

**Portsmouth/Paducah Project Office**

**U.S. Department of Energy**



**Attachment J-11**  
**QUALITY ASSURANCE**  
**SURVEILLANCE PLAN**

**Portsmouth Infrastructure Support Services**

## TABLE OF CONTENTS

ACRONYMS ..... III

ACRONYMS III ..... I

SECTION 1: INTRODUCTION ..... 1

    1.1 Background ..... 1

    1.2 Purpose ..... 1

    1.3 QASP Relation to the Contract ..... 1

    1.4 Revisions to the QASP ..... 1

SECTION 2: PERFORMANCE DESCRIPTION ..... 2

    2.1 Performance Standards and Acceptable Quality Levels ..... 2

        2.1.1 Allowable Deviation ..... 2

        2.1.2 Substantially Complete ..... 2

    2.2 Non-performance ..... 2

        2.2.1 Documentation ..... 3

        2.2.2 Remedial Actions ..... 3

SECTION 3: ROLES AND RESPONSIBILITIES ..... 4

    3.1 Contractor Responsibility ..... 4

    3.2 Government Responsibility ..... 4

        3.2.1 Contracting Officer ..... 4

        3.2.2 Contracting Officer’s Representative ..... 4

        3.2.3 Evaluators ..... 5

        3.2.4 Customers ..... 5

SECTION 4: PERFORMING EVALUATIONS ..... 6

    4.1 Surveillance Methods ..... 6

        4.1.1 100 Percent Inspection ..... 6

            4.1.1.1 Performance Standards and AQLs ..... 6

            4.1.1.2 Evaluation Procedures ..... 6

        4.1.2 Periodic Inspection ..... 6

            4.1.2.1 Application ..... 6

            4.1.2.2 Performance Standards and AQLs ..... 7

            4.1.2.3 Evaluation Procedures ..... 7

4.1.3	Random Sampling .....	7
4.1.3.1	Application .....	7
4.1.3.2	Evaluation Procedures .....	7
4.1.4	Customer Feedback .....	8
4.1.4.1	Application .....	8
4.1.4.2	Evaluation Procedure .....	8
4.2	Analysis and Results .....	8
4.2.1	Satisfactory Performance .....	8
4.2.2	Marginal Performance .....	8
4.2.3	Unsatisfactory Performance .....	8
4.2.4	Indeterminate .....	9
APPENDIX A: PERFORMANCE REQUIREMENTS SUMMARY .....		A-1
1.	Contract Transition (C.3.1) .....	A-3
2.	Recurring Contract Reports (C.2.0) .....	A-7
3.	Safeguards and Security (C.3.3) .....	A-8
4.	Telecommunications and Copiers/Printers (C.3.3) .....	A-10
5.	Property Management Services (C.3.4.1) .....	A-11
6.	Maintenance of Buildings, Structures, Installed Equipment, and Furnishings (C.3.4.2 and C.3.4.3) .....	A-12
7.	Roads Maintenance and Erosion, and Storm Damage Repair (C.3.4.4, C.3.4.5) .....	A-14
8.	RESERVED .....	A-16
9.	Custodial Services (C.3.5.1) .....	A-17
10.	Grounds Maintenance (C.3.5.2) .....	A-19
11.	Snow and Ice Prevention/Removal (C.3.5.3) .....	A-22
12.	Pest Control Services (C.3.5.4) .....	A-23
13.	RESERVED .....	A-25
14.	Records Management and Document Control (C.3.6.) .....	A-26
15.	Mail Services (C.3.7) .....	A-29
16.	EIC Operations (C.3.8) .....	A-30
17.	Training Services (C.3.9) .....	A-31
18.	RESERVED .....	A-32
19.	Cyber, Computing, and IT (C.3.12) .....	A-33
20.	Contract Closeout (C.3.12) .....	A-35

APPENDIX B: EXAMPLE CONTRACTOR EVALUATION REPORT ..... B-1  
[APPENDIX C: EXAMPLE INSPECTION CHECKLIST](#) ..... C-1

## ACRONYMS

ACOR	Alternate Contracting Officer's Representative
ANSI	American National Standards Institute
AQL	Acceptable Quality Level
CER	Contractor Evaluation Report
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CFR	Code of Federal Regulations
CLIN	Contract Line Item Number
CMMS	Computerized Maintenance Management System
CO	Contracting Officer
COR	Contracting Officer's Representative
DOE	U.S. Department of Energy
EIC	Environmental Information Center
ERMS	Electronic Records Management System
FAR	Federal Acquisition Regulation
FOIA	Freedom of Information Act
GSA	General Services Administration
IR	Incident Response
ISS	Infrastructure Support Services
IT	Information Technology
NARA	National Archives and Records Administration
NTP	Notice to Proceed
PA	Privacy Act
PEIP	Performance Evaluation Implementation Plan
PRS	Performance Required Summary
PWS	Performance Work Standard
O	Order
QA	Quality Assurance
QASP	Quality Assurance Surveillance Plan
RMFO	Records Management Field Officer
PPPO	Portsmouth/Paducah Project Office
WSHP	Worker Safety and Health Program

## SECTION 1: INTRODUCTION

### 1.1 Background

Section C of the *Portsmouth Infrastructure Support Services*, is the Performance Work Statement (PWS) which specifies what work is to be performed by the Infrastructure Contractor. Appendix A, *Performance Requirements Summary* (PRS), specifies work performance standards for the identified contract line item numbers (CLIN), and functional areas of the PWS. Other work required under this contract may be monitored and other contractual remedies taken by the U.S. Department of Energy (DOE) as needed.

### 1.2 Purpose

This Quality Assurance Surveillance Plan (QASP) describes how DOE will assess Contractor performance measured against the Section C performance requirements. It provides the frequencies that DOE will monitor various aspects of the PWS and provides standard deductions that may be applied when DOE identifies performance that does not meet contract standards. As the contract is considered a performance-based approach to the required tasks in the PRS found in Appendix A, it is important to note the primary concern of the DOE is with the product and service results provided by the Contractor and not with the procedures used to produce them. Therefore, the QASP focuses on examining the Contractor's product and service results and not the processes used to produce them. This plan describes the framework for quantitative and qualitative evaluation of Contractor performance and includes designated deductions.

### 1.3 QASP Relation to the Contract

DOE will retain the right to change the surveillance methods and procedures, or to increase or decrease the degree of surveillance efforts at any time necessary to assure contract compliance. A copy of the QASP reports may be provided to the Contractor to enable the Contractor to enhance its Quality Program and ensure it is performed in accordance with its internal assurance programs. The Contractor will self-govern and apply assurances to provide quality and timeliness of deliverables and services, as defined in the PWS. The QASP represents the standards that DOE will evaluate to determine if the Contractor's performance is acceptable for the designated PWS areas. These areas are identified with deductions. Other areas may be evaluated but do not have standard deductions defined. In the event that there is poor performance in other areas, DOE will notification the Contractor requiring the Contractor to take measures to correct the deficiencies.

### 1.4 Revisions to the QASP

The QASP remains subject to revision at any time by the DOE throughout the contract performance period. Revisions to this surveillance plan are the responsibility of the Contracting Officer (CO) or designee. Changes may be made unilaterally at the discretion of the DOE.

As the performance period progresses, the levels of surveillance may be altered for service areas in cases where performance is either consistently excellent or consistently unsatisfactory. If observations reveal consistently satisfactory performance, then the amount of surveillance may be reduced. If observations reveal consistent deficiencies, increased surveillance may be implemented.

## SECTION 2: PERFORMANCE DESCRIPTION

Performance of the Contractor will be monitored through various surveillance methods described in Section 4: *Performing Evaluations* and the PEIP. Performance data gathered will be evaluated to assess Contractor performance against contract requirements.

### 2.1 Performance Standards and Acceptable Quality Levels

For selected activities in the PWS, the PRS provides a performance standard and an acceptable quality level (AQL). A performance standard is the required level of Contractor performance. The standard in Section C and in Section J, Attachment J-4 provides the version and details of the deliverable requirement. An AQL defines the level of performance that is satisfactory. Depending on the service evaluated and the evaluation method selected, performance standards and AQLs may be stated as a number of occurrences or as a percentage. Performance standards and AQLs for random sampling and 100 percent inspection are generally stated as percentages. For periodic inspections, performance standards may be stated as either percentages or as absolute numbers.

The contract requires the Contractor to perform all work as specified. Any inaccuracies or omissions in services or products are referred to as “defects” on the part of the Contractor. The Contractor shall be held responsible for all identified defects, and DOE may require a contractor to re-perform the work at no cost to the Government. The AQLs take into account that in some instances an allowable level of deficiency (deviation) is possible while overall performance continues to meet DOE’s desired level of service.

#### 2.1.1 Allowable Deviation

The AQLs define the level or number of performance deficiencies the Contractor is permitted to reach under this contract. AQLs take into account the difference between an occasional defect and a gross number of defects. AQLs can be expressed as a percentage of or as an absolute number (e.g., three per month). There may be instances where 100 percent compliance is required and no deviation is acceptable (e.g., where safety is involved).

#### 2.1.2 Substantially Complete

In some cases, service outputs are evaluated using subjective values (e.g., satisfactory, marginal, indeterminate, unsatisfactory). The criteria for acceptable performance and for defects must be defined for these service outputs. The concept of “substantially complete” should be the basis for inspections based on subjective scales.

Work is considered “substantially complete” when there has been no significant departure from the terms of the contract and no omission of essential work. In addition, the Contractor has performed the work required to the best of its ability and the only variance consists of minor omissions or deficiencies.

### 2.2 Non-performance

Non-performance occurs when the Contractor’s performance does not meet the AQL for a given requirement. Requirements may contain multiple performance elements; therefore, deficiencies may occur in one or more aspects of performance (e.g., timeliness, accuracy, completeness, etc.) or subject areas of effort.

When surveillance indicates that the Contractor’s service output is not in compliance with the contract requirements, the Evaluators must determine whether the Contractor or the Government caused the deficiency. If the cause of the defect rests with the Government, corrective action must be taken through Government channels. If the cause of the defect is due to action or inaction by the Contractor, the Contractor is responsible for correction of the problem at no additional expense to the Government.

### **2.2.1 Documentation**

Observed work activities shall be documented, both acceptable performance and non-performance. Thorough documentation of unperformed or poorly performed work is essential for tracking Contractor performance throughout the period of performance. The Evaluators will document deficient work by compiling facts describing the inspection methods and results. A sample documentation reporting form is provided in Appendix B: *Contractor Evaluation Report*. The contracting officer's representative (COR), or alternate COR (ACOR) and Evaluators will develop documentation to substantiate nonconformance with the contract. The documentation, together with any recommendations, will be forwarded to the COR or alternate COR. The COR or alternate COR will decide whether to elevate the problem to the CO for corrective action. The PEIP provides a standard format for documenting performance. Conforming work observations will be documented to file, used for reference when paying invoices, and retained for the life and closeout of the contract.

Observations of nonconforming work and recommendations will be elevated to the attention of the COR and CO for further action. The COR and CO will make determinations on deductions for each billing period, and also decide when a deficiency needs to be elevated for remedial or corrective action. If determined that an unsatisfactory area warrants a deduction, the COR/ACOR will complete a Contractor Evaluation Report [(CER), as found in Appendix B] and submit the information to the Contractor with a copy to the CO. The CO will consider the contractor's response and make a final determination on the applied deduction, if any.

### **2.2.2 Remedial Actions**

The Federal Acquisition Regulation (FAR) allows for remedies in the event that the Contractor fails to perform the required services.

The Government may require the Contractor to correct services that failed to meet contract requirements. If the Contractor fails to proceed with reasonable promptness to perform the required corrective action, the Government may: (i) by contract or otherwise, perform the correction, charge to the Contractor any increased cost, or deduct such increased cost from any amounts paid or due under the contract; or (ii) terminate the contract for default. The deductions included in Appendix A are considered to be commensurate with the value of the associated services.

## **SECTION 3: ROLES AND RESPONSIBILITIES**

The roles and responsibilities of the stakeholders involved in executing the QASP are described below.

### **3.1 Contractor Responsibility**

The Contractor is responsible for delivering products or services in accordance with the contract. The Contractor is responsible for implementing assurance plans as part of the contract requirements. The plans allow the contractor to determine and apply methods for ensuring all products and services meet established performance standards and AQLs. The Contractor is responsible for producing, maintaining, and providing for audit, quality assurance/control records and reports and all records associated with the investigation and resolution of customer complaints. The Contractor should appoint a single quality assurance point-of-contact to act as a central recipient of communication with the Government.

### **3.2 Government Responsibility**

The key personnel who will be responsible for QASP input are the CO, the COR or ACOR, the evaluators, and the Contractor's customers. The subsections provide the role of each DOE, or DOE support contractor position.

#### **3.2.1 Contracting Officer**

The CO is a federal position and has the authority to administer the contract. The CO may delegate many of the day-to-day contract administration duties to the COR and Evaluators. However, the following contractual actions are solely the responsibility of the CO and will not be delegated: issuance of contract modifications, resolution of Contractor claims and disputes, acceptance of non-conforming work or non-conforming products, issuance of cure notices (notification that unless unacceptable performance is corrected, the Government may terminate the contract for default in accordance with FAR 49.607), issuance of show-cause letters (following a cure notice, requesting facts bearing on the case), termination of the contract, and contract close-out. Administrative actions such as invoice approval and issuance of the CER may be delegated by the CO to the COR or alternate COR. Communication regarding questions or issues related to the QASP will be directed to the CO or the COR or ACOR. The CO shall approve revisions to the QASP and related performance standards (Appendix A).

#### **3.2.2 Contracting Officer's Representative**

The COR or alternate COR, is a federal employee and is designated by name and/or position to act as a liaison between the Government and the Contractor on issues pertinent to the daily operation of the Contract. The COR represents the CO in the COR functions and therefore is the Contractor's initial point-of-contact with the Government. In turn, the COR may delegate some of his/her responsibilities, such as supervision of the Evaluators, to another individual in the organization in order to ensure that the performance evaluation function is properly executed. If modifications to the contract are necessary, the COR will assist the CO in preparing and negotiating the modifications. If there are problems with Contractor performance, the COR will inform the Contractor of the problems and provide recommendations to the CO that adverse contractual actions are appropriate (e.g., cure notice) if the Contractor fails to correct the problem. Also, the COR must refer differences of contract interpretation to the CO. An ACOR, can also serve in the same capacity as the COR, as delegated and assigned to the contract.

### 3.2.3 Evaluators

The evaluators play a key role in contract administration. They serve as the on-site DOE representative of the COR and report to the COR or designee. The Evaluators perform contract surveillance and performance evaluation. Contract oversight duties of Evaluators include, but are not limited to, the following:

- Performing surveillance activities as defined by this QASP and the PEIP,
- Making recommendations to the COR for issuance of Contract Discrepancy Reports or letters of commendation;
- Making recommendations to the COR for the acceptance or rejection of completed work and for administrative actions based on unsatisfactory work or non-performed work;
- Assisting the COR in identifying potential contract modifications;
- Making recommendations to the COR for changes to the QASP; and
- Assisting the COR in preparing reports of Contractor performance and cost.

The Evaluators are limited to the authority delegated to them by the COR and/or CO. They have no authority to direct or to allow the Contractor to deviate from contract requirements. The evaluators also have no authority to direct or interfere with the methods of performance by the Contractor or to issue directions to any Contractor personnel. These actions are reserved for the CO or the COR.

The Evaluators will use the form provided in Appendix C: *Sampling Guide/Inspection Checklist* for each PEIP to capture observations when evaluating a service requirement. Documented observations from the Evaluator activities will capture the inspection results with a recommended Contractor rating of satisfactory marginal, indeterminate, or unsatisfactory performance.

### 3.2.4 Customers

For the Portsmouth Infrastructure Support Services (ISS) contract, the primary ISS contractor customers are defined as the following organizations:

- U.S. DOE / Portsmouth/Paducah Project Office (PPPO),
- PPPO technical support contractors,
- Contractor for the Portsmouth D&D,
- Contractor for the Depleted Uranium Hexafluoride Conversion Project,
- Public utilizing the Environmental Information Center.

Customers may assist the COR by providing information on Contractor performance through customer feedback. The validated information gained from customer feedback will be used in conjunction with other methods of observation to rate the performance of the Contractor.

## **SECTION 4: PERFORMING EVALUATIONS**

### **4.1 Surveillance Methods**

The surveillance methods are the tools the Government uses to monitor the Contractor's products and services. The best means of determining whether the Contractor has met all contract requirements is to inspect the Contractor's service products and analyze the results. Further, documented inspection results are an effective tool in contract administration. Inspections either confirm the Contractor's successful achievement of all performance requirements or highlight areas where defects exist and improvements are necessary.

The surveillance methods described below include: 100 percent inspection, periodic inspection, random sampling, and customer feedback. The number of inspections conducted may be reduced in those instances where the Contractor has established a good performance record. In cases of poor performance, DOE may increase the level of surveillance and focus on known problem areas. In either case, the reasons for the change in surveillance will be documented.

The AQL when expressed as a percentage represents the percentage of inspected items that must be acceptable to meet the AQL. It does not represent the percentage of items inspected. The surveillance method describes how the AQL will be evaluated (i.e., 100%, periodic, random, etc.). The deduction represents the monetary deduction for not meeting the AQL, either in a percentage of the line item cost or as a flat deduction. The surveillance frequency represents how often the deduction can be applied based on contractor performance.

#### **4.1.1 100 Percent Inspection**

The 100 percent inspection method provides for a complete inspection of the Contract requirement and may be used for requirements that are especially critical. Evaluation schedules for 100 percent inspections will be prepared on a time determined basis and may be adjusted by the Government depending on the Contractor activity, contractor performance trending, and other scheduling factors.

##### **4.1.1.1 Performance Standards and AQLs**

The performance standards and AQLs are stated as either percentages or absolute numbers.

##### **4.1.1.2 Evaluation Procedures**

Observed defects for a service monitored by 100% inspection are compared over the performance period of the contract. The performance standards and AQLs may be adjusted to meet the contract needs.

#### **4.1.2 Periodic Inspection**

Periodic inspection provides a systematic way of looking at service outputs and forming conclusions about the Contractor's level of performance in accordance with a planned schedule of surveillance. Evaluation by periodic inspection is designed to inspect some, but not all of the products and services being monitored.

##### **4.1.2.1 Application**

Specific contract requirements that are to be monitored are selected for evaluation prior to their scheduled accomplishment. Periodic inspection differs from random sampling in the way in which samples are selected – periodic inspection sample selection is based on some subjective rationale and sample sizes will vary. With this type of evaluation, the Evaluators are able to direct efforts to those areas where inspections are most needed, and the Contractor knows that those areas are more likely to be monitored than others.

Periodic inspection, as compared with random sampling, provides a less sound statistical means of making comparisons between observed and overall performance. Periodic inspection is generally used in two ways. First, it can provide a one-time subjective evaluation of Contractor performance. Second, it can be used to detect a change in the Contractor's level of performance (i.e., trend analysis). This method requires that the sample selection criteria be well documented and consistently applied from period to period, and that there are no other intervening factors. The cost of periodic inspections varies with the level of inspections. Such latitude is important to manage limited resources and focus inspections on known or suspected problems areas.

#### **4.1.2.2 Performance Standards and AQLs**

Performance standards and AQLs are usually stated in terms of the number of defects detected per time period (e.g., three times per month). There is no specific relationship between sample size and performance standard/AQL. However, when the AQL is expressed as a percentage, the maximum sample size be chosen such that one defect does not exceed the AQL. This requirement does not apply to AQLs that require 100% compliance.

#### **4.1.2.3 Evaluation Procedures**

The levels of evaluation appropriate for periodic inspection are judgmental. In order to perform trend analysis from periodic inspection, criteria for sample selection should be applied consistently from period to period. To ensure valid results, the Evaluators will use periodic inspection evaluation sheets and follow a detailed inspection schedule. Schedules may be developed monthly to coincide with the Contractor's monthly schedule of work, and regularly updated after receiving the Contractor's definitive weekly schedule. Observed defects for services monitored by periodic inspection will be totaled at the end of each month. For each service, the total number of defects will be compared to the performance standard and AQL.

### **4.1.3 Random Sampling**

Random sampling evaluation is a quality assurance method designed to evaluate some, but not all, of a specific contract requirement. This method, based on statistical principles, estimates the Contractor's overall level of performance for a given contract requirement based on a representative sample drawn from a population. Random sampling is most often used when the number of occurrences of a service is very high.

#### **4.1.3.1 Application**

The random sampling procedures may be based on those set by the American National Standards Institute (ANSI). The random sampling procedures should consider the AQL (maximum allowable deviation from the performance standard), the level (intensity) of the evaluation effort, and the population size. There are two ways of applying random sampling for Quality Assurance (QA) surveillance. The first is used only for performance evaluation and allows deductions to be taken only for observed defects; the second is random sampling for performance evaluation and deduction projection (also called extrapolated deductions), which allows deductions against the whole population based on the inspection of the sample. To obtain valid results, random sampling procedures must be followed precisely.

#### **4.1.3.2 Evaluation Procedures**

Random sampling is based solely on a statistical analysis whereby a conclusion is drawn about a population based on a randomly selected sample of that population. For the conclusion to be valid, the sample selected must be representative of the population. A truly representative sample can be achieved by ensuring that the sample is selected randomly and the size of the sample is sufficient. A conclusion about Contractor performance can then be made based on the representative sample drawn.

#### **4.1.4 Customer Feedback**

Verified and validated customer feedback is a quality assurance method based on customer and Contractor interaction. Customers continually receive the outputs of Contractor performance and are in a position to evaluate the Contractor on a recurring basis. Because customers have a clear stake in the quality of Contractor services they are a valuable resource for the Evaluators and COR.

##### **4.1.4.1 Application**

Customers are made aware of contract requirements and monitor the services provided by the Contractor, both positive and negative. Where there is a case of poor performance or non-performance, customers notify the QA Lead or Evaluators. The Evaluators then investigate the report and document their findings. The numbers of complaints and resulting inspections depend upon customer awareness and response. If the complaint is valid and caused by poor performance or non-performance by the Contractor, the Contractor must take appropriate corrective action. A valid complaint is one in which the Evaluator confirms that poor performance or non-performance violates contract requirements.

##### **4.1.4.2 Evaluation Procedure**

The Contractor shall report verified and validated complaints each month, so the Evaluators may review the submitted complaints and formulate action items if necessary. Trend analysis may be used to test for variations in the number of complaints received each month and identify changes in Contractor performance.

#### **4.2 Analysis and Results**

Contract oversight and analysis will consider the sources of information from the Evaluators, formal surveillances and inspections, and validated customer feedback. Evaluators will provide recommendations to the COR. The COR will consider the Evaluator recommendations as well as the other sources of information to make a determination of performance. For the purpose of executing this plan, the results of the combined contract oversight activities will result in one of the following outcomes: satisfactory performance, or unsatisfactory performance.

The surveillance frequency listed in the PRS (see Appendix A) represents the frequency the surveillance may be performed. The frequency may be increased or decreased at the discretion of the Government, with or without notice to the Contractor.

##### **4.2.1 Satisfactory Performance**

When the Contractors performance is satisfactory, the performance meets acceptable quality levels and deficiencies are correctable without adverse impact to mission accomplishment or customer activities. Strengths and weaknesses in performance are on balance where any deficiencies are identified and corrected immediately by the Contractor.

##### **4.2.2 Marginal Performance**

Performance meets some but does not meet all contractual requirements. The contractual performance of the task and sub-task being assessed reflect a potential 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.

##### **4.2.3 Unsatisfactory Performance**

When DOE has determined that the contractor performance or products does not meet the AQL, the Contractor's performance is determined to be unsatisfactory, and is therefore unacceptable. The following responses are available to the COR regarding that task/subtask:

- The CO and/or COR meet with the Contractor to discuss discrepancies, trends, complaints, and intended corrective measures;
- Document results of each set of monthly evaluations based on the process identified in the PEIP.
- Increased level of surveillance until the Contractor demonstrates acceptable performance over a period of time;
- The COR identifies each discrepancy with the CER for each service that does not meet its AQL and provides the information to the CO as part of the invoice review process;
- If deficiencies are deemed significant and affect multiple requirements, the CO may escalate more severe actions to correct the situation or circumstances (e.g. a contractual 'Cure' notice may be appropriate).

#### **4.2.4 Indeterminate**

Performance determination for designated by the Government when the outcome cannot be finalized.

- The CO and/or COR will make this determination.
- It is anticipated the final outcome will be reached at a future date.

**APPENDIX A:  
PERFORMANCE REQUIREMENTS SUMMARY**

Per the Fixed Price Inspection of Services clause (FAR 52.246-4), the Government may reduce the contract price to reflect the reduced value of the services performed. The specific deductions identified within Appendix A reflect the intended impact to Contractor payments, but additional deductions may be taken from Contractor payments if warranted by significant defects in services provided.

The tables in Appendix A cover firm-fixed-price work included under Section C.2.0 and Section C.3.0 of the PWS. These measurements will also apply to all provisions in the Contract. Contractor performance results may be posted to an internal DOE website. The Contractor shall be required to comply with all terms and provisions of the Contract, including the PWS and Technical Exhibits.

In addition, the tables in Appendix A include a number of deliverables and official submittals, including Contractor programs, plans, policies and procedures. All required deliverables must be sufficiently complete, accurate, concise, and satisfactory.

**1. Contract Transition (C.3.1)**

**Table 1: Contract Transition Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.2.1	For DOE approval, the Contractor shall submit a Deliverable Schedule as required by Attachment J-4, <i>List of Deliverables</i> .	For documents requiring DOE approval, the schedule shall allow for the submission of a draft document to DOE for review and comment and a final document for DOE approval. For documents requiring approval from an outside (i.e., non-DOE) organization, the schedule shall allow for the submission of a draft document for DOE review and comment, the submission of a draft document addressing DOE comments for review and comment, and a final document for approval.	Deliverable provided per schedule and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.1	For DOE approval, the Contractor shall submit a Worker Safety and Health Program (WSHP) as required by Attachment J-4, <i>List of Deliverables</i> .	The WSHP is compliant with the requirements of 10 Code of Federal Regulations (CFR) § 851.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.3	For DOE approval, the Contractor shall submit a Radiation Protection Program as required by Attachment J-4, <i>List of Deliverables</i> .	The Radiation Protection Program is compliant with the requirements of 10 CFR § 835..	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.3	For DOE approval, the Contractor shall submit an Environmental Radiological Protection Program as required by Attachment J-4, <i>List of Deliverables</i> .	The Environmental Radiological Protection Program is compliant with the requirements of DOE O 458.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.3	For DOE approval, the Contractor shall submit an Integrated Safety Management System Description as required by Attachment J-4, <i>List of Deliverables</i> .	The Integrated Safety Management System Description is compliant with the requirements of DEAR 970.5223-1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.2.2.5	For DOE approval, the Contractor shall submit a Quality Assurance Program as required by Attachment J-4, <i>List of Deliverables</i> .	The Quality Assurance Program is compliant with the requirements DOE O 414.1 and <i>CFR</i> § 835.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.6	For DOE approval, the Contractor shall submit a Contractor Assurance System as required by Attachment J-4, <i>List of Deliverables</i> .	The Contractor Assurance System is compliant with the requirements of DOE O 226.1.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.2.2.10	For DOE approval, the Contractor shall submit a Pollution Prevention Plan as required by Attachment J-4, <i>List of Deliverables</i> .	The Pollution Prevention Plan is compliant with the requirements of Executive Order 13834.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.1	Contract Key Personnel shall be onsite during the transition period.	Contract Key Personnel identified are onsite during transition period.	Key personnel onsite 90% of working business days.	100% Inspection	\$500.00 for each absence above the AQL, each business day.	Weekly? until end of Transition
C.3.1	For DOE approval, the Contractor shall submit a Transition Plan as required by Attachment J-4, <i>List of Deliverables</i> .	The Transition Plan includes a description of all activities necessary to execute all sections of the Contract, a listing of involved organizations, and a schedule.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past due date.	Single surveillance review of deliverable
C.3.1	The Contractor shall complete all transition activities resulting in a successful transition within contractual time frames.	All activities complete resulting in successful transition within 60 days following NTP.	100%; Successful completion of transition activities within 60 days following NTP.	100% Inspection	\$1,000.00 for each calendar day that completion of transition is delayed.	Following successful transition
C.3.2.1.2	For DOE approval, the Contractor shall submit a Site Security Plan as required by Attachment J-4, <i>List of Deliverables</i> .	The Site Security Plan is compliant with the requirements of DOE O 470.4.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$1,000.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.1.3	For DOE approval, the Contractor must submit a Space Cleaning Plan as required by Attachment J-4, <i>List of Deliverables</i> .	The Space Cleaning Plan incorporates requirements of Section C.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.5.2.3	For DOE approval, the Contractor shall submit a Mowing Plan as required by Attachment J-4, <i>List of Deliverables</i> .	The Mowing Plan includes a mowing map and annual schedule.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.5.3.3	For DOE approval, the Contractor shall submit a Snow and Ice Removal Plan as required by Attachment J-4, <i>List of Deliverables</i> .	The Snow and Ice Removal Plan incorporates requirements of Section C.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.6.3	For DOE approval, the Contractor shall submit a Records Management as required by Attachment J-4, <i>List of Deliverables</i> .	The Records Management Plan includes requirements of Section C.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.9.2	For DOE approval, the Contractor shall submit Training Course Content and Training Schedule as required by Attachment J-4, <i>List of Deliverables</i> .	The deliverable includes all Training Course Content and Schedule.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable

## 2. Recurring Contract Reports (C.2.0)

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **contract reports**. Reviews to be conducted by the COR and/or Evaluators upon receipt of the deliverable.

**Table 2: Recurring Contract Reports Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.2.1.1	The contractor shall provide an Invoice Performance Report with each invoice submittal in accordance with C.2.1.1	The Invoice Performance Report shall provide summary level descriptions of the progress, services rendered, and deliverables submitted during the invoice period and transmitted within 10 business days from the end of the prior calendar month.	Report provides a summary for each active scope area and is available when invoice is submitted	Deliverable Review	\$500 for each business day deliverable is past the due date or not technically accurate and complete.	Upon receipt of the information; once per month
C.2.1.2	The contractor shall provide an Annual Data Report in accordance with C.2.1.2	The Annual Data Report will provide the requested information (to be added by contract mod) in both report (static) format, as well as usable data files (.xls, or other format acceptable to DOE).	Deliverable is submitted on time, and is complete and accurate.	Deliverable Review	\$1000 for each business day deliverable is past the due date or not technically accurate and complete, or does not provide usable data files.	Within 15 days of receipt of the information; once per year
C.2.4.1	The contractor shall provide a Monthly Progress Report in accordance with C.2.4.1	The Monthly Progress Report reports cost performance for each funding account, and transmitted within 10 business days from the end of the prior calendar month.	Report submitted on time and contains data for cost account for active CLINS when applicable	Deliverable Review	\$500 for each business day deliverable is past the due date or not technically accurate and complete.	Upon receipt of the information; once per month

### 3. Safeguards and Security (C.3.3)

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Safeguards and Security**. Stated deductions will be applicable and will commence at the time the deficiencies are identified (e.g., the date of the finding) and will continue monthly until the corrective actions are satisfactorily implemented (i.e., demonstrated by closure of the finding and subsequent validation by DOE).

**Table 3: Safeguards and Security Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.2.1	<b>Program Management Operations</b> in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/ surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable monthly invoiced amount for the CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.1	<b>Program Management Operations</b> in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4, <i>List of Deliverables</i> , for Section C.3.2.1 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval, and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete. If included in the annual Site Security Plan, the deduction is still applicable for items within related to these requirements, specifically.	Monthly
C.3.2.1	<b>Safeguards and Security Program</b> in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	1% of applicable monthly invoiced amount for the CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.3	<b>Physical Protection</b> in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable monthly invoiced amount for the CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.3	<b>Physical Protection</b> in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4, <i>List of Deliverables</i> , for Section C.3.2.3 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete. If included in the annual Site Security Plan, the deduction is still applicable for items within related to these requirements, specifically.	Monthly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.2.4	<b>Information Security</b> in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable monthly invoiced amount for the CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.4	<b>Information Security</b> in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4, <i>List of Deliverables</i> , for Section C.3.2.4 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete. If included in the annual Site Security Plan, the deduction is still applicable for items within related to these requirements, specifically.	Monthly
C.3.2.5	<b>Personnel Security</b> in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable monthly invoiced amount for the CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.7	<b>Foreign Visits &amp; Assignments</b> in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are no less than Satisfactory.	Satisfactory Rating.	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable monthly invoiced amount for the CLIN until corrective action has been satisfactorily implemented.	Monthly
C.3.2.7	<b>Foreign Visits &amp; Assignments</b> in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4, <i>List of Deliverables</i> , for Section C.3.2.7 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
<b>Other Factors:</b>		<b>Deduction (Impact on Contractor Payments)</b>				
***Security Enforcement Action		100% of applicable CLIN 1 Month and 50% of applicable CLIN for each month thereafter until the Corrective Action Plan is complete and all actions closed.				
Other Security Items as Deemed by the Secretary of Energy or Assistant Secretary.		100% of applicable CLIN				

**4. Telecommunications and Copiers/Printers (C.3.3)**

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Telecommunications and Copiers/Printers**

**Table 4: Telecommunications, Radio, and Printing Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.3.1.5	The Contractor shall operate and maintain the Portsmouth site telephone switching system, transmission equipment, and ancillary equipment in a serviceable condition.	The Portsmouth site telecommunications system is available 24 hours per day, 7 days per week.	Two interruptions in service.	Observation	10% of applicable monthly invoiced amount for the CLIN and \$5,000.00 per day out of service above the AQL	Quarterly
C.3.3.2	The Contractor shall maintain the Federal Communications Committee radio frequency license, tower, transmission, and radio repair/replacement services. This includes managing radio services, including radio spectrum licensing and design.	The radio system is operational 24 hours per day, 7 days per week.	Two interruptions in radio service.	Observation	10% of applicable monthly invoiced amount for the CLIN and \$5,000.00 per day out of service above the AQL	Quarterly
C.3.3.1.4	The Contractor shall provide reliable electronic notification service to individual personnel associated with the Portsmouth emergency response organizations.	The electronic notification system is operational 24 hours per day, 7 days per week.	100% operational with no interruptions.	Periodic and Random Inspection, Customer Feedback	15% of applicable CLIN	Quarterly

**5. Property Management Services (C.3.4.1)**

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Property Management Services**.

**Table 5: Property Management Services Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.4.1.1.2	The Contractor shall provide intra-site/inter-office relocation of Portsmouth site personnel.	The Contractor provides office relocation services in a timely manner.	No more than one valid customer complaint with relocation services.	Inspection, Observation, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.4.1.1.3	The Contractor shall coordinate with other DOE contractors at the Portsmouth Site to maintain and input data to the FIMS database.	Site data is inputted to the FIMS database in accordance with DOE O 430.1.	95% of required data is input to FIMS.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.4.1.1.4	Annual Five or Ten Year Site Plan drafted in accordance with annual guidance, submitted to and approved by DOE as required.	The plan is drafted in accordance with DOE guidance.	Deliverable provided is technically accurate and complete.	Deliverables review	10% of applicable monthly invoiced amount for the CLIN	Annual deliverable review
C.3.4.1.2	The Contractor shall coordinate and provide disposition support for Government owned personal property determined to be excess for all Portsmouth site contractors and DOE operations. The contractor will disposition excess property to SODI, where appropriate.	Property is excessed or disposed in accordance with Section C requirements.	100% property excessed or disposed of in accordance with applicable orders.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Monthly
C.3.4.1.3	Contractor shall coordinate site-wide statistical usage tracking and reporting on General Services Administration (GSA) leased and DOE-owned equipment; Pick-up, transportation and return of GSA vehicles to/from a GSA approved vendor for maintenance and repairs; Return/replacement of GSA vehicles as lease conditions require; Notification and coordination of required maintenance to GSA vehicle lessee (e.g., other site contractors and DOE); and access and use of a maintained and operable vehicle (i.e., Asset ID E112427 as shown in Section J, Attachment J-3, Portsmouth Infrastructure Accountable Property List).	The Contractor provides listed fleet management services for vehicles listed in the appropriate Section J, Attachment..	100% statistical usage reported and 95% of vehicles current on maintenance and repairs.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly

**6. Maintenance of Buildings, Structures, Installed Equipment, and Furnishings (C.3.4.2 and C.3.4.3)**

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Maintenance of Buildings, Structures, Installed Equipment, and Furnishings**.

**Table 6: Maintenance of Buildings, Structures, Installed Equipment, and Furnishings Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.4.3.1	The Contractor shall provide new or factory reconditioned parts and components when providing maintenance, repair, and minor improvements. If such parts and/or components are no longer produced or available, it is reasonable to presume that, with Government approval, other means or other sources could be utilized. Where practical, contractor shall use excess parts.	All maintenance activities use new or factory reconditioned parts and components.	100% of parts and components are new or factory refurbished.	Periodic and Random Inspection	\$500.00 for each deficiency	Monthly
C.3.4.3.2.1	The Contractor shall develop a comprehensive PM program for assigned buildings, structures, and installed equipment.	The PM program is developed from applicable original equipment manufacturer manuals, inspection checklists, manufacturer’s standards, industry standards, and commercial guides.	95% of PM activities are derived from identified sources.	Periodic and Random Inspection	\$500.00 for each deficiency.	Quarterly
C.3.4.3.2.3	The Contractor shall operate and maintain all HVAC systems for assigned facilities.	HVAC systems listed in Attachment J-8 are repaired within a reasonable timeframe.	95% of HVAC Systems are operational.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.4.3.2.4	The Contractor shall operate and maintain active overhead and rolling door systems.	Overhead and rolling door systems listed in Attachment J-8 are repaired within a reasonable timeframe.	95% of overhead and rolling door systems are operational.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.4.3.2.5	The Contractor shall operate and maintain active elevator systems.	Elevator systems listed in Attachment J-8 are repaired within a reasonable timeframe. 95% of the time means no more than 36 hours of total down-time per month, regardless of normal or non-normal hours.	Elevator systems are operational 95% of the time.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly

<b>PWS Section</b>	<b>Requirement</b>	<b>Performance Standard</b>	<b>Minimum Acceptable Quality Level (AQL)</b>	<b>Surveillance Method</b>	<b>Deduction (Impact on Contractor Payments)</b>	<b>Surveillance Frequency</b>
C.3.4.3.2.6	The Contractor shall operate and maintain active refrigeration systems.	Refrigeration systems are repaired within a reasonable timeframe.	95% of refrigeration systems are operational.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.4.3.2.7	The Contractor shall maintain lighting systems, and perform re-lamping in occupied designated facilities.	Lighting systems are repaired within a reasonable timeframe.	95% of lighting systems are operational.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.4.3.2.8	The Contractor shall perform architectural and traffic signage maintenance, repair, replacement, and alterations.	Architectural and traffic signage are maintained in accordance Section C requirements.	95% of signage is correctly posted and maintained.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Monthly
C.3.4.3.2.9	The Contractor shall perform security fence and wire cage maintenance and repairs for locations described in Attachment J-8.	All gates/fences/cages are maintained secure, and all hinges and locking devices kept in good working order.	100% of security fence/gates properly maintained or adequately posted until repairs are made.	Periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.4.3.2.12	The Contractor shall maintain, inspect, test, and repair/replace limited area lighting, traffic control devices, and street lamping.	All limited area lighting, traffic control devices, and street lamping shall be kept in good working order.	100% of lighting devices are maintained, inspected, tested, and repaired/replaced within 24 hours of determined failure for bulbs. If equipment is determined to require replacement it should be replaced within 5 days.	Periodic and Random Inspection	\$100.00 for each deficiency	Monthly
C.3.4.3.3	The Contractor shall perform LEVEL II Service Order work as defined in Section C.3.4.2.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	50% Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.

**7. Roads Maintenance and Erosion, and Storm Damage Repair (C.3.4.4, C.3.4.5)**

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Roads Maintenance and Erosion, and Storm Damage Repair**.

**Table 7: Roads Maintenance and Erosion, and Storm Damage Repair Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.4.4	The Contractor shall inspect, schedule, maintain operable, and repair roadways, surfaced areas, and support facilities. This includes paved and unpaved roads, streets, parking lots, sidewalks, bridges, drainage systems and related areas, and associated structures and appurtenances at PORTS.	All roadways identified as the Contractor’s responsibility to maintain shall be kept clear of fallen trees, limbs and storm debris as necessary. Overgrowth of trees, vines or bushes along roadways shall be kept trimmed away from the roadway in a manner that allows for normal passage of traffic and requisite clearance. Traffic control signs and traffic control devices shall be maintained on DOE roadways. Guardrails shall be maintained in good serviceable condition including any necessary coatings to prevent corrosion of the metal surfaces, including replacement if needed. As markings, signage, and devices are maintained/replaced, the Contractor shall implement consistent traffic control devices, markings, and signage throughout the site, including parking areas. The Contractor shall also be responsible for evaluation of, maintenance of, and alteration if needed, of safe and effective traffic flow/direction patterns in assigned parking facilities.	No less than 95% of area properly maintained.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.4.4	The Contractor shall utilize the Computerized Maintenance Management System (CMMS) to document deficiencies resulting from inspections.	All deficiencies are documented accurately and timely in CMMS such that the CMMS reflects the current roadway conditions.	No less than 90% of deficiencies documented in CMMS per quarter based on monthly checks.	Periodic Inspection	\$500.00 for each failure above the AQL.	Quarterly
C.3.4.4	The Contractor shall maintain and repair paved surfaces in accordance with the latest edition of the Ohio Standard Specifications for Road and Bridge Construction and the Ohio Manual of Uniform Traffic Control Devices (latest version).	Paved surfaces shall be maintained in accordance/compliance with the Ohio standard specifications and manual, including free of potholes (impacting safe roadway use for passenger vehicles) and with adequate striping to make the roadway boundaries readily visible at night. Paved surface maintenance includes patching of potholes (impacting safe use by passenger vehicles and pedestrians), placing and replacing parking blocks, resurfacing, marking, striping, sweeping and cleaning as necessary.	No less than 95% of paved surface properly maintained.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Quarterly

C.3.4.4	The Contractor shall maintain and repair unpaved surfaces, including gravel surface roads and areas in accordance with the Ohio Standard Specifications for Roads.	Gravel roads and parking lots shall be maintained in accordance/compliance with the Ohio specifications, including regular grading sufficient to avoid large potholes and with sufficient gravel to make the road passable by passenger vehicles without the need for all wheel drive. Maintenance of unpaved roads and parking lots includes, but is not limited to, stabilization of road segments and maintaining proper drainage including sufficient crown and shoulder to prevent degradation of the road/lot.	No less than 90% of unpaved surfaces properly maintained.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Semi-annual
C.3.4.4	By “ the ISS Contractor will submit the first Inspection Report. The following, during the month of May, the Contractor shall inspect all surfaced areas and related structures, and prepare an Inspection Report.	All areas are inspected and the inspection report accurately reflects the as-found condition, documents any issues found, and is performed/submitted by July 31, and then no later than May 31st of each subsequent year.	100% areas inspected and no less than 90% of inspected areas documented in the Inspection Report.	Inspection, Submittal Review	1% of applicable monthly invoiced amount for the CLIN	Annual
C.3.4.4	During the month of May, the Contractor shall inspect all unpaved roads, parking areas and ancillary structures and prepare an Inspection Report.	All roads and areas are inspected and the inspection report accurately reflects the asfound condition, documents any issues found, and is performed/submitted during May of each year.	No less than 90% of areas documented in the Inspection Report.	Inspection, Submittal Review	1% of applicable monthly invoiced amount for the CLIN	Annual
C.3.4.4	The Contractor shall perform vegetation control on areas adjacent to paved, gravel and earth roads, and yards.	Vegetation Control shall be performed and meet the requirements as specified in C.3.5.2, Grounds Maintenance.	No less than 90% of inspected locations meet requirements.	Inspection, Submittal Review	1% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – October)
C.3.4.4	The Contractor shall maintain the drainage systems associated with roads and grounds to include ditches and culverts. To maintain proper runoff, the Contractor shall inspect and repair plugged and/or damaged culverts, clean catch basins, culverts, inlet headwalls, and exits and similar structures on a regular schedule.	Drainage ditches shall be maintained clear of debris and obstacles in order to maintain proper drainage. Culverts shall remain clear of obstructions and maintained in a manner that precludes washouts. Culverts shall be replaced when they become structurally compromised or indication of a subsidence or sink hole is evident. The Contractor shall maintain proper drainage through appropriate vegetation control as described in Section C.3.5.2 Grounds Maintenance.	No less than 90% of inspected locations meet requirements or work orders for needed repairs are documented.	Periodic Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – October)
C.3.4.4	The Contractor shall inspect vehicular bridges in accordance with 23 § CFR 650.301, document the results, and provide the results in an inspection report submitted to DOE.	Inspections are thorough and performed in accordance with the requirements of 23 CFR § 650.301 annually and documented with an Inspection Report.	Submittal contains 100% of requested information.	Periodic Inspection	2% of applicable monthly invoiced amount for the CLIN	Annual
C.3.4.4.4	The Contractor shall perform LEVEL II Service Order work.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	50% Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.

**8. RESERVED**

### 9. Custodial Services (C.3.5.1)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Custodial Services**.

**Table 9: Custodial Services Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.1.2	The Contractor shall purchase and use cleaning products containing recovered materials that are EPA- designated items to the greatest extent	Cleaning products are EPA-designated as containing recovered materials.	90% of inspected products are properly designated.	Periodic and Random Inspection	\$100.00 for each deficiency above the AQL.	Quarterly
C.3.5.1.2	The Contractor shall post warning signs and barricades in areas of floor care operations, as appropriate, to ensure personnel safety.	Warning signs are posted when hazards are introduced by floor care operations.	100% of inspected areas contain appropriate signs.	Periodic and Random Inspection	\$200.00 for each deficiency above the AQL.	Quarterly
C.3.5.1.3	The Contractor shall report deviations from the space cleaning plan into the weekly maintenance report.	All deviations to the space cleaning plan are reported in the weekly report.	100% of deviations to the space cleaning plan are captured in the weekly report.	100% Inspection	\$500.00 for each deficiency.	Quarterly
C.3.5.1.3.1	The Contractor shall perform space cleaning in accordance with C.3.5.4.3.1.	The Contractor ensures the spaces are clean, sanitary and sightly.	95% of inspected areas acceptable and no more than two valid customer complaints.	Periodic and Random Inspection, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.5.1.3.2	The Contractor shall perform floor care in accordance with C.3.5.1.3.2.	The Contractor ensures the floor care maintains the floors clean, sanitary and sightly.	95% of inspected areas acceptable and no more than two valid customer complaints.	Periodic and Random Inspection, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Annual
C.3.5.1.4	The Contractor shall perform LEVEL II Service Order work as defined in Section C.3.4.2.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.
C.3.5.1.3.4	The Contractor shall perform restroom services in accordance with C.3.5.1.3.4.	The Contractor services all restrooms to ensure they are clean, sanitary, sightly and stocked with sufficient supplies.	95% of inspected areas and no more than two valid customer complaints.	Periodic and Random Inspection, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.5.1.3.5	The Contractor shall be responsible for pickup and disposition of sanitary waste, including disposition of sanitary waste.	The Contractor disposes of up to ten (10) dumpsters at or around the Portsmouth.	95% of inspected areas and no more than two valid customer complaints.	Periodic and Random Inspection, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Monthly

C.3.5.1.3.5	The Contractor shall perform waste collection and disposal in accordance with Section C requirements.	The Contractor separately collects and manages recyclable and consumer hazardous waste generated by the Contractor from other waste streams in accordance with the waste minimization program.	95% of inspected areas and no more than two valid customer complaints.	Periodic and Random Inspection, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Monthly
-------------	---	--	--	---	---	---------

### 10. Grounds Maintenance (C.3.5.2)

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Grounds Maintenance**.

**Table 10: Grounds Maintenance Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.2.2	Improved areas, service level 1 shall be maintained in accordance with Section C, mowing map, and J-8.C.3.5.2 Table 1.	Vegetation maintained and services provided consistent with Service Level 1.	95% of inspected locations meet requirements.	Periodic Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)
C.3.5.2.2	Improved areas, service level 2 shall be maintained in accordance with Section C, mowing map, and J-8.C.3.5.2 Table 1.	Vegetation maintained and services provided consistent with Service Level 2.	95% of inspected locations meet requirements.	Periodic Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)
C.3.5.2.2	Semi-improved areas shall be maintained in accordance with Section C, mowing map, and J-8.C.3.5.2 Table 1.	Vegetation maintained and services provided consistent with semi-improved areas.	95% of inspected locations meet requirements.	Periodic Inspection	2% of applicable monthly invoiced amount for the CLIN	Semi-annual
C.3.5.2.2	The Contractor shall provide an access route to monitoring wells and ambient air monitoring stations.	A ten (10) foot radius circle with a vegetation height not to exceed six (6) inches around the groundwater wells shall be maintained and coordinated with the D&D contractor’s sampling schedules. The Contractor shall maintain a mowed, debris free, pathway that is no less than three (3) feet wide and with a vegetation height not to exceed six (6) inches leading to the (air) monitors that provides safe walking access.	95% of inspected locations meet requirements.	Periodic Inspection, Records review	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)
C.3.5.2.2	The Contractor shall perform grass and vegetation control along security fences.	Vegetation shall be controlled in accordance with applicable area and service level.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.5.2.2	The Contractor shall maintain the outer boundary fence (X-208A) and provide brush control on both sides of the fence.	The fence shall be maintained clear of trees, brush and other vegetation such that no damage to the fence occurs. A cleared access route along the fence will be maintained at a width of 5 for its entire length, subject to the limitations of the terrain.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Annually

C.3.5.2.2	The Contractor shall remove obstructions and control vegetation in above ground storm drainage systems to maintain continuous unrestricted flow of storm water runoff.	Vegetation shall be maintained accordingly. The Contractor shall control the height of vegetation to less than 30 inches in ditches where water regularly accumulates and it is impractical to enter with mowers on a regular basis including dry weather periods.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.5.2.2	The Contractor shall maintain facility railroads free of vegetation to allow for safe and compliance rail operations.	Railroad vegetation is maintained accordingly.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.5.2.2	Vegetation within 25 feet on either side of roadways through otherwise unmaintained areas will be mowed/trimmed.	Vegetation along roadways shall be maintained to a height of no more than 18 inches. Additional clearance beyond 25 feet shall be performed at intersections, turns, or other such areas such that safe/unobstructed traffic visibility is maintained.	95% of inspected locations meet requirements.	Periodic Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)
C.3.5.2.2	Regulated Engineered Facilities. Mowing, maintenance, and repair requirements for these caps are delineated in the Integrated Surveillance and Maintenance Plan (DOE/PPPO/03-0084&D3). The Contractor shall perform mowing, repair, fertilization, monument maintenance, and pest control of these caps in strict compliance with the plan. Stone/Gravel Areas. The Contractor shall maintain designated areas predominantly free of vegetation through trimming, mowing, and/or herbicide.	The caps shall not be damaged, including scalping of the vegetative cover, rutting, fertilizer burn, or other means. The Contractor shall prevent scalping, uneven mowing, or rutting by the equipment and shall not damage engineered caps. The Contractor shall consult and coordinate with the D&D contractor as necessary to prevent any potential damage during maintenance and mowing.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly
C.3.5.2.2	Stone/Gravel Areas. The Contractor shall maintain designated areas predominantly free of vegetation through trimming, mowing, and/or herbicide.	Gravel surface shall be visible and unimpacted for use, maintenance, and inspection by vegetation growth. Vegetation shall be maintained not taller than 12 inches, and shall be treated or trimmed.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)
C.3.5.2.4	The Contractor shall remove any trash, paper, or other debris prior to mowing/cutting that detracts from the finished appearance of the area or present a safety hazard.	Trash is removed prior to mowing areas.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)
C.3.5.2.4	The Contractor shall trim grass/vegetation around utilities, fences, utility poles, lightning protection poles, guy wires, sign posts, fire hydrants, buildings, electrical structures, plastic and concrete jersey barriers, and parking lot bumpers.	Objects within the mowing areas shall be trimmed around in accordance with applicable standard.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)
C.3.5.2.4	The Contractor shall remove or blow off grass clippings and leaves (not trash) deposited by the mowing operation from sidewalks, concrete porches, building aprons, streets, etc.	Clippings shall be properly removed following mowing activities.	95% of inspected locations meet requirements.	Periodic and Random Inspection	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)

C.3.5.2	The Contractor shall coordinate with the other site contractors prior to the performance of work activities that might impact their operations.	Mowing activities that may interfere with other contractor activities are coordinated effectively.	Two observed defects or valid customer complaints.(Monthly)	Periodic Inspection, Customer Feedback	2% of applicable monthly invoiced amount for the CLIN	Monthly Seasonal (April – November)
C.3.5.2	The Contractor shall prepare and submit annually a Mowing Plan, Mowing Map and Annual Mowing Schedule for review and approval by DOE. The Contractor shall provide a schedule of mowing activities.	Submittal is inclusive of all areas maintained.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.3.5.2	The Contractor shall perform seeding, strawing, topsoil backfill, armoring, and/or application of erosion control matting to repair areas of scalping, dead patches, and areas of evidence of soil erosion occurring in mowed areas. The Contractor will inspect and report areas of erosion that require repair.	Areas of erosion shall be reported. These areas shall be repaired to eliminate continued erosion and restore healthy grass cover.	95% of inspected locations meet requirements.	Periodic and Random Inspection, Records review	2% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.5.2	The Contractor shall be responsible for maintaining all equipment, including government furnished equipment, required to implement the PWS.	Equipment shall be maintained in a safe serviceable condition, and in accordance with the manufacturer’s recommendations for preventive and routine service. Corrective maintenance shall be performed as necessary to maintain the equipment in a safe and serviceable condition.	90% of inspected locations meet requirements.	Periodic and Random Inspection, Records review	2% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.5.2	The Contractor shall perform LEVEL II Service Order work.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	Inspection of Level II service orders	10% of service order cost	Quarterly For each Level II above the limit of liability.

### 11. Snow and Ice Prevention/Removal (C.3.5.3)

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Snow and Ice Prevention/Removal**.

**Table 11: Snow and Ice Prevention/Removal Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.3.4	The Contractor shall plow in a manner that does not create a safety hazard and does not obstruct sidewalks, streets, parked vehicles, fire hydrants, refuse dumpsters, obstacles (i.e., water valves, radiological areas, etc.), parking lot entrances, exits, or roadway intersections.	Plowing operations do not create safety hazards or obstruct identified items.	No more than one observed defect and no more than two valid customer complaints.	Inspection, Observation, Customer Feedback	\$500.00 for each deficiency above the AQL.	Monthly
C.3.5.3.5.1	Non-Significant Weather Events: The Contractor shall treat and clear priority areas to maintain safe passage conditions for vehicle and pedestrian traffic.	Priority 1, 2, and 3 areas are free and clear within 4 hours of the completion of the weather event. Remaining areas shall be cleared within 12 hours.	No more than one observed defect and no more than two valid customer complaints.	Inspection, Observation, Customer Feedback	\$1,000.00 for each deficiency per event.	Monthly
C.3.5.3.5.2	Significant Weather Events: The Contractor shall treat and clear priority areas to maintain safe passage conditions for vehicle and pedestrian traffic.	Priority 1, 2, and 3 areas are free and clear within 8 hours of the completion of the weather event. Remaining areas are cleared within 16 hours.	No more than one observed defect and no more than two valid customer complaints.	Inspection, Observation, Customer Feedback	\$1,000.00 for each deficiency per event.	Monthly
C.3.5.3.6	The Contractor shall perform LEVEL II Service Order work.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	Inspection of Level II service orders	10% of service order cost	For each Level II above the limit of liability.

**12. Pest Control Services (C.3.5.4)**

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Pest Control Services**.

**Table 12: Pest Control Services Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.5.4.2	All work shall be performed by certified individuals.	Evidence of permits and licenses are provided to DOE.	100% of personnel are certified.	Periodic Inspection	\$1,000.00 for each deficiency.	Quarterly
C.3.5.4.3	The Contractor shall maintain records of all pest control operations, both chemical and nonchemical, including surveillance.	Records are made available upon request for inspection.	90% of pest control operations have appropriate records maintained.	Periodic Inspection	\$500.00 for each deficiency above the AQL.	Quarterly
C.3.5.4.4	Labels and safety data sheets for each pesticide proposed to be used shall be submitted to DOE for approval at least fourteen (14) calendar days prior to use.	DOE approves the use of the pesticide prior to use and the pesticides for the intended use.	100% of pesticides approved for use by DOE at the time of inspection.	Periodic Inspection	\$100.00 for each deficiency above the AQL.	Single surveillance review of documentation.
C.3.5.4.4	All pesticides used by the Contractor shall be registered for the use intended.	Pesticides are registered with the EPA and State of Ohio for the intended use.	100% of pesticides are registered.	Periodic Inspection	\$2,000.00 for each failure.	Annual
C.3.5.4.4	All pesticides usage shall be in strict conformance with label directions. The Contractor shall maintain a label book of pesticides used. All pesticides, rinse water, and containers shall be disposed of in accordance with label directions.	Label book of pesticides use is readily available for inspection by DOE.	100% of pesticides used are identified in the label book, and 100% items disposed of off-site.	Periodic Inspection	\$2,000.00 for each failure.	Monthly
C.3.5.4.4	All pesticides, rinse water, and containers shall be disposed of in accordance with label directions. Pesticides, rinse water, and containers shall not be disposed of on the Portsmouth Gaseous Diffusion Plant site.	All pesticides, rinse water, and containers shall be disposed off-site.	100% items disposed of offsite	Periodic Inspection	\$1,000.00 for each failure.	Annual
C.3.5.4.4	Pesticide spills shall be cleaned, decontaminated, and reported to DOE, as required by the WSHP and applicable environmental standards.	Spills are cleaned, decontaminated, and reported in accordance with Contractor WSHP and applicable environmental standards.	100% spills handled in accordance with Contractor WSHP.	Periodic Inspection	\$1,000.00 for each deficiency.	Quarterly
C.3.5.4.5	The Contractor shall provide pest control services for the control of ticks, ants, wasps, spiders, mice, rats, and any other pest native to the Portsmouth, Ohio area.	Areas are maintained free of infestations impacting personnel near buildings, portals, or field work.	No more than three valid customer complaints. (Monthly)	Periodic Inspection, Customer Feedback	2% of applicable monthly invoiced amount for the CLIN	Semi-annual

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.5.4.6	The Contractor shall provide the removal of nuisance animals. The Contractor shall remove all dead animals, as needed.	Nuisance animals and animal carcasses shall be removed in a timely manner as agreed upon with DOE. Removal actions shall occur within 3 customer requests.	No more than two observed defects and no more than two valid customer complaints.(Monthly)	Periodic Inspection, Customer Feedback	2% of applicable monthly invoiced amount for the CLIN	Semi-annual

**13. RESERVED**

---

---

**14. Records Management and Document Control (C.3.6.)**

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Records Management and Document Control**.

**Table 14: Records Management and Document Control Performance Standards, AQLs and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.6.3	The Contractor shall prepare, revise, submit for DOE approval and execute an approved Records Management Plan.	The Records Management Plan are developed in accordance with 44 U.S.C. 21; 44 U.S.C. 29; 44 U.S.C. 31; 44 U.S.C. 33; 44 U.S.C. 36; 36 CFR Chapter XII, Subchapter B, <i>Records Management</i> ; DOE O 243.1, “ <i>Records Management Program</i> .”	Deliverable provided per schedule and is technically accurate and complete.	Deliverable Review	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of the initial deliverable, and annual updates
C.3.6.3.1	The contractor shall utilize an Electronic Records Management System (ERMS) for the maintenance and disposition of all records (regardless of media) including electronic and email. The Contractor shall ensure all records are imported into the appropriate folder within the ERMS to ensure proper cutoff/disposition, while assigning the correct DOE Records Disposition Schedule. The Contractor shall provide a web search capability for the ERMS to allow record searches. This search capability shall be made available to DOE and other	The contractor shall ensure quality control processes are in place for records acceptance prior to importing into the ERMS; including but not limited to assigning proper disposition schedule, records arrangement (folder structure) scanned image meets ppi/dpi requirements, pages are rotated properly, security markings are applied and images are clear and legible.	Less than 5% error rate, less than 5% backlog and no more than two valid customer complaints.	Periodic and Random Inspections, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Monthly
C.3.6.3.2	The Contractor shall develop and implement records management requirements for the creation, maintenance and storage of audiovisual records.	Audiovisual records are stored in accordance with 36 CFR § 1237 and 36 CFR § 1235.42 and any updated National Archives and Records Administration (NARA) requirements/guidance.	95% compliance.	Single review of procedures and periodic and Random Inspection	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.6.3.3	The Contractor shall prepare, revise, submit for DOE approval, and execute an approved Vital Records Plan.	The Vital Records Plan is developed in accordance with 36 CFR § 1223, Managing Vital Records, and DOE Order 243.1, Records Management Program.	Deliverable provided per schedule and is technically accurate and complete.	Deliverable Review	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of the deliverable

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.6.3.3	The Contractor shall prepare, revise, and submit to DOE the Vital Records Inventory.	The Records Inventory is developed and updated in accordance with 36 CFR § 1223, <i>Managing Vital Records</i> , and DOE O 243.1, <i>Records Management Program</i> .	Submittal contains 100% of requested information.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Annual
C.3.6.4.1	The Contractor shall incorporate recordkeeping controls into electronic information system or export the records into the current ERMS. The Contractor shall design and implement migration strategies to counteract hardware and software dependencies of electronic records whenever the records must be maintained and used beyond the life of the information system in which the records are originally created and captured.	Electronic records are stored in accordance with 36 CFR 1236.	95% compliance or two valid customer complaints.	Periodic and Random Inspections, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Monthly
C.3.6.4.2	The Contractor shall prepare, revise, submit for DOE approval, and execute an approved File Plan.	The File Plan is developed in accordance with 36 CFR Chapter XII Subchapter B and DOE O 243.1 <i>Records Management Program</i> .	Deliverable provided per schedule and is technically accurate and complete.	Deliverable Review	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of the deliverable (annual)
C.3.6.5.1	The Contractor shall ensure records identified as Quality Assurance records under ANSI/American Society of Mechanical Engineers National Quality Assurance (NQA)-1 are categorized (lifetime/non-permanent); managed in accordance with NQA-1 and 36 CFR Chapter XII, Subchapter B; and are maintained for traceability to the applicable item, activity or facility.	Records identified as quality assurance are managed in accordance with NQA-1 and 36 CFR Chapter XII, Subchapter B; and are maintained for traceability to the applicable item, activity or facility.	95% compliance or two valid customer complaints.	Periodic and Random Inspection, Observation, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Quarterly
C.3.6.5.2	Records that contain personal information retrieved by name, or another personal identifier are maintained in Privacy Act Systems of Records.	The Contractor shall ensure records that are maintained in Privacy Act Systems of Records are managed and maintained in accordance with FAR 52.224-2, <i>Privacy Act</i> and DOE O 206.1, <i>DOE Privacy Program</i> , staff are properly trained, and records are properly identified.	100%, compliance no more than zero observed defects (breaches).	Periodic and Random Inspections, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Monthly
C.3.6.5.3	The Contractor shall protect and handle classified information and critical information in accordance with applicable laws, regulations, policies, and directives.	Classified records are handled in accordance with Section C.3.3, <i>Safeguards and Security</i> .	100%, zero observed defects (incidents).	Periodic and Random Inspection, Observation, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Monthly

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.6.5.4	The Contractor shall respond to records management data calls by NARA and DOE as requested and process record requests for the FOIA, Privacy Act, Energy Employees Occupational Illness Compensation Program Act, the former worker medical screening program, the Chronic Beryllium Disease Prevention Program, congressional inquiries, legal discoveries and other record requests.	Response to record request are completed as follows: <ul style="list-style-type: none"> <li>• FOIA ≤10 business days</li> <li>• Privacy Act ≤10 business days</li> <li>• Litigation Requests ≤ 5 business days</li> <li>• DOE Requests ≤ 2 business days</li> </ul>	Less than 1% backlog and one observed defect or valid customer complaint.	Inspection, Observation, Customer Feedback	10% of applicable monthly invoiced amount for the CLIN	Monthly
C. 3.6.5.5	The Contractor shall maintain the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) Administrative Record and Information Repository files.	The CERCLA Administrative Record files are maintained in accordance with applicable laws, regulations, policies and directives.	98% and no more than one observed defect or valid customer complaint.	Periodic and Random Inspections, Customer Feedback	\$500.00 for each deficiency	Monthly
C.3.6.5.7	The Contractor shall ensure historical records, regardless of media, are stored appropriately in accordance with federal laws and DOE regulations for proper preservation and efficient retrieval.	Required volumes of historical paper records are organized, scheduled, indexed, boxed and dispositioned in paper format or current format.	No more than one observed deficiency or valid customer complaint.	Periodic and Random Inspections, Customer Feedback	10% of applicable monthly invoiced amount for the CLIN	Monthly
C.3.6.6	Ensure proper DOE Records Disposition Schedule assigned, box, index, complete transfer paperwork, and obtain DOE Records Management Field Officer (RMFO) approval prior to sending transfer paperwork and/or shipping inactive temporary records to a FRC and/or permanent records to the NARA.	The contractor shall ensure records are dispositioned per the assigned DOE schedule; including transfer of temporary records to the FRC, permanent records to NARA and destruction of those eligible for destruction.	98% of records are transferred to FRC/NARA within one year of cutoff; destruction eligible are destroyed within one year of approval date.	Period and Random Inspections, Customer Feedback	5% of applicable monthly invoiced amount for the CLIN	Monthly
C.3.6.6	For DOE approval, the Contractor shall develop and implement a Records Disposition Plan.	The Records Disposition Plan shall be developed in accordance with applicable DOE guidance.	Deliverable provided per schedule and is technically accurate and complete.	Deliverable Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of the deliverable
C.3.6.6	Provide software/ hardware maintenance for the Website server, Website application, database, and system backups for the system as currently configured.	Website access and full functionality will be available 100% of the business days and hours identified in the contract. Availability outside those hours will be 95% of the time.	No more than two valid customer complaints per month, nor more than one lapse in availability/functionality	Customer feedback, Remote use, Periodic Inspectn	\$500 for each additional deficiency above the AQL	Monthly, or as need is determined

**15. Mail Services (C.3.7)**

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Mail Services**.

**Table 15: Mail Services Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.7.2	Operate the site central mailroom.	Mailroom is operated on normal business days.	No more than two observed defects or valid customer complaints. (Monthly)	Inspection, Observation, Customer Feedback	\$500.00 for each deficiency above the AQL.	Semi-annual
C.3.7.2	Collect from a local United States Postal Service Post Office Box and process classified mail for all site contractors and DOE.	Mail is collected from the United States Postal Service Post Office Box and classified mail is correctly processed.	No more than two observed defects or valid customer complaints. (Monthly)	Inspection, Observation, Customer Feedback	\$500.00 for each deficiency above the AQL.	Quarterly
C.3.7.2	Collect and deliver inter-organizational and outgoing U.S. mail twice daily to C-103, DOE Site Office, Monday through Friday. Frank and post all outgoing U.S. mail for DOE by means of the Government postage meter.	Mail is collected and delivered twice daily on normal business days.	No more than two observed defects or valid customer complaints. (Monthly)	Inspection, Observation, Customer Feedback	\$500.00 for each deficiency above the AQL.	Semi-annual
C.3.7.2	Materials received at the loading dock by the Contractor shall be verified and delivered (as needed) to the location designated by the purchasing contractor.	The Contractor shall notify the purchasing contractor as soon as practicable that the material has been received and ready for quality inspection. Transport and inspection shall be coordinated with the D&D contractor. The materials shall be delivered as soon as practicable following receipt such that no adverse impact occurs to the performance of the purchasing entity.	No more than two observed defects and no more than two valid customer complaints. (Monthly)	Inspection, Observation, Customer Feedback	\$500.00 for each deficiency above the AQL.	Quarterly
C.3.7.2	The Contractor shall provide or ensure compliant security escorting of materials deliveries to the recipient contractor.	Contractor will effectively coordinate activities with D&D contractor to ensure compliant escorting of materials while in secured areas.	No observed defects.	Inspection, Observation, Customer Feedback	\$500.00 for each deficiency above the AQL.	Quarterly
C.3.7.2	The Contractor shall coordinate and perform shipping services utilizing commercial carriers. The Contractor shall receive materials packaged appropriately for shipment via commercial carrier at the loading dock area. The Contractor shall coordinate each shipment and maintain all paperwork and tracking numbers associated with the shipment with the appropriate shipping service agency. (Excludes D&D contractor waste shipments)	The Contractor shall effectively coordinate DOE and DOE contractor commercial carrier shipments. The Contractor shall accurately maintain all paperwork, tracking numbers, and verify shipments were completed successfully via the applicable shipping service agency.	No more than two observed defects and no more than two valid customer complaints. (Monthly)	Inspection, Observation, Customer Feedback	\$500.00 for each deficiency above the AQL.	Quarterly

**16. EIC Operations (C.3.8)**

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Mail Services**.

**Table 16: Mail Services Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.8	Staff the Environmental Information Center (EIC) such that the information it contains is accessible to the public during the hours of 9:00AM until 12:00PM, Mondays and Tuesdays and 12:00 PM until 4:00PM Wednesdays and Thursdays. Reasonable after-hours appointments shall be readily available.	The EIC and information repository is accessible to the public during the specified periods.	EIC shall be accessible to the public 100% for the times listed and no valid customer complaints.	Periodic inspection, public or customer complaint.	\$500 for each failure	Quarterly
C.3.8	The Contractor shall provide the following EIC features: Americans with Disabilities Act (ADA) Accessibility Compliance, Free Copies of Documents to the public (per C.3.8), Public Use Reading Room, Public Use Computer Systems, and Public Searchable Document Index.	The features specified in C.3.8 shall be provided without exception during EIC public access hours.	No more than two observed defects and no more than two valid customer complaints. (monthly)	Inspection, Observation, Customer Feedback	\$500 for each additional failure above the AQL.	Quarterly
C.3.8	The Contractor shall transfer documents provided to the Contractor to a searchable electronic system, which shall be accessible on the internet by the general public.	All documents provided to the Contractor are transferred by the Contractor to the searchable electronic system. Internet website public access is maintained to the EIC electronic files in the AR, Post Decision (PD), and General Reference Compendium (GRC).	No more than two observed defects and no more than two valid customer complaints. (monthly)	Inspection, Observation, Customer Feedback	\$500 for each additional failure above the AQL.	Quarterly
C.3.8	The Contractor shall develop, manage and maintain the DOE EIC Online Document Repository. Documents provided to the Contractor from the DOE or other site contractors shall be included in the EIC.	All documents provided to the Contractor shall be accessible by the general public. Hard copy of selected documents which are not available on the website is maintained. Documents provided to the EIC are available, complete and legible at the EIC.	No less than 95% of documents are complete and legible.	Inspection, Observation, Customer Feedback	\$1,000 for each additional failure above the AQL.	Quarterly

**17. Training Services (C.3.9)**

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Training Services**.

**Table 15: Training Services Performance Standards, AQLs, and Surveillance:**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.9.2	The Contractor shall provide the delivery of the training courses listed in Attachment J-8.C.3.9.1, and provide site access training qualification records and cards.	Training qualification records and site access cards are provided within 5 business days or less.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	\$500.00 for each additional deficiency above the AQL.	Quarterly
C.3.9.3	The Contractor shall provide the training courses to ensure compliance with applicable environmental health and safety laws and regulations.	Training courses ensure compliance with environmental health and safety laws and regulation.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	\$500.00 for each additional deficiency above the AQL.	Quarterly
C.3.9.3	Training classes will be coordinated with other site contractors and tailored to the Portsmouth site activities.	Training courses are coordinated with other site contractors.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	\$500.00 for each additional deficiency above the AQL.	Semiannually
C.3.9.4	The Contractor shall develop a training schedule for site specific courses listed in Section C.3.9.2, Requirement.	Schedule includes all training courses listed in Section C.3.9.2.	Deliverable provided per schedule and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Single surveillance review of deliverable
C.3.9.4	Personnel are notified of pending training needs prior to expiration of requisite training certifications.	Personnel are notified a minimum of 30 calendar days prior to expiration of training.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	\$500.00 for each additional deficiency above the AQL.	Quarterly
C.3.9.4	Prime Contractor Points of Contact are notified their employee has not completed the requisite training and is to be placed on restrictions from general site access.	Prime Contractor Points of Contact are notified within 1 business day of a training non-compliance upon individual not completing the requisite training by the required completion date.	No more than two observed defects or valid customer complaints.	Customer feedback, Periodic Inspection	\$500.00 for each additional deficiency above the AQL.	Quarterly

**18. RESERVED**

**19. Cyber, Computing, and IT (C.3.12)**

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Cyber, Computing, and IT**.

**Table 19: Cyber, Computing, and IT Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.2.1	The Contractor shall identify specific positions requiring requisite security clearances. The scope of this contract requires some personnel to have Q or L security clearances. Positions should be evaluated and clearances should only be requested for those that have specific duties that require clearances. For example, Cyber security personnel may be required to obtain a DOE Q access authorization under this Contract. All information technology and cyber security personnel (e.g., some System Administrators, Network Administrators, Information System Security Officers, Forensic Analysts, Contingency Plan Coordinator) who have incident response and contingency planning responsibilities shall obtain and maintain a DOE Q clearance.	All required personnel possess a DOE Q clearance.	100% of required personnel have DOE Q clearance.	Periodic Inspection	\$1,000.00 for each deficiency.	Monthly
C.3.12.1.2	The contractor shall obtain, prior to becoming operational (for a new information system) and maintain (if an existing information system), a Continuous Authority to Operate (CATO) for each information system under its governance.	The contractor obtains and maintains an active Continuous Authority to Operate for all information systems for which it has responsibility.	100% of information systems have an active CATO	Periodic Inspection	\$2,500.00 for each deficiency.	Monthly
C.3.12.1.2	The Contractor shall comply with the cyber security requirements specified in DOE O 205.1 Department of Energy Cyber Security Program and applicable Cyber Security Program Plans (CSPP). In fulfilling requirements, the most current, approved versions of NIST Special Publications (SP), Federal Information Processing Standards (FIPS) Publications, and other applicable requirements documents shall be used. In close coordination with federal and contractor staff, The Contractor shall develop and implement a CSPP that is aligned with DOE mission objectives, serving as the framework for how the cyber security program manages risk incurred by DOE from the operation of the site's information systems.	The contractor shall develop and maintain a diagram of cyber security infrastructure. The diagram shall include, for example, identifying the placement of security capabilities (e.g., firewalls, intrusion prevention/detection systems, network taps, web and email filtering appliances), detailing network segmentation, and identifying information system interconnections and remote access methods.	Diagram is 100% consistent with current cyber security infrastructure	100% inspection of deliverable	\$1,000.00 for each deficiency.	Quarterly

C.3.12	For DOE approval, the Contractor shall submit Cyber Security, Computing, and IT Staffing Plan as required by Attachment J-4, <i>List of Deliverables</i> .	The deliverable includes all labor hour positions to support all Section C requirements in C.3.12.	Deliverable provided per the Deliverable Schedule in C.2.1 and is technically accurate and complete.	100% Inspection	\$500.00 for each business day deliverable is past due date or not technically accurate and complete.	Single surveillance review of deliverable
--------	--	--	--	--------------------	---	---

**20. Contract Closeout (C.3.12)**

The following table provides the performance standards, AQLs, and surveillance methods pertaining to **Contract Closeout**.

**Table 20: Contract Closeout Performance Standards, AQLs, and Surveillance**

PWS Section	Requirement	Performance Standard	Minimum Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.12	The Contractor shall provide all necessary support for a smooth Contract transition at the end of the Contract period.	The Contractor provides support for and effective and efficient closeout of the Contract.	100%	Customer Feedback, Observation, Inspection.	Associated values for contract remedies	At contract closeout
C.3.12	Six (6) months prior to the expiration of the Contract period (upon CO direction), the Contractor shall submit a Contract Close-out Plan to DOE for review and approval.	The Contract Close-out Plan includes all remaining administrative matters necessary to effectively and efficiently closeout the Contract.	Deliverable contains 100% of requested information.	100% Inspection	Associated values for contract remedies	At contract closeout
C.3.12	All procurements closed and records must be processed within 1 year of the performance end date.	Records management requirements in C.3.6	100%	100% Inspection	\$10,000 for each month this is late	At contract closeout

## **APPENDIX B: EXAMPLE CONTRACTOR EVALUATION REPORT**

<b>CONTRACTOR EVALUATION REPORT</b>			<b>1. EVALUATION REPORT NUMBER</b>	
<b>2. TO:</b> <i>(Contractor and Manager Name)</i>		<b>3. FROM:</b> <i>(Name of COR)</i>		
<b>DATES</b>				
<b>PREPARED</b>	<b>ORAL NOTIFICATION</b>	<b>RETURNED BY CONTRACTOR</b>	<b>ACTION COMPLETE</b>	
<b>4. EVALUATION DISCREPANCY OR PROBLEM</b> <i>(Describe in Detail. Include PWS references. Attach Continuation Sheet if Necessary.)</i>				
<b>5. SIGNATURE OF COR OR ACOR</b>				
<b>6. TO:</b> <i>(Name of COR)</i>		<b>7. FROM:</b> <i>(Contractor)</i>		
<b>8. CONTRACTOR RESPONSE AS TO CAUSE, EFFECT, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE.</b> <i>(Attach Continuation Sheet if necessary. Cite applicable Contractor QC program procedures or new QC procedures.)</i>				
<b>9. SIGNATURE OF CONTRACTOR REPRESENTATIVE</b>		<b>10. DATE</b>		
<b>11. GOVERNMENT EVALUATION</b> <i>(Acceptance, partial acceptance, or rejection. Attach Coordination Sheet if necessary.)</i>				
<b>12. GOVERNMENT ACTIONS</b> <i>(Reduced payment, cure notice, show cause, other.)</i>				
<b>CLOSE OUT</b>				
<b>CONTRACTOR NOTIFIED</b>	<b>NAME AND TITLE</b>	<b>SIGNATURE</b>	<b>METHOD OF ACKNOWLEDGEMENT (Email, Letter)</b>	<b>DATE</b>
<b>COR/ACOR</b>				

**APPENDIX C:  
EXAMPLE INSPECTION CHECKLIST**

SERVICE FUNCTION: \_\_\_\_\_

PWS SECTION: \_\_\_\_\_

NOTE: **S** = Satisfactory Performance    **M** = Marginal Performance    **U** = Unsatisfactory Performance  
**I** = Indeterminate    **N/A** = Not Applicable

<b>1</b>	<b>Method of Surveillance:</b>			
<b>2</b>	<b>Lot Size:</b>			
<b>3</b>	<b>Sample Size:</b>			
<b>4</b>	<b>Performance Requirement:</b> Performance is satisfactory (S) when _____ or fewer defects are discovered per month. Performance is marginal (M) when _____ or fewer defects are discovered per month. Performance is unsatisfactory (U) when _____ or more defects are discovered per month. Performance is Indeterminate (I) when DOE places a hold on the evaluation outcome.			
<b>5</b>	<b>Sampling Procedure:</b> Instructions on how to select the sample must be clear and complete			
<b>6</b>	<b>Inspection Procedure:</b> The procedure must be detailed enough to allow a yes/no objective decision as to the acceptability of performance by anyone making the inspection. Explain when evaluation is to occur and what is acceptable/unacceptable			
		<b>Performance:</b> Satisfactory (S), Marginal (M), Unsatisfactory (U), Indeterminate (I)		
	<b>PRS Requirements</b>	<b>Timeliness</b>	<b>Quality of Work</b>	<b>Notes</b>
	<b>Overall Rating Of Inspection</b> (S, M, U, I)			

Inspector Comments: \_\_\_\_\_  
 \_\_\_\_\_

Evaluator Signature: \_\_\_\_\_ Date: \_\_\_\_\_