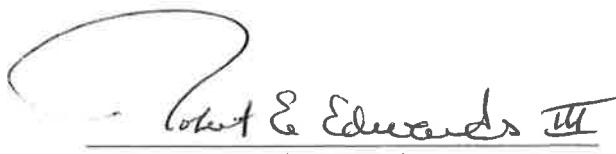
**Revision 1**

*Period of Performance 10/01/2014 through 11/30/2015*

CONCUR:

  
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Portsmouth/Paducah Project Office

APPROVED:

  
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## **1. INTRODUCTION**

The purpose of this award fee plan is to define the methodology and responsibilities associated with determining the fee to be awarded to the contractor. The plan outlines the organization, procedures, and evaluation periods for implementing the award fee provisions of the contract. The objective of the award fee is to motivate the contractor to achieve the highest standards and to emphasize key areas of performance.

This plan covers the period from October 1, 2014 through November 30, 2015.

This is a cost plus award fee contract and was awarded in 2009 with a five year term. The contract term was extended on March 13, March 20, and September 15, 2015. The contract provides infrastructure services for the Paducah Site and for delivery of a transition plan when the Paducah Gaseous Diffusion Plant is de-leased. The award fee amounts by evaluation period are provided in Section 6.

## **2. DEFINITION OF TERMS**

- a. **Contracting Officer:** The individual authorized to commit and obligate the government through the life of the contract. The Contracting Officer (CO) is an advisor to the Performance Evaluation Board (PEB).
- b. **Fee Determining Official:** The designated Agency official(s) who reviews the recommendations of the Award Fee Board in determining the amount of award fee to be earned by the contractor for each evaluation period.
- c. **Performance Evaluation Board:** The team of individuals identified in the award fee plan who have been designated to assist the Fee Determining Official (FDO) in making award fee determinations. The Performance Evaluation Board (PEB) chairperson is the Paducah Site Lead. Members of and advisors to the PEB are indicated in Exhibit 1.
- d. **Project Team Evaluators:** The individual(s) assigned to monitor and evaluate the contractor's performance on a continuing basis. The Project Team Evaluator's (PTE) evaluation is the primary point of reference in determining the recommended award fee, especially the technical support area of performance. The PTE are advisors to the PEB.
- e. **Technical Lead:** The individual who is most directly responsible for the satisfactory performance of the infrastructure services. The Technical Lead also serves as the recorder, who is responsible for ensuring the PEB is properly convened, which includes meeting place, time, advising all PEB members, preparing the agenda, and taking minutes. The Technical Lead is an advisor to the PEB.

## **3. AWARD FEE STRUCTURE**

The award fee will be structured into two sections, a category of performance (subjective) section and a performance based incentive (objective) section.

- a. The first section has been divided into the following general categories of performance: quality of documents and associated support functions, quality and effectiveness of Environment, Safety, Health and Quality Assurance Program, quality and effectiveness of project support, and quality and effectiveness of project management (including cost management). Each category will be evaluated separately and will receive a grade ranging from Unsatisfactory to Excellent. Safety will be a “gate criteria” where the contractor must maintain quarterly Paducah Site cumulative Days Away, Restrictions and Transfers (DART) and Total Recordable Cases (TRC) rates at or below the DOE Environmental Management Goal by the end of each reporting period. The Fiscal Year (FY15) Goal for DART is 0.6 and for TRC is 1.1. If the contractor fails to meet this “gate criteria”, 25% of the available subjective award fee will be unavailable to be earned during that evaluation period. The percent of fee placed on this section varies between the evaluation periods.
- b. The second section will include specific performance based incentive (PBI) criteria based on work to be performed during the annual evaluation period. PBIs will be determined prior to the annual evaluation period and an award fee amount assigned. If a PBI is not pass/fail or a specific scale is not applied, grades will be assigned from Excellent to Unsatisfactory for each specific PBI. These PBIs will be determined during the fourth quarter of the evaluation period for the upcoming evaluation period. This Award Fee Plan will be updated annually to include the new PBIs and approved by the PPPO Manager. The percent of fee placed on this section varies between the evaluation periods.

PBIs are designed to incentivize performance of work or early completion of work.

#### **4. ORGANIZATIONAL STRUCTURE**

- a. The Portsmouth/Paducah Project Office (PPPO) Manager will serve as the FDO and will establish a PEB. The PEB will assist the FDO in the award fee determination by recommending an award fee for the contractor's performance. If the FDO is absent, the PPPO Deputy Manager will serve as the FDO. If a PEB member is absent, the FDO will approve substitutes with similar qualifications. Technical and functional experts, as required, may serve in an advisory (non-voting) capacity to the PEB. See Exhibit 1 for members and potential advisors.
- b. A copy of the Award Fee Plan shall be provided to the contractor 30 days prior to the start of the first evaluation period. Changes which do not impact the award fee criteria or process, such as editorial or personnel changes may be made and implemented without being provided to the contractor 30 days prior to the start of the evaluation period.

#### **5. RESPONSIBILITIES**

- a. The PTE(s) will monitor and evaluate the contractor's performance. The PTE(s) will work closely with the CO and Technical Lead in performing surveillance duties. PTE(s) will use Exhibit 2, Award Fee Rating Table and Exhibit 3, Rating Criteria, in monitoring and evaluating contractor's performance.

- b. The Technical Lead will use the Award Fee Rating Table in Exhibit 2 to determine the adjective ratings to be reported to the PEB. The Technical Lead will be thoroughly familiar with current award fee policy, guidance, regulations, and correspondence pertinent to the award fee process. The Technical Lead will coordinate administrative actions required by the PTE(s), the PEB, and the FDO. Administrative actions include receiving, processing, and distributing performance evaluation inputs, scheduling and assisting with internal milestones, i.e., PEB briefings, and other actions as required for the smooth operation of the award fee process.
- c. The PEB members will review the PTE's evaluation reports and the Technical Lead's recommended adjectival rating, consider information from other pertinent sources, and develop a fee recommendation. The PEB chairperson will provide the fee recommendation to the FDO.
- d. The FDO will review the PEB's recommendations, consider all appropriate data, and notify the CO in writing of the final fee determination. The CO will forward the final fee determination to Director, Environmental Management Consolidated Business Center (EMCBC) for concurrence, as well as all other required documentation. The CO will prepare a letter for FDO signature notifying the contractor of the award fee amount. The CO will modify the contract to reflect the earned award fee for the performance evaluation period.

**6. AWARD FEE AMOUNTS AND PERIODS**

- a. The total award fee available is provided below. An annual amount will be available for each fiscal year subject to contract adjustments through modification of the contract.
- b. Below are the amounts currently available for each evaluation period:

<u>Evaluation Period</u>	<u>Amount Available</u>
October 1, 2014 – March 15, 2015	\$1,687,251
March 16 – September 15, 2015	\$1,241,638
September 16 – November 30, 2015	\$389,705
<b>Total Available</b>	<b>\$3,318,594</b>

- c. The amounts corresponding to each evaluation period is the maximum amount that may be earned during that particular period unless the amount is increased by contract modification. In accordance with the Contract Clause B.2 (d), a “provisional payment of a proportional quarterly amount equivalent of an amount up to 75% of the available award fee for the period may be permitted.” Additionally, all or part of this provisional award fee may be returned if the contractor's performance would result in an award fee far less than the provisional payment already earned.
- d. If the CO reduces fee in accordance with the Contract Clause I.119, the award fee pool for the evaluation period will be decreased by the equivalent amount.

- e. The Government may unilaterally revise the distribution of the award fee, as indicated in paragraph 5.b. above, in any subsequent evaluation periods. The CO will notify the contractor in writing of such changes in distribution before the relevant evaluation period begins and the award fee plan will be modified accordingly. After an evaluation period has begun, changes may only be made by mutual agreement of the parties. While the Government may unilaterally change the award fee amounts for each period or each rated criteria area prior to the start of each award fee period, the total amount of award fee available may not be unilaterally changed once established at the beginning of each contract period. Unearned fee will be forfeited and unavailable in subsequent evaluation periods.

## **7. AWARD FEE PROCESS (See Exhibit 5, Award Fee Process Flowchart)**

### **a. PTE Actions**

- (1) PTE(s) will continuously monitor and evaluate performance including, but will not be limited to, the routine interface and oversight of the contractor and the review of the provided services and work products submitted to U.S. Department of Energy (DOE) by the contractor. PTE(s) will also evaluate quarterly input by the contractor.
- (2) For the Category of Performance (CP) items, the PTE will regularly evaluate these items and rate the contractor on a quarterly basis. The PTE will use the appropriate CP rating criteria in Exhibit 3 to evaluate the contractor's performance. The PTE will review and evaluate each evaluation criteria for each CP item to determine the performance level of the contractor. If a weakness appears in any way to negatively impact Environmental Safety and Health (ES&H) performance or the safeguarding of restricted data pursuant to Clause I.119 of the contract, the PTE shall notify the Site Lead and the CO. A weakness for any Category of Performance is defined as any failure to meet CP evaluation criteria. The PTE will maintain all documentation for file maintenance. The PTE will use the documentation to ensure contractor has established adequate procedures to prevent recurrence of weaknesses.
- (3) At the end of each quarter, the PTE will submit to the Technical Lead the rating criteria, Exhibit 3, for all Category of Performance items. Based on the above evaluation results, the PTE will select the appropriate adjective rating with written notes on the strengths and weaknesses of the contractor to report to the Technical Lead.

### **b. Technical Lead's Actions**

- (1) The Technical Lead will select an adjective rating for each of the CP items based on his/her personal observations of performance and on the adjective rating reported by the PTE.
- (2) The Technical Lead will use Exhibit 4, Adjective Rating Summary Table, to record the PTE's adjective rating for the quarter and the Technical Lead's adjective rating. The Technical Lead is not permitted to change the PTE's adjective rating, though the Technical Lead is expected to perform analysis to ensure ratings match supporting written evaluations. If the written evaluations do not match the adjective ratings, the Technical Lead will bring this to the attention of the PTE member so that rater may consider providing more supporting information. In addition to reporting the PTE's notes on the strengths and weaknesses of the contractor, the Technical Lead will annotate his/her rationale for selecting a particular adjective rating.

- (3) The Technical Lead will use Exhibit 4, Annual Adjective Rating, to compute the annual adjective rating average for the award fee.
- (4) The Technical Lead will submit a completed Exhibit 4, Annual Adjective Rating, for presentation to the PEB.
- (5) The Technical Lead notifies PEB members and any advisors of the date and time of the PEB meeting in accordance with the schedule established by the PEB chairperson. Additionally, the Technical Lead notifies the contractor of the date and time of the PEB meeting and advises the contractor of when and how (written, oral, or both) he/she will be permitted to address the PEB as determined by the PEB chairperson. Generally, the contractor will be provided the opportunity to provide written materials and make an oral presentation. The presentation should be provided in advance and should be in the form of a self-assessment measured against each award fee criteria section. Prior to the PEB meeting, the Technical Lead will provide the PEB members with a page-numbered binder to include, at a minimum, the input for the fiscal year from the PTE members, the forms required to be completed during the evaluation meeting, and the contractor's award fee presentation.
- (6) The Technical Lead prepares functional area evaluation reports in a briefing format as determined by the PEB chairperson. The area report briefing should include a mix of specific and global evaluation comments so the PEB can get a holistic assessment of the contractor's performance.

**c. PEB Actions**

- (1) The Paducah Site Lead will chair the PEB. The FDO may approve the PEB members recommended by the chairperson. The PEB chairperson will establish dates, times, and places for the PEB meeting and notify the Technical Lead for appropriate notification to members, advisors, and the contractor. The chairperson will schedule the PEB meeting to ensure the PEB's recommended fee is presented to the FDO within 30 days following the close of the evaluation period.
- (2) PEB members will consider all information from the following sources in determining its award fee recommendation to the FDO:
  - (a) Evaluations submitted by the PTE's and Technical Lead. The Chairperson may require oral briefings by the functional area personnel.
  - (b) Information submitted by other sources as considered appropriate by the PEB.
  - (c) Contractor's written or oral (or both as determined by chairperson) self-assessment of performance.
- (3) Using Exhibit 4, Annual Adjective Rating Table; each member will document their adjective rating from Exhibit 2, Award Fee Rating Table, and provide their rationale by attaching notes to Exhibit 4 for their selection, if necessary.
- (4) The chairperson will collect and review members' Annual Adjective Rating Table, Exhibit 4. Lowering the adjective rating requires specific reasons, since the contractor will be aware

of all weaknesses from the PTE's quarterly evaluation. Once the chairperson is satisfied with the PEB's rating results, the chairperson will pass the individual member's rating sheets to the Technical Lead.

- (5) The Technical Lead summarizes individual member's adjective ratings using Exhibit 4, Summary of PEB's Rating and provides a summary of the adjective rating to ensure PEB consensus with the resulting overall rating. The PEB will then strive to gain consensus on a fee/fee range recommendation to the FDO.
- (6) The chairperson will prepare or will have the Technical Lead prepare a cover letter to transmit Exhibits 3 and 4, Summary of PEB's Rating, to the FDO, or will provide a briefing to the FDO.
- (7) During the fiscal year, the PEB Chair will meet with the contractor's manager to discuss the first through third Quarterly PTE and Technical Lead ratings upon request. If issues have been previously communicated by DOE to the contractor, this gives the contractor an opportunity to make corrective actions prior to the fourth quarter meeting of the PEB.

**d. FDO's Actions**

- (1) The FDO determines the final fee based upon all the information furnished and assigns a final percent of award fee earned for the evaluation period using the Exhibit 2 Award Fee Conversion Chart.
- (2) The FDO will notify the CO of his/her final determination of award fee.
- (3) The CO will submit to the EMCBC Director the final fee determination and all other required documentation for concurrence prior to final submittal to the contractor.
- (4) The FDO/CO must publish on their site's public website a one-page scorecard within 30 days after an award fee determination has been made. (HCA Directive 2.6, dated June 11, 2012)

**e. CO's Actions**

- (1) The CO will prepare a letter for the FDO's signature notifying the contractor of the amount of award fee earned for the annual period. Additionally, the letter will identify any specific areas of strengths and weaknesses in the contractor's performance.
- (2) The CO will unilaterally modify the contract to reflect the FDO's final determination of award fee. The modification will be issued to the contractor within 14 days after the CO receives the FDO's decision and EMCBC concurrence.

**8. TERMINATION FOR CONVENIENCE**

In the event that the contract is terminated for the convenience of the government, the remaining award fee payable for the current period will be a matter of equitable adjustment in accordance with the termination clause of the contract (Clause I.101). The remaining fee for all periods after the termination shall not be considered earned and therefore shall not be paid.



**EXHIBIT 1**

**PERFORMANCE EVALUATION BOARD MEMBERS AND ADVISORS**

Following are suggested members and advisors. PEB members will be filled by position rather than named specifically:

Site Lead, Paducah (Chairperson)	Jennifer Woodard
Deputy Manager, PPPO Lexington	Robert Edwards III
Lead Contracting Officer, PPPO Lexington	Rob Swett
*Contracting Officer	Tyler Hicks
*Attorney Advisor	Laura Sawyer
*Technical Lead	Stephen Casey
*Project Team Evaluators <sup>1</sup>	Russell, McCallister, Quality Assurance Mark Allen, Security James Woods, IT Buz Smith, Program Analyst Tom Hines, Nuclear Safety Oversight Lead Reinhard Knerr, GDP Federal Project Director Deborah Kerner, Financial Analyst

\*Advisors Only - Non-Voting Participants

<sup>1</sup>The PEB Chair may approve additional PTE's throughout the contract period of performance, as appropriate.

**EXHIBIT 2**

<b>AWARD FEE RATING AND CONVERSION TABLE</b>			
<b>ADJECTIVE RATING</b>	<b>PERCENTAGE</b>	<b>EVALUATION POINTS (overall weighted result)</b>	<b>DEFINITION</b>
EXCELLENT	91 to 100%	23-25	Contractor has exceeded almost all of the significant award fee criteria and has met overall cost, schedule, and technical performance requirements of the contract in the aggregate as defined and measured against the criteria in the award-fee plan for the award-fee evaluation period.
VERY GOOD	76 to 90%	20-22	Contractor has exceeded many of the significant award fee criteria and has met overall cost, schedule, and technical performance requirements of the contract in the aggregate as defined and measured against the criteria in the award-fee plan for the award-fee evaluation period.
GOOD	51 to 75%	12-19	Contractor has exceeded some of the significant award fee criteria and has met overall cost, schedule, and technical performance requirements of the contract in the aggregate as defined and measured against the criteria in the award-fee plan for the award-fee evaluation period.
SATISFACTORY	No greater than 50%	1-11	Contractor has met overall cost, schedule, and technical performance requirements of the contract in the aggregate as defined and measured against the criteria in the award-fee plan for the award-fee evaluation period.
UNSATISFACTORY	0%	0	Contractor has failed to meet overall cost, schedule, and technical performance requirements of the contract as defined and measured against the criteria in the award-fee plan for the award-fee evaluation period.*

\*NOTE: For those elements receiving a score of Unsatisfactory, no fee will be earned. Any unearned fee will be forfeited and not available in subsequent evaluation periods.

**EXHIBIT 3**

**Award Fee Types, Periods, and Weights**

<b>Award Fee Type</b>	<b>Period</b>	<b>Weighting</b>
Subjective Award Fee	Oct 1, 2014 – Mar 15, 2015	80%
PBI Award Fee 1. Fully Operational Information Technology Equipment for the Deactivation Contractor 2. Records Management (initial) Processing of Records 3. Nuclear Materials Control and Accountability (NMC&A) Services 4. Design/Construction/Installation of Paducah Gaseous Diffusion Plant (PGDP) 14kV Electrical Reconfiguration Modifications	Oct 1, 2014 – Mar 15, 2015	20%
Subjective Award Fee	Mar 16 – Sep 15, 2015	60%
PBI Award Fee Records Management – Extension – De-Inventorying the C-710 Records Vault	Mar 16 – Sep 15, 2015	40%
Subjective Award Fee	Sep 16 – Nov 30, 2015	80%
PBI Award Fee Records Management – Disposition of legacy records from sealand containers	Sep 16 – Nov 30, 2015	20%

<b>CATEGORY OF PERFORMANCE</b>	<b>Weighting</b>
1. Quality and Effectiveness of Security	25%
2. Quality and Effective Support to DOE	20%
3. Quality and Effective Site Infrastructure Services	40%
4. Cost Control Complete all scope of work identified in FY 15 Work Plan within 100% of the FY 15 contract value. 6% below will earn Excellent 4% below will earn Very Good 2% below will earn Good 0% will earn Satisfactory >100% will earn unsatisfactory	15%

**Performance Based Incentive for October 1, 2014 through March 15, 2015:**

The contractor can earn a total of 20% in PBI fee upon successful completion of PBIs described in detail below. “Successful” completion of these PBIs means meeting the performance requirements described below. In order to earn maximum available PBI fee, the contractor must complete the following:

**1) Fully Operational IT Equipment for the Deactivation Contractor (40% of the total PBI)**

The contractor will deploy networks, servers and equipment necessary to support transition and the Deactivation Contractor. The deployment of the IT equipment will allow for full operability and will include network and server hardware and storage that will provide the required initial resources for transition efforts and provide scalability to ramp up or down as needed.

- a) 40% of this PBI category fee will be earned if within eight hours of GDP turnover (de-lease) 90% of all deactivation IT equipment is fully operational, able to fulfill its intended purposes and the Deactivation Contractor’s needs and the IT equipment continues to be fully operational throughout the period of performance.
- b) 40% of this PBI category fee will be earned if within 24 hours of GDP turnover (de-lease) 100% of all deactivation IT equipment is fully operational, able to fulfill its intended purposes and the Deactivation Contractor’s needs and the IT equipment continues to be fully operational throughout the period of performance.
- c) 20% of this PBI category fee will be earned if within two months after GDP turnover (de-lease) all equipment is removed from the Kevil Server Room and relocated to the C-100 Server Room. This includes relocation of all IT personnel from Kevil to C-100.

**2) Records Management (25% of the total PBI) –** At the time of GDP turnover (de-lease) the contractor will receive and manage the drawings, documents, and records located in the C-100 downstairs vault, the C-100 upstairs vault, the C-710 records vault, and other records areas resulting from GDP turnover (de-lease) and convert these hard copy records (e.g. paper, x-ray, film, microfiche etc.) to electronic records.

- a) 50% of this PBI category fee will be earned if the Contractor converts 2,500 ft<sup>3</sup> of hard copy records into electronic records and make them available to the site contractors and DOE electronically including the assignment of DOE records schedule and disposition date by March 15, 2015.
- b) 5% of this PBI category fee will be earned for each additional 125 ft<sup>3</sup> of hard copy records that the Contractor converts into electronic records and make them available to the site contractors and DOE electronically including the assignment of DOE records schedule and disposition date up to a maximum of 1,250 ft<sup>3</sup> (For a Records Management PBI total of 3,750 ft<sup>3</sup>) by March 15, 2015.

**3) NMC&A Services (20% of the total PBI) –** Upon completion and validation of a fully operational NMC&A database the contractor will manage the NMC&A program and provide that service to the other site contractors as Government Furnished Services and Items (GFS&I) until transition of the NMC&A program database to the Deactivation Contractor at the end of the Contractor’s period of performance.

The contractor will earn this PBI category fee if the development, operation and transition from United States Enrichment Corporation (USEC) of the NMC&A program and database does not impact or delay GDP turnover (de-lease). 100% of this PBI category fee will be earned if the database is completed and operational by turnover and remains operational throughout the period of performance.

The contractor will begin transition of NMC&A services to the Deactivation Contractor 30 days prior to the end of the performance period. Complete transition to the Deactivation Contractor shall occur at the end of the contractor's performance period. The NMC&A service will include, but not be limited to, NMC&A program management under current, applicable DOE directives, NMC&A subject matter expert services, inventory accounting, tracking of foreign obligations, preparation and transmittal of reports to Nuclear Materials Management and Safeguards System and DOE financial services, NMC&A training.

4) **Design/Construction/Installation of PGDP 14kV Electrical Reconfiguration Modifications (15% of the total PBI) –**

- a. As part of the design, procurement and installation of the 14kV electrical reconfiguration work scope the contractor will earn 45% of this PBI category fee with the completion of the Certified for Construction (CFC) package by November 21, 2014.
- b. The contractor will earn 55% of this PBI category fee for the procurement, installation and testing of the new 14kV jumper cables, new cable trays and reconnection of existing 14kV cell feeders in C-333, C-335 and C-337 buildings as specified in the CFC package by February 28, 2015. 14kV feeder shall be installed and tested from a location adjacent to an exterior wall where the cable will penetrate and ultimately be connected to a new overhead feeder to a location above an existing auxiliary substation where the cable will ultimately be terminated. In addition, new 14kV jumpers, to be installed between existing auxiliary substations, shall also be installed to a location above existing auxiliary substation where the cable will ultimately be terminated and tested. This work must be completed as required in the CFC package by February 28, 2015.

**Performance Based Incentive for March 16 through September 15, 2015:**

The contractor can earn a total of 40% in PBI fee upon successful completion of PBIs described in detail below. "Successful" completion of these PBIs means meeting the performance requirements described below for Item 1. In order to earn maximum available PBI fee, the contractor must complete the following:

- 1) **Records Management – Extension (40% of total fee for the period) –** The Contractor shall complete de-inventorying and shut-down of the C-710 vault by properly segregating, organizing, and dispositioning 4,000 cubic feet of records located in C-710. In the event less than 4,000 cubic feet are remaining in the C-710 vault (or other C-710 records areas), after completion of the Records Management – Initial PBI, the Contractor shall continue processing records in the C-100 vault. No credit is given towards this PBI for completion of the 3750 ft<sup>3</sup>

Records Management - the initial PBI #2 (period between Oct. 1, 2014 – Mar. 15, 2015, shown on prior page). Disposition may include shipment of records to a Federal Records Center (FRC) or the National Archives and Records Administration (NARA) or upload of electronically scanned records into Documentum. Disposition includes DOE and FRC/NARA reviews/approvals prior to shipment of temporary and permanent records or quality checking of scanned records utilizing a graded approach. All scanned records will be shredded upon quality check verification. Any records beyond the scheduled retention period shall be submitted to DOE for destruction approval and neither shipped nor scanned as referenced in the Records Management Plan. Any records beyond the scheduled retention period but subject to a litigation hold shall be shipped to a FRC or NARA holding facility.

- a) **20% of total fee for the period** will be earned if the Contractor compliantly dispositions or converts 3,000 ft<sup>3</sup> of hard copy records into electronic records and make them available to the site contractors and DOE electronically including the assignment of DOE records schedule and disposition date by September 15, 2015.
- b) **10% of total fee for the period** will be earned if the Contractor empties the C-710 vault and other Contractor retained records management space in C-710 and turns it over to the Deactivation Contractor by September 15, 2015.

AND

- c) **10% of total fee for the period** will be earned for disposition of hard copy records (2% earned for each additional 200 ft<sup>3</sup>, for a maximum of 1000 ft<sup>3</sup>) that the Contractor compliantly dispositions or converts into electronic records and makes them electronically available to the site contractors and DOE. This includes the assignment of DOE records schedule and disposition up to a maximum of 1,000 ft<sup>3</sup> (for a combined total of 4,000 ft<sup>3</sup>) by September 15, 2015.

**Performance Based Incentive for September 16 through November 30, 2015:**

The contractor can earn a total of 20% in PBI fee upon successful completion of the PBI described in detail below. “Successful” completion of these PBI means meeting the performance requirements described below. In order to earn maximum available PBI fee, the contractor must complete the following:

**Records Management – Disposition of legacy records from sealand containers (20% of total fee for the period)** – The Contractor shall segregate, organize, and disposition records and non-record information from:

- Legacy Request for Disposal (RFD) records
- Non-responsive, non-record materials
- Responsive, non-record material related to Waste Operations and DOE Material Storage Areas (DMSA) under litigation hold.

To demonstrate completion of this PBI, the contractor shall provide proof of disposition of either destruction, or items sent to records centers, and numbered indices for items scanned for all items removed from eighteen (18) sea-land containers (as provided with contract Modification-164).

**Evaluation Criteria, Subjective Award Fee**

1. PTE assigns rating (0-25) for each Category of Performance
2. Multiply weighting percentage to each Category of Performance to arrive at weighted result.
3. Add weighted results together to arrive at overall weighted result.

**Example:**

PTE Ratings: Quality and Effective Support to DOE — 24  
Quality and Effective Site Infrastructure Services — 23  
Quality and Effectiveness of Security — 21  
Cost Control — 20

Weighted Result:  $(24 \times 20\%) + (23 \times 40\%) + (21 \times 25\%) + (20 \times 15\%)$   
 $= 6 + 4.6 + 8.4 + 3 = 22$

Overall Weighted Result: 22

Adjective rating (In Accordance with Award Fee Conversion Chart): Very Good

**FDO Decision:**

The earned award fee amount indicated by the use of a conversion table or graph is a guide to the FDO. Use of the Award Fee Conversion Chart does not remove the element of judgment from the award-fee process.

Project Team Evaluator (PTE) Name: _____		FY: _____ Quarter: _____				
CATEGORY OF PERFORMANCE (EVALUATION WEIGHTING)	EXCELLENT (E)	VERY GOOD (VG)	GOOD (G)	SATISFACTORY (S)	UNSATISFACTORY (U)	N/A
<b>1. Quality and Effectiveness of Security (25%)</b>	23-25	20-22	12-19	1-11	0	
<b>EVALUATION CRITERIA</b>	Check Appropriate Box					
1.a Physical, personnel, classified, information and cyber/IT, security programs in place, effective and compliant with requirements.	Excellent	<input type="checkbox"/>	E – Programs effective & compliant w/little to no direction from DOE. VG – Effective & compliant w/direction from DOE. G – In place and compliant. S – In place but not fully compliant. U – Not compliant or effective.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
1.b Security policies, plans, and procedures up to date and coordinated effectively with Portsmouth to improve efficiency across sites.	Excellent	<input type="checkbox"/>	E – Security up to date and coordinate at least quarterly with Portsmouth and implement changes effectively when warranted. VG – Coordinate at least semi-annually and rest of above. G – Coordinate at least annually and rest of above. S – Do not coordinate but implement lessons learned supplied by Security Officer. U – Perform no lessons learned implementation at all.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
1.c Quality, timeliness and adequacy of security documents and submittals to DOE, including all security deliverables.	Excellent	<input type="checkbox"/>	E- >95% of milestones met requiring minimal direction from DOE. VG - >90%. G - >85% or deliverables require greater than minimal input from DOE. S - >80%. U - >75% or deliverables require substantial input from DOE.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
1.d Cyber security programs in place, effective and compliant with requirements.	Excellent	<input type="checkbox"/>	E – Programs effective & compliant w/little to no direction from DOE. VG – Effective & compliant w/direction from DOE. G – In place and compliant. S – In place but not fully compliant. U – Not compliant or effective.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
1.e Physical and information security programs support project schedules and use an effective graded approach, as allowed by requirements, to maximize productivity of site personnel.	Excellent	<input type="checkbox"/>	E – Security acts holistically across the entire PGDP, plans for required services ahead of time as well, and acts as DOE’s representative. VG – Plans for required services and effectively supports the PPPO Security Officer. G – Is responsive to site needs and does not delay projects. S – Rarely delays projects and delays are extremely minimal. U – Delays projects more than a day.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				



<b>Project Team Evaluator (PTE)</b>		<b>FY: _____ Quarter: _____</b>				
<b>Name: _____</b>						
<b>CATEGORY OF PERFORMANCE (EVALUATION WEIGHTING)</b>	<b>EXCELLENT (E)</b>	<b>VERY GOOD (VG)</b>	<b>GOOD (G)</b>	<b>SATISFACTORY (S)</b>	<b>UNSATISFACTORY (U)</b>	<b>N/A</b>
<b>2. Quality and Effective Support to DOE (20%)</b>	23-25	20-22	12-19	1-11	0	
<b>EVALUATION CRITERIA</b>	Check Appropriate Box		NOTES ON STRENGTHS AND WEAKNESSES			
2.a Customer relations given priority consideration. PTE will utilize customer surveys and interaction with customers.	Excellent		Customer relations is a subjective criteria based on responsiveness and is specific to the customer. Customers will be contacted for their input by PTE members.			
	Very Good					
	Good					
	Satisfactory					
	Unsatisfactory					
	N/A					
2.b Provides efficient and effective engineering services, administrative services, project control tasks and information management services, including IT support.	Excellent		E – Evaluates engineering projects holistically to anticipate site needs, coordinate services & implement cost savings. Services meet or exceed all requirements. Admin equipment is repaired within 24 hours. Project controls documents require little to no input from DOE. IT is very responsive, does not delay office moves, and has equipment operating same day as office moves. (Rest are changes only). VG – Admin equipment is repaired within 48 hours. G – IT has computer equipment operating next day after office moves. Engineering responsive but does not anticipate site needs. S – Project Controls requires more than minimal input to deliverables. U – Projects do not meet engineering requirements. Admin equipment does not support DOE requirements. Project Controls deliverables returned for rework regularly.			
	Very Good					
	Good					
	Satisfactory					
	Unsatisfactory					
	N/A					
2.c Successfully manages the GFSI services.	Excellent		This is a subjective criteria as GFS&I is coordinated with deactivation contractor and the service can vary from quarter to quarter.			
	Very Good					
	Good					
	Satisfactory					
	Unsatisfactory					
	N/A					
2.d Evaluates and anticipates site and site tenants’ needs. Evaluates these needs holistically and provides suggestions to meet these needs.	Excellent		E – Coordinates with site tenants to provide coordinated services. (eg. If a backhoe will be needed for two projects, schedule the projects for the same period to avoid two separate rentals.) Attends every Shared Site meeting. All required services are provided on time and within costs. VG – Attends 95% of Shared Site meetings and 95% of required services are provided on time and within costs. G – Coordination meets minimal needs and not all coordination is fully effective. S – Share Site meeting attendance is less than 95% and SST is only reacting to site needs. U – Cost and project management is causing project delays for customers.			
	Very Good					
	Good					
	Satisfactory					
	Unsatisfactory					
	N/A					

<b>Project Team Evaluator (PTE)</b>						
Name: _____				FY: _____ Quarter: _____		
<b>CATEGORY OF PERFORMANCE (EVALUATION WEIGHTING)</b>	EXCELLENT (E)	VERY GOOD (VG)	GOOD (G)	SATISFACTORY (S)	UNSATISFACTORY (U)	N/A
<b>3. Quality and Effective Site Infrastructure Services (40%)</b>	23-25	20-22	12-19	1-11	0	
<b>EVALUATION CRITERIA</b>	Check Appropriate Box		NOTES ON STRENGTHS AND WEAKNESSES			
3.a Effectively provides labor, subcontractors, facilities, equipment, materials and supplies to accomplish required scope of work.	Excellent	<input type="checkbox"/>	E – Contractor coordinates with DOE to explain personnel management and seeks cost reductions where feasible. VG – Moves personnel, equipment, and materials between work activities to ensure they are fully occupied. G – Performs work scope effectively while staying below Estimate at Complete (EAC). S – Ensures the contract Statement of Work (SOW) is performed without exceeding EAC. U – Cannot stay below EAC without deleting some SOW as defined in the contract.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
3.b Timely submits quality contract deliverables. Maintains an approved property control system.	Excellent	<input type="checkbox"/>	E- >95% of milestones met requiring minimal direction from DOE. Property Control system is rated highly during annual EMCBC audit. VG - >90%. G - >85% or deliverables require greater than minimal input from DOE. Property Control System is rated less than highly during annual EMCBC audit. S - >80%. U - >75% or deliverables require substantial input from DOE.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
3.c Infrastructure services provided to other site contractors (e.g., rad equipment, calibration, mowing) are coordinated and implemented so as to optimize cost effectiveness, support project schedules, and maximize performance site mission/projects.	Excellent	<input type="checkbox"/>	E – Holistic cost savings are pursued, projects are not delayed, and services are coordinated with site customers. VG – Costs are controlled adequately, rest remains unchanged. G – SST is responsive, rest remains unchanged. S – Project delays are minimal and recoverable. U – Costs are not controlled or project delays by customers due to SST actions are not recoverable and/or significant.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				

Project Team Evaluator (PTE) Name: _____		FY: _____ Quarter: _____				
CATEGORY OF PERFORMANCE (EVALUATION WEIGHTING)	EXCELLENT (E)	VERY GOOD (VG)	GOOD (G)	SATISFACTORY (S)	UNSATISFACTORY (U)	N/A
<b>3. Quality and Effective Site Infrastructure Services (40%)</b>	23-25	20-22	12-19	1-11	0	
3.d Has a fully effective ISMS program, ES&H program, and conducts all work safely. Implements Conduct of Operations to ensure work processes are properly and safely executed.	Excellent		E – Significant progress is made to Voluntary Protection Plan (VPP) Star status, both TRC and DART goals are exceeded, and the ISMS program is evaluated highly by DOE. VG – Either TRC or DART goal is exceeded, rest remains unchanged. TRC and DART goals are met or almost met, rest remains unchanged. S – VPP remains stable merit with no degradation in ISMS level. U – Both TRC and DART rate goals are not met or ISMS and VPP are determined to have degraded.			
	Very Good					
	Good					
	Satisfactory					
	Unsatisfactory					
	N/A					
3.e Provides effective site power services, including but not limited to, power purchases for site projects, coordination with power companies for construction and other special activities, and coordination with the D&D project for strategic planning needs.	Excellent		E – Power operations holistically evaluates site needs, actively pursues cost savings, monitors power use, and provides recommendations to DOE to save power costs. VG – Coordinates with site tenants to meet power needs and pursues cost savings were possible. G – Meets all power needs, provides recommendations for effective power purchase and does not delay projects. S – Does not delay projects due to power issues. U – Delays projects due to a lack of power.			
	Very Good					
	Good					
	Satisfactory					
	Unsatisfactory					
	N/A					

<b>Project Team Evaluator (PTE)</b>		<b>FY: _____ Quarter: _____</b>				
Name: _____						
CATEGORY OF PERFORMANCE (EVALUATION WEIGHTING)	EXCELLENT (E)	VERY GOOD (VG)	GOOD (G)	SATISFACTORY (S)	UNSATISFACTORY (U)	N/A
<b>4. Cost Control (15%)</b>	23-25	20-22	12-19	1-11	0	
<b>EVALUATION CRITERIA</b>		Check Appropriate Box		NOTES ON STRENGTHS AND WEAKNESSES		
4.a Presents programmatic/strategic initiatives which result in tangible savings to DOE (cost, schedule or risk).	Excellent	<input type="checkbox"/>	This is subjective as some quarters DOE can get one recommendation that is substantial and shows the contractor is Excellent, while other periods we can get a series of smaller recommendations that shows the same. Conversely, some quarters DOE has received a series of recommendations that were simply within contract scope and part of maintaining a standard program and did not show active initiatives.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
4.b Performs site tasks in most cost effective manner consistent with approved baselines. Controls direct and indirect labor costs.	Excellent	<input type="checkbox"/>	E – Baselines are in place and followed. BCPs and Request for Equitable Adjustments (REAs) are approved with minimal input from DOE. VG – Baseline Change Proposals (BCP) and REAs require more than minimal input from DOE. G – SOW is executed within baseline but more than minimal overtime is required. (eg. More than what is required to minimize operational perturbations.) S – BCPs and REAs take significant periods to review and approve and DOE direction is required for the baseline to be followed. U – The baseline is not followed on a regular basis.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
4.c Performs effective personnel utilization analyses and utilizes personnel efficiently.	Excellent	<input type="checkbox"/>	This is subjective as some periods there is a dynamic change in scope that requires substantial personnel analyses and utilization of personnel while at other times the situation can be static and there are little to no active evaluations of the personnel situation. This criteria will remain subjective.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				
4.d Coordinates with site contractors and identifies opportunities for effective use of resources.	Excellent	<input type="checkbox"/>	E – Holistically evaluates projects, coordinates with site tenants and shares resources where effective. VG – Evaluates projects, coordinates with site tenants, and does not impact site tenants’ projects. G – Evaluates projects and manages personnel internally to save costs. S – Manages personnel internally to ensure personnel are fully utilized. U – Personnel are not fully utilized and/or site tenants’ projects are negatively impacted.			
	Very Good	<input type="checkbox"/>				
	Good	<input type="checkbox"/>				
	Satisfactory	<input type="checkbox"/>				
	Unsatisfactory	<input type="checkbox"/>				
	N/A	<input type="checkbox"/>				

**EXHIBIT 4**

**Adjective Rating Summary Table**

<u>CATEGORY OF PERFORMANCE</u>	<u>ADJECTIVE RATING</u>
1. Quality and Effectiveness of Security	
2. Quality and Effective Support to DOE	
3. Quality and Effective Site Infrastructure Services	
4. Cost Control	

**Adjective Rating Table**

<b>ADJECTIVE RATING</b>					
<i>(IDENTIFY RATING PERIOD)</i>					
<u>CATEGORY OF PERFORMANCE</u>	<u>ADJECTIVE RATING</u>				
	1 <sup>ST</sup> Quarter	2 <sup>ND</sup> Quarter	3 <sup>RD</sup> Quarter	4 <sup>TH</sup> Quarter	Rating for the Year
1. Quality and Effectiveness of Security					
2. Quality and Effective Support to DOE					
3. Quality and Effective Site Infrastructure Services					
4. Cost Control					

**Summary of PEB's Rating**

<b>SUMMARY of PEB'S RATING</b>				
<i>(IDENTIFY ANNUAL PERIOD)</i>				
Member	Security	Effective Support to DOE	Site Infrastructure Services	Cost Control
Insert Name of Voter				
Insert Name of Voter				
Insert Name of Voter				
<b>TOTALS</b>				

**EXHIBIT 5**

**AWARD FEE PROCESS**

