

**AWARD FEE PLAN – FY 15**

**for**

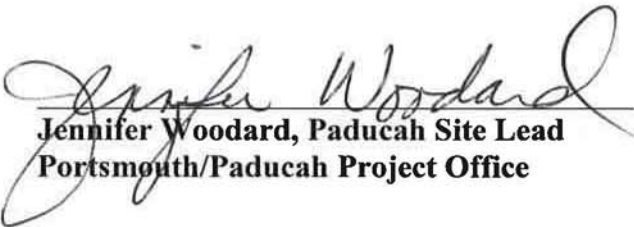
**LATA Environmental Services of Kentucky, LLC**

**Paducah Remediation**

**Contract Number DE-AC30-10CC40020**

*Period of Performance 10/01/2014 through 07/25/2015*

CONCUR:

  
Jennifer Woodard, Paducah Site Lead  
Portsmouth/Paducah Project Office

APPROVED:

  
William E. Murphy, Manager  
Portsmouth/Paducah Project Office

**AWARD FEE PLAN  
FOR  
LATA Environmental Services of Kentucky, LLC  
  
DE-AC30-10CC40020**

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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, evaluation criteria and evaluation periods for implementing the award fee provisions of the contract. The objective of the award fee is to motivate the contractor to substantially exceed standards and to emphasize key areas of performance without jeopardizing minimum acceptable performance in all other areas.

This plan covers the period from October 1, 2014 through July 25, 2015.

This is a cost plus award fee contract and was awarded in 2010 with a five year term with an award fee percentage of 5.5% and a base fixed fee percentage of 2%. The contract provides remediation services for the Paducah Site. The award fee amounts are provided in Section 6.

## **2. DEFINITION OF TERMS**

- a. **Contracting Officer (CO):** The individual authorized to commit and obligate the government through the life of the contract. The CO is an advisor to the Performance Evaluation Board (PEB).
- b. **Fee Determining Official (FDO):** The individual who makes the final determination of the amount of fee to be awarded to the contractor.
- c. **Performance Evaluation Board (PEB):** The group of individuals who review the contractor's performance and recommend an award fee to the FDO. The PEB chairperson is the DOE Site Lead, Paducah. Members of and advisors to the PEB are indicated in Exhibit 1.
- d. **Project Team Evaluators (PTE):** The individual(s) assigned to monitor and evaluate the contractor's performance on a continuing basis. The PTE's evaluation is the primary point of reference in determining the recommended award fee, especially the technical support area of performance. The PTE is an advisor(s) to the PEB.
- e. **Technical Lead (TL):** The individual who is most directly responsible for the satisfactory performance of the remediation services. The TL manages the award fee evaluation process, coordinates the development of the award fee plan and subsequent revisions, and also serves as the recorder, who is responsible for insuring the PEB is properly convened, which includes meeting place, time, advising all PEB members, preparing the agenda, and taking minutes. The TL is an advisor to the PEB.

## **3. AWARD FEE STRUCTURE**

The award fee is structured into two sections: categories of performance section (subjective) and a performance based incentive section (objective). In addition to the award fee, the contract also has a base fixed fee percentage of 2% which is not addressed in this plan.

- 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 (ESH&QA) 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 Department of Energy (DOE) Environmental Management (EM) 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 will be 40%.
- 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. Grades will be assigned from Unsatisfactory to Excellent for each specific PBI. The percent of fee placed on this section will be 60%. These PBIs will be determined during the third 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 Portsmouth/Paducah Project Office Manager.

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

- a. The Manager, Portsmouth/Paducah Project Office, 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 a PEB member is absent, the FDO will approve substitute(s) 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. The award fee for this contract shall be awarded upon the unilateral determination of the FDO that an award fee has been earned. The unilateral decision is made solely at the discretion of the Government. This determination shall be based upon the FDO's evaluation of the Contractor's performance, as measured against the evaluation criteria set forth in the award fee plan. 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
- c. A copy of the Award Fee Plan shall be provided to the contractor 30 days prior to the start of the first evaluation period. This Award Fee Plan shall include both categories of performance and specific performance-based incentive award fee criteria (i.e., PBIs) as described in Section 3. 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 (TL) 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. Monitoring and evaluating performance will include but not be limited to the routine interface and oversight of the contractor and the review of the provided services and work products submitted to DOE by the contractor. PTE(s) will also evaluate quarterly input by the contractor.
- b. The TL will use the Award Fee Rating Table in Exhibit 2 to determine the adjective ratings to be reported to the PEB. The TL will be thoroughly familiar with current award fee policy, guidance, regulations, and correspondence pertinent to the award fee process. The TL 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 TL'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 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**

The award fee that is available to be earned for the sixth period is \$2,338,189<sup>1</sup>. An annual amount will be available for each fiscal year subject to contract adjustments through modification of the contract.

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<sup>1</sup> Once the FY15 Budget Request is approved and work elements are adjusted, including definitizing Change Orders that have been issued to LATA Kentucky, the remaining award fee that can be earned will also be adjusted. LATA Kentucky's contract will be modified to add work FY15 and the award fee will be adjusted accordingly.

- a. Following are the amounts currently available for each evaluation period:

<u>Annual</u>	<u>Period</u>	<u>Amount Available*</u>
Sixth	10/01/2014-07/25/2015	\$2,338,189

\* Award fee amount includes fee that will only be available if work scope is authorized by the Contracting Officer.

- b. 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 payment period may be permitted.” Any portion of award fee not awarded for an evaluation period may not be transferred to another evaluation period.
- c. If the CO reduces fee in accordance with the Contract Clause I.131 entitled “DEAR 952.223.76 Conditional Payment of Fee or Profit – Safeguarding Restricted Data and Other Classified Information and Protection of Worker, Safety and Health (AUG 2009)”, the award fee pool for the evaluation period shall be decreased by the equivalent amount.
- d. The Government may unilaterally revise the distribution of the award fee, as indicated in paragraph 6b 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 evaluation period.

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

a. **PTE Actions**

- 1) PTE(s) will continually monitor and evaluate the contractor’s performance using the criteria contained in Exhibit 3, Rating Criteria. Monitoring and evaluating performance will include but not be limited to the routine interface and oversight of the contractor and the review of the provided services and work products submitted to DOE by the contractor. PTM(s) will also evaluate quarterly input by the contractor.
- 2) For the Category of Performance (CP) items, the PTE will evaluate these items 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 ES&H performance or the safeguarding of restricted data pursuant to 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 TL 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 TL.

b. **Technical Lead's Actions**

- 1) The Technical Lead (TL) 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 TL will use Exhibit 4, Adjective Rating Summary Table, to record the PTE's adjective rating for the quarter and the TL's adjective rating. The TL is not permitted to change the PTE's adjective rating. In addition to reporting the PTE's notes on the strengths and weaknesses of the contractor, the TL will annotate his/her rationale for selecting a particular adjective rating.
- 3) The TL will use Exhibit 4, Annual Adjective Rating, to compute the annual adjective rating average for the award fee.
- 4) The TL will submit a completed Exhibit 4, Annual Adjective Rating, for presentation to the PEB, along with a draft Performance Evaluation Report (PER).
- 5) The TL 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.
- 6) The TL 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 TL notifies the contractor of the date and time of 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 (limited to no more than 20 pages) and make an oral presentation of up to 30 minutes. 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 TL 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, functional area evaluation reports, the forms required to be filled out during the evaluation meeting, the contractor's award fee presentation, and the draft PER.

c. **PEB Actions**

- 1) Site Lead, Paducah 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 (TL) 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 PTEs and TL. 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.
- 4) The chairperson will collect members' Annual Adjective Rating Table, Exhibit 4, and review them. If any member's adjective rating is "below standards" and this rating is lower than a PTE(s) adjective rating for that same area, appropriate discussions with that member(s) should be conducted to determine the member's rationale. 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 TL.
- 5) The TL summarizes individual member's adjective ratings for the rating criteria 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. The chairperson will have the TL update the draft Performance Evaluation Report (PER) with changes based on PEB input, as necessary.
- 6) The chairperson will prepare or will have the TL prepare a cover letter to transmit Exhibits 3 and 4; Summary of PEB's Rating, and the final PER to the FDO.



- 7) The PEB Chair will meet with the contractor's manager quarterly (the first through third quarters) to discuss PTE and TL ratings, upon request. If issues have not 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 obtains Head of Contracting Activity (HCA) concurrence and notifies the CO in writing or via electronic correspondence of his/her final determination of award fee.

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. This modification will decrease the total value of the contract commensurate with the amount of the fee unearned. The modification will be issued to the contractor within 14 days after the CO receives the FDO's decision.
- 3) In accordance with Head of Contracting Activity, Office of Environmental Management Directive, (EM HCA Directive 2.6, dated June 11, 2012), the CO will post on the local Portsmouth/Paducah website the (a) Modification (if applicable), (b) one-page scorecard, (c) Award Fee Determination Letter, (d) final Performance Evaluation Report.

**8. TERMINATION FOR CONVENIENCE**

In the event that the contract is terminated for the convenience of the government (Clause I.114), the remaining award fee payable for the current period may be available for equitable adjustment in accordance with the termination clause of the contract. The remaining fee for all periods after the termination shall not be considered earned and therefore shall not be paid.

**PERFORMANCE EVALUATION BOARD MEMBERS AND ADVISORS**

Fee Determining Official:

Manager, PPPO Lexington

William E. Murphie

Following are PEB members and advisors:

Site Lead, Paducah (Chairperson)

Jennifer Woodard

Deputy Manager, PPPO Lexington

Robert E. Edwards III

Lead Contracting Officer, PPPO Lexington

Pamela Thompson

\*Contracting Officer

William Creech

\*Technical Lead

David Dollins

\*Project Team Evaluators<sup>2</sup>

Cindy Zvonar  
Tom Hines  
Lisa Santoro  
Russell McCallister  
Deborah Kerner  
Reinhard Knerr  
Rich Bonczek  
Buz Smith

\*Attorney Advisor

Bert Gawthorp

\*Advisors Only - Non-Voting Participants

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<sup>2</sup> The PEB Chair may add, remove or replace additional PTEs throughout the contract period of performance, as appropriate.

Exhibit 2

<b><u>AWARD FEE RATING TABLE</u></b>	
<b><u>ADJECTIVE RATING</u></b>	<b><u>DEFINITION</u></b>
<b>EXCELLENT</b>	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.
<b>VERY GOOD</b>	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.
<b>GOOD</b>	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.
<b>SATISFACTORY</b>	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.
<b>UNSATISFACTORY</b>	Contractor has failed to meet 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.

<b><u>AWARD FEE CONVERSION CHART</u></b>		
<b><u>ADJECTIVE RATING</u></b>	<b><u>EVALUATION RATINGS</u></b>	<b><u>POTENTIAL FEE EARNED</u></b>
EXCELLENT	23-25	91 to 100%
VERY GOOD	19-22	76 to 90%
GOOD	14-18	51 to 75%
SATISFACTORY	8-13	No Greater Than 50%
UNSATISFACTORY*	0-7	0%

\*For those elements receiving a score of 50% or below, no fee will be earned. Any unearned fee will be forfeited and not available in subsequent evaluation periods.”

<b><u>CATEGORY OF PERFORMANCE (SUBJECTIVE)</u></b>	<b><u>Weightings</u></b>
1. Quality and Effectiveness of Documents and Associated Support	25%
2. Quality and Effectiveness of Environment, Safety, Health and Quality Assurance (ESH&QA)	30%
3. Quality and Effectiveness of Project Support (Reference Section C.1.10 of the contract)	15%
4. Quality and Effectiveness of Project Management (30%) (includes cost control)  Cost Control and Funds Management (20%) – Complete all scope of work identified in FY 15 Work Plan within 100% of \$64,205K (FY15 contract value).  94% will earn Excellent 96% will earn Very Good 98% will earn Good 100% will earn Satisfactory >100% will earn unsatisfactory  Project Management (10%) - The effective and timely performance of tasks in the most cost effective manner utilizing cost savings and efficiencies.	30%

<b><u>PERFORMANCE BASED INCENTIVES (OBJECTIVE)</u></b> <b><u>(October 1, 2014 to July 26, 2015)</u></b>	<b><u>Available Fee</u></b> <b><u>(Mod 0087)</u></b> <b><u>\$1,925,767</u></b>
1. C-400 Phase IIb	\$233,819 (10%)
2. C-746-B Doors 1 & 2	\$233,819 (10%)
3. Southwest Plume SWMU 1	\$701,457 (30%)
4. GDP Transition Support – Boiler Construction	\$350,728 (15%)
5. GDP Transition Support – Cell Treatment Carts	\$467,638 (20%)
6. GDP Transition Support – Cascade Heaters and Panels	\$350,728 (15%)

Subjective<sup>3</sup> (40% of Available Fee) + PBI (60% of Available Fee) = Total Available Fee (100% of Available Fee)

**Performance Based Incentive Summaries<sup>4</sup>:**

**1. C-400 Phase IIb:**

Complete field work, including demobilization and waste disposal for the C-400 Phase IIb Treatability Study by 6/10/15. This requires the project to be executed as described in the approved regulatory documents. Upon completion of the treatability study, demobilize all equipment and perform required site restoration activities. Package and dispose of all waste generated by this project. Consideration will be given for work completed if delayed by DOE.

**2. C-746-B Doors 1 & 2:**

Complete characterization, removal, packaging and disposal of all material in C-746-B, Doors 1&2 (including relocation of the UF6 pipe) by 11/30/2014. The UF6 Pipe shall be relocated to the DOE agreed-to storage location and safely configured for long-term storage.

**3. Southwest Plume SWMU 1:**

Complete remediation of all identified soil associated with the Southwest Plume SWMU 1 Soil Mixing, excluding waste disposal and demobilization by 07/15/2015.

**4. GDP Transition Support – Boiler Construction:**

Complete all activities, including construction, permitting, startup testing, and associated commissioning activities of the six or more portable (~25,000 lbs/hr each) dual fuel capable (natural gas and No. 2 fuel oil) steam package boilers such that the system is 100% functional (i.e.,

<sup>3</sup> Failure to stay below DART/TRC Rates, as specified in Section 3a of this Award Fee Plan will result in an automatic 25% reduction of the Subjective Award Fee pool available to be earned.

<sup>4</sup> DOE will inspect site conditions to determine whether actions have been completed. In the event the contractor has not adequately completed 100% of the PBI, DOE may, at its sole discretion, allow partial fee for any completed sub-elements listed within the overall PBI, based on the amount and quality of work completed.

all punch list items closed and system operating at designed capacity) by 6/30/15. All contractual specifications/requirements must be met.

**5. GDP Transition Support – Cascade Heaters and Panels**

Complete installation of Cascade Heaters and Power Panels to supplied power that meet DOE’s specifications and functional requirements 30 days after USEC de-lease.

**Award Fee Calculation Methodology:**

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

**Example:**

PTE Ratings:

Quality and Effectiveness of Documents and Support – 23

Quality and Effectiveness of ESH&QA – 22

Quality and Effectiveness of Project Support– 24

Quality and Effectiveness of Project Management (To include cost management) – 20

Weighted Result:  $(23 \times 25\%) + (22 \times 30\%) + (24 \times 15\%) + (20 \times 30\%)$   
 $= 5.75 + 6.6 + 3.6 + 6 = 21.95$

Overall Weighted Result: 21.95; round up to 22

Adjective rating (Award Fee Conversion Chart): Very Good

Rounding Rule: .5 and above is rounded up to the next whole number.

**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 - SUBJECTIVE (EVALUATION WEIGHTING)	EXCELLENT	VERY GOOD	GOOD	SATISFACTORY	UNSATISFACTORY	N/A
	23-25	19-22	14-18	8-13	0-7	

**EVALUATION CRITERIA**

EVALUATION CRITERIA	NOTES ON STRENGTHS AND WEAKNESSES											
	Check Appropriate Box											
1.a The Contractor will be evaluated on the quality, timeliness and sufficiency of their documents and submittals; the level of quality of D0 documents; the percentage of D1 documents approved by regulators; permit submittals and modifications; standard reports such as operating and quarterly groundwater reports.	<table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A					
Excellent												
Very Good												
Good												
Satisfactory												
Unsatisfactory												
N/A												
1.b The Contractor will be evaluated on the quality and timeliness of response to inquiries from regulatory agencies, stakeholders and any other party. Quality will be determined with reference to elements such as clarity, completeness, accuracy and substantive responsiveness of responses to inquiries.	<table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A					
Excellent												
Very Good												
Good												
Satisfactory												
Unsatisfactory												
N/A												
1.c The Contractor will be evaluated on the quality, timeliness and sufficiency of their ability to ensure that all environmental regulatory documents have received adequate legal review for sufficiency, accuracy and strategic impacts before being submitted to DOE and then to the regulatory agencies.	<table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A					
Excellent												
Very Good												
Good												
Satisfactory												
Unsatisfactory												
N/A												



**Project Team Evaluator (PTE) Name:** \_\_\_\_\_ **FY:** \_\_\_\_\_ **Quarter:** \_\_\_\_\_

CATEGORY OF PERFORMANCE - SUBJECTIVE (EVALUATION WEIGHTING)	EXCELLENT	VERY GOOD	GOOD	SATISFACTORY	UNSATISFACTORY	N/A
	2. Quality and Effectiveness of Environment, Safety, Health, and Quality Assurance (ESH&QA) (30%)	23-25	19-22	14-18	8-13	0-7

EVALUATION CRITERIA	NOTES ON STRENGTHS AND WEAKNESSES					
	Check Appropriate Box					
2.a The Contractor will be evaluated on the sufficiency of their policies, plans, and procedures governing ESH&QA programs.	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A
2.b The Contractor will be evaluated on their application and incorporation of ESH&QA principles and requirements into work scopes and specific programs and efforts, including but not limited to Integrated Safety Management, radiological protection, environmental protection, industrial safety, security (includes Cyber-Security), nuclear safety, waste shipping, emergency management, waste minimization, Conduct of Operations, QA, and work planning initiatives.	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A
2.c The Contractor will be evaluated on their ability to effectively and timely identify, manage, prevent or correct, report and resolve deficiencies within the ISMS program. Contractor will also be evaluated on the thoroughness of their response to deficiencies to prevent recurrence of the deficiency including the manner and adequacy of tracking, trending, and root cause/lessons learned analyses, reporting, and formal closure processes.	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A

Exhibit 3

<p>2.d The Contractor will be evaluated on their ability to effectively manage and implement the Polychlorinated Biphenyl (PCB) program including identification and implementation of any cost savings initiatives.</p>	<table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A	
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<p>2.e The Contractor will be evaluated on its ability to effectively manage and implement the Environmental Monitoring Program including identification and implementation of any cost savings initiatives.</p>	<table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A	
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Unsatisfactory								
N/A								

Project Team Evaluator (PTE) Name: _____		FY: _____ Quarter: _____										
CATEGORY OF PERFORMANCE - SUBJECTIVE (EVALUATION WEIGHTING)	EXCELLENT	VERY GOOD	GOOD	SATISFACTORY	UNSATISFACTORY	N/A						
<b>3. Quality and Effectiveness of Project Support (15%)</b>	23-25	19-22	14-18	8-13	0-7							
<p><b>EVALUATION CRITERIA</b></p> <p>3.a The contractor will be evaluated on the effectiveness, timeliness and sufficiency of support provided to DOE as identified in section C.1.10 of its contract.</p> <p>3.b Customer relations given priority consideration. Examples of customer relations include, but are not limited to, coordination with DOE on submittal of documents or information within site priorities; coordination with other DOE contractors to ensure site priorities are met; timely notifications of site or project issues; seeking feedback on performance and implementation of plans to improve customer relations, etc.</p> <p>3.c Provides efficient and effective engineering services, administrative services, project control tasks and information management services. Examples would include, but not be limited to, development of engineering analyses and evaluations; modeling efforts; timely updates to websites, administrative records, and databases; maintaining up-to-date and accurate baselines, cost projections, EVMS data; timely development of contract proposals and baseline change</p>												
<p>Check Appropriate Box</p> <table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>							Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A
Excellent												
Very Good												
Good												
Satisfactory												
Unsatisfactory												
N/A												
NOTES ON STRENGTHS AND WEAKNESSES												

Exhibit 3

<p>proposals; etc.          3.d The contractor will be evaluated on the quality (including effectiveness), timeliness and adequacy of implementation of its public relations program.</p>	<table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A	
Excellent								
Very Good								
Good								
Satisfactory								
Unsatisfactory								
N/A								

Project Team Evaluator (PTE) Name: _____		FY: _____ Quarter: _____				
CATEGORY OF PERFORMANCE - SUBJECTIVE (EVALUATION WEIGHTING)	EXCELLENT 23-25	VERY GOOD 19-22	GOOD 14-18	SATISFACTORY 8-13	UNSATISFACTORY 0-7	N/A
<b>EVALUATION CRITERIA</b> 4.a The contractor will be evaluated on how projects are managed, costs are tracked and reported. (Project Management)						
Check Appropriate Box <input type="checkbox"/> Excellent <input type="checkbox"/> Very Good <input type="checkbox"/> Good <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> N/A						
4.b The contractor will be evaluated on overall and specific project status against the contract and baseline, milestones and the effectiveness of project reporting tools and systems. (Cost Control and Funds Management)						
<input type="checkbox"/> Excellent <input type="checkbox"/> Very Good <input type="checkbox"/> Good <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> N/A						
4.c The contractor will be evaluated on its ability to successfully manage GFS&I, including coordinating with the entities providing the contractor with GFS&I to ensure timely and cost-effective delivery and utilization of the GFS&I, including, but not limited to, upon request of DOE, reviewing invoices for GFS&I to ensure costs for services are accurate. (Project Management)						
<input type="checkbox"/> Excellent <input type="checkbox"/> Very Good <input type="checkbox"/> Good <input type="checkbox"/> Satisfactory <input type="checkbox"/> Unsatisfactory <input type="checkbox"/> N/A						

Exhibit 3

<p>4.d Presents realistic initiatives which result in tangible savings to DOE (cost, schedule or risk). (Cost Control and Funds Management)</p>	<table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A	
Excellent								
Very Good								
Good								
Satisfactory								
Unsatisfactory								
N/A								
<p>4.e The contractor will be evaluated on the effectiveness and timeliness of its ability to perform tasks in most cost effective manner consistent with approved baselines. (Cost Control and Funds Management)</p>	<table border="1"> <tr><td>Excellent</td></tr> <tr><td>Very Good</td></tr> <tr><td>Good</td></tr> <tr><td>Satisfactory</td></tr> <tr><td>Unsatisfactory</td></tr> <tr><td>N/A</td></tr> </table>	Excellent	Very Good	Good	Satisfactory	Unsatisfactory	N/A	
Excellent								
Very Good								
Good								
Satisfactory								
Unsatisfactory								
N/A								





**Adjective Rating Summary Table**

<b><u>CATEGORY OF PERFORMANCE (SUBJECTIVE) - Technical Lead</u></b>	<b><u>ADJECTIVE RATING</u></b>				
	<b>1<sup>st</sup> Qtr</b>	<b>2<sup>nd</sup> Qtr</b>	<b>3<sup>rd</sup> Qtr</b>	<b>4<sup>th</sup> Qtr</b>	<b>RE Rating</b>
1. Quality and Effectiveness of Documents and Support					
2. Quality and Effectiveness of Environment, Safety, Health and Quality Assurance (ESH&QA)					
3. Quality and Effectiveness of Project Support					
4. Quality and Effectiveness Project Management (to include cost management)					

<b><u>ANNUAL ADJECTIVE RATING-PTE CATEGORY OF PERFORMANCE (SUBJECTIVE)</u></b>	<b><u>ADJECTIVE RATING</u></b>				<b>PTE Recommended Rating for the Year</b>
	<b>1<sup>st</sup> Quarter</b>	<b>2<sup>nd</sup> Quarter</b>	<b>3<sup>rd</sup> Quarter</b>	<b>4<sup>th</sup> Quarter</b>	
1. Quality and Effectiveness of Documents and Support					
2. Quality and Effectiveness of Environment, Safety, Health and Quality Assurance (ESH&QA)					
3. Quality and Effectiveness of Project Support					
4. Quality and Effectiveness of Project Management (to include cost management)					

<b><u>SUMMARY OF PTE'S RATING</u></b>				
<b>Member</b>	<b>Documents and Support</b>	<b>Environment, Safety, Health &amp; Quality (ESH&amp;Q)</b>	<b>Project Support</b>	<b>Project Management</b>
<i>Insert Name of Voter</i>				
<i>Insert Name of Voter</i>				
<i>Insert Name of Voter</i>				
<i>Insert Name of Voter</i>				
<i>Insert Name of Voter</i>				

PBI Evaluation - FY \_\_\_ Qtr \_\_\_

PBI Summaries	Met/ Not Met	Comments
<p><b>1. C-400 Phase IIb:</b> Complete field work, including demobilization and waste disposal for the C-400 Phase IIb Treatability Study by 6/10/15. This requires the project to be executed as described in the approved regulatory documents. Upon completion of the treatability study, demobilize all equipment and perform required site restoration activities. Package and dispose of all waste generated by this project.</p>		
<p><b>2. C-746-B Doors 1 &amp; 2:</b> Complete characterization, removal, packaging and disposal of all material stored in C-746-B, Doors 1&amp;2 (including relocation of the UF6 pipe) by 11/30/14. The UF6 Pipe shall be relocated to the DOE agreed-to storage location and safely configured for long-term storage.</p>		
<p><b>3. Southwest Plume SWMU 1:</b> Complete remediation of all identified soil associated with the Southwest Plume SWMU 1 Soil Mixing, excluding waste disposal and demobilization by 7/15/15.</p>		
<p><b>4. GDP Transition Support – Boiler Construction:</b> Complete all activities, including construction, permitting, startup testing, and associated commissioning activities of the six or more portable (~25,000 lbs/hr each) dual fuel capable (natural gas and No. 2 fuel oil) steam package boilers such that the system is 100% functional (i.e., all punch list items closed and system operating at designed capacity) by 6/30/15. All contractual specifications/requirements must be met.</p>		
<p><b>5. GDP Transition Support – Cell Treatment Carts:</b> Complete delivery of ten (10) Portable Cell Treatment Carts and ten (10) test buggies that meet DOE’s specification sheets and</p>		

<b>PBI Summaries</b>	<b>Met/ Not Met</b>	<b>Comments</b>
approved test plans by 11/28/14.		
<b>6. GDP Transition Support – Cascade</b> Complete installation of Cascade Heaters and Power Panels that meet DOE’s specifications and functional requirements 30 days after USEC de-lease.		

**AWARD FEE PROCESS**

