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(2) COMNAVFACENGCOM ALEXANDRIA VA ltr 5404A/022B/ca of 13 MAY 87

1. Copies of enclosures (1) and (2) are forwarded for your use and information.

W. T. Mathews
WILLIAM T. MATHEWS
By direction

15 JUN 1987 13 1/4

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- List A (only 7, 12, 16)
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10 Jun 87

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Commander, Atlantic Division
Naval Facilities Engineering Command
Norfolk, Virginia 23511-6287

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William T. Mathews
WILLIAM T. MATHEWS
By direction

15 JUN 1987 13 14

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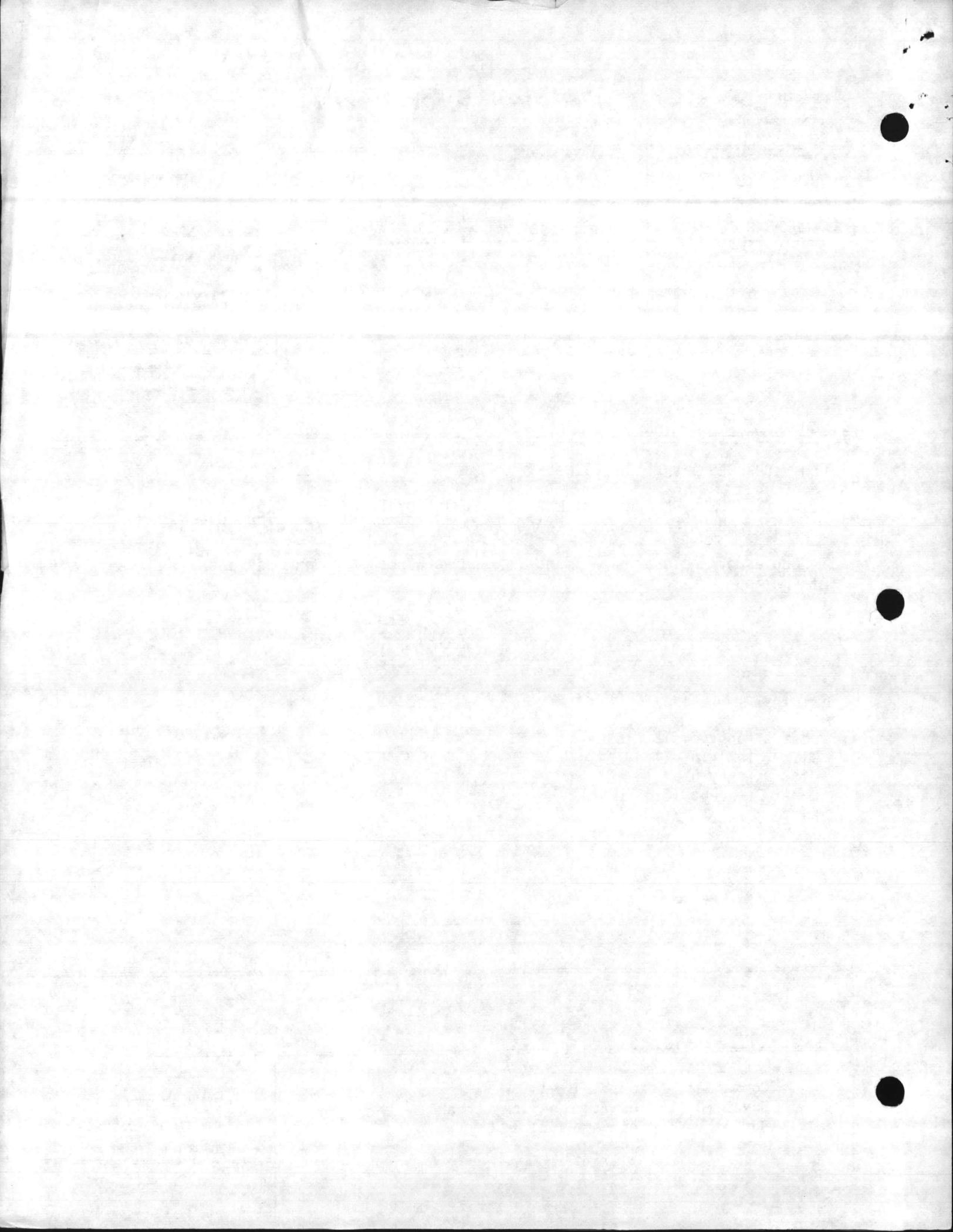
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021B/RIM:ds:0289p
29 Jan 87

From: Commander, Naval Facilities Engineering Command
Subj: ADVANCE CHANGES TO "INDEFINITE QUANTITY A/E CONTRACTS"
Encl: (1) NAVFAC P-68 Change #12

1. Enclosure (1) is an advance copy of change #12 to the P-68 Contracting Manual. This change makes three major adjustments to "open-end" A/E contracts.

PROJECT IDENTIFICATION

Indefinite quantity contracts may be synopsisized without identification of a specific project when the specific location is not a critical element of the selection evaluation. When a specific project is not identified a minimum fee of \$5,000 will be guaranteed. For example, engineering services for roof repairs/replacements, site surveys, engineering services for boiler repairs are considered non site specific.

GENERAL A/E SERVICES

Synopsis for "general A/E services" for a designated location is authorized with the following conditions: General A/E services would be limited to minor construction, alteration, and repair projects with an ECC not to exceed \$200,000 in a specific location, e.g. MCB Quantico. (Please note, previous information on this change contained a typographical error incorrectly indicating that services would be limited to projects with an ECC not to exceed \$250,000.)

OPTIONS

A one year option, to be exercised at least 60 days prior to the end of the first year, is authorized. The option year is limited to the same fee restrictions as the first year, i.e., \$500,000 maximum, \$200,000 per project.

15/
PAUL P. BUONACCORSI
By direction

Distribution

FKN1

FKN5

OICC TRIDENT

OIC Davisville

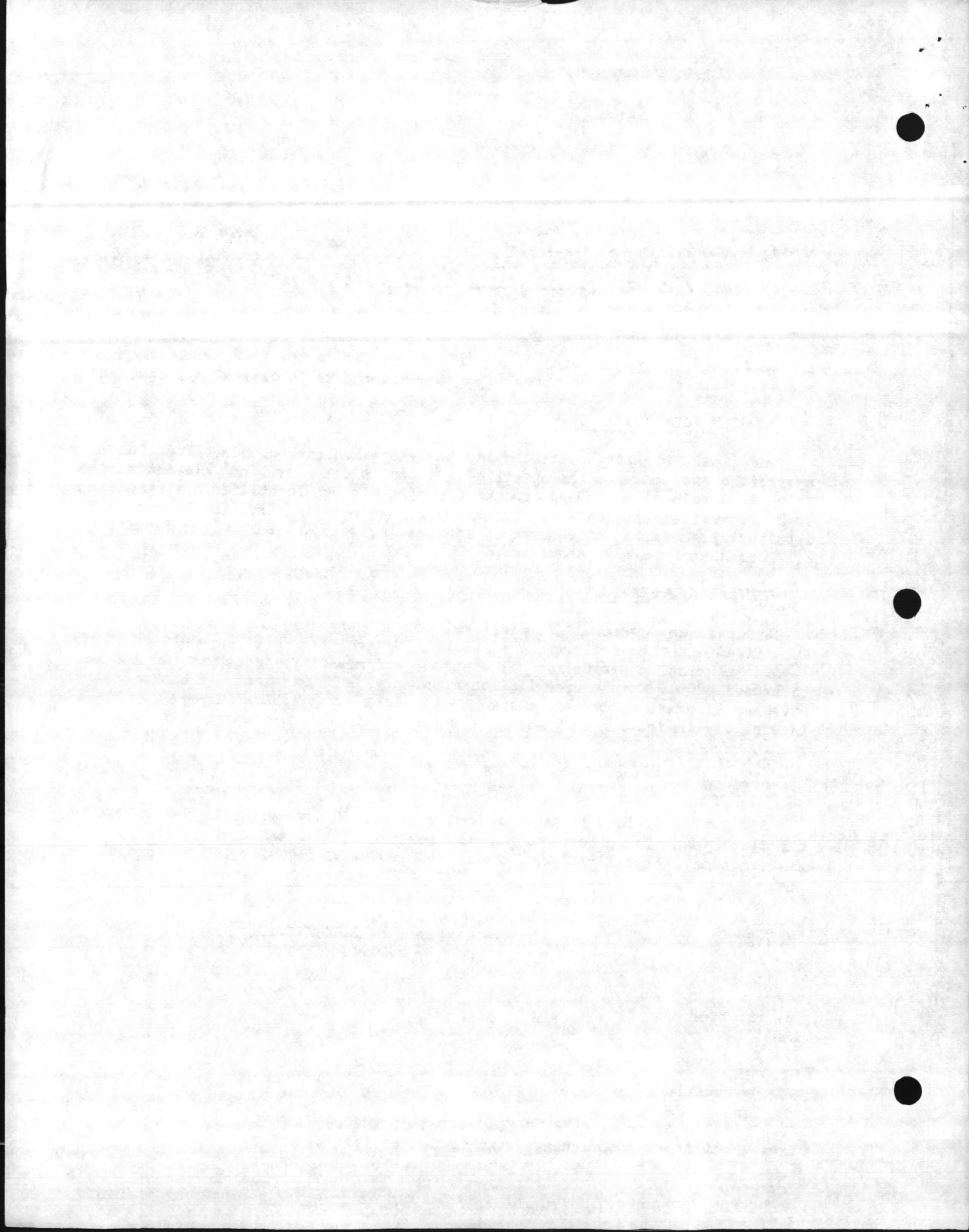
PMR Team (Code 0212)

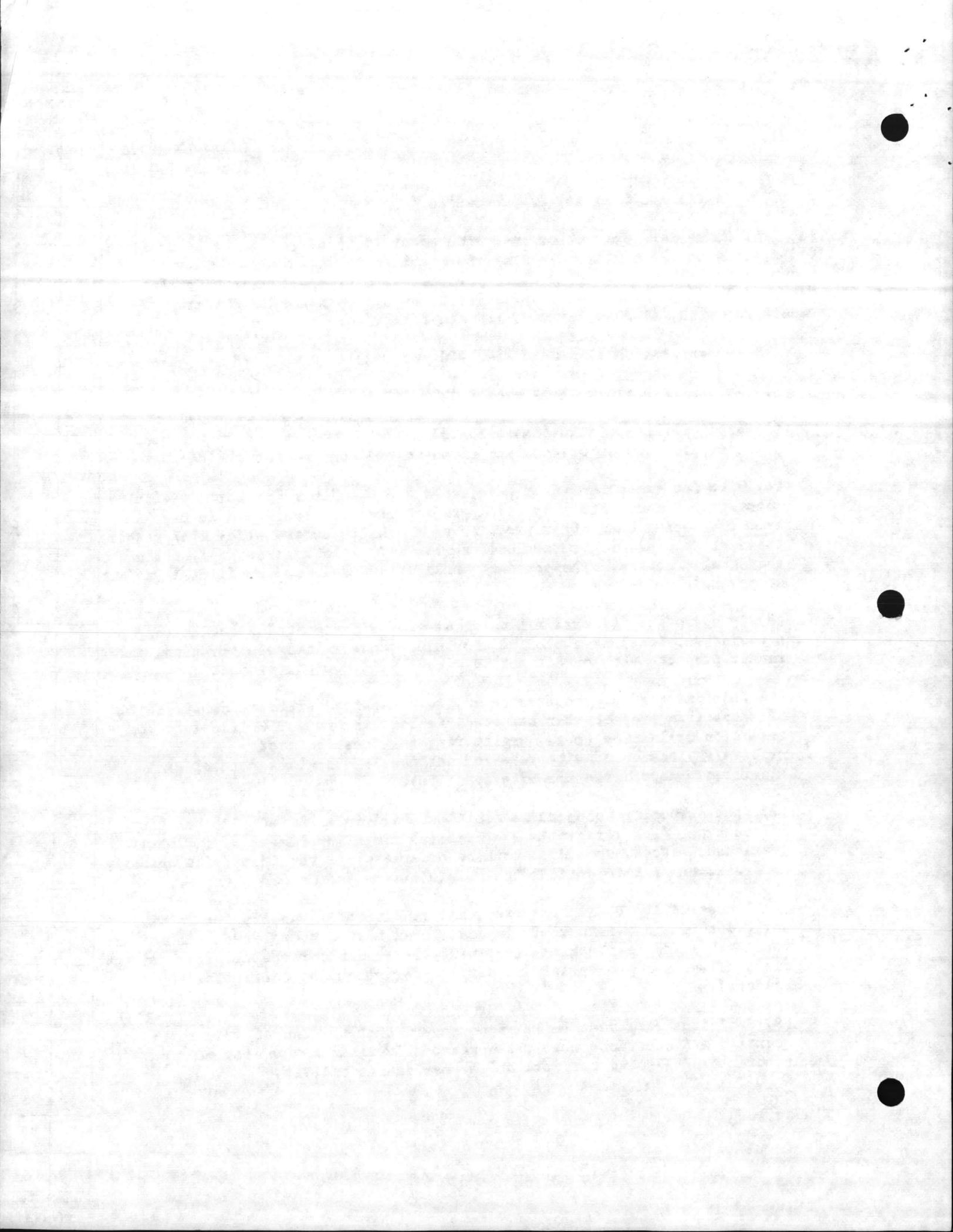
CG, Civil Engineering Corps Officers School (CECOS)

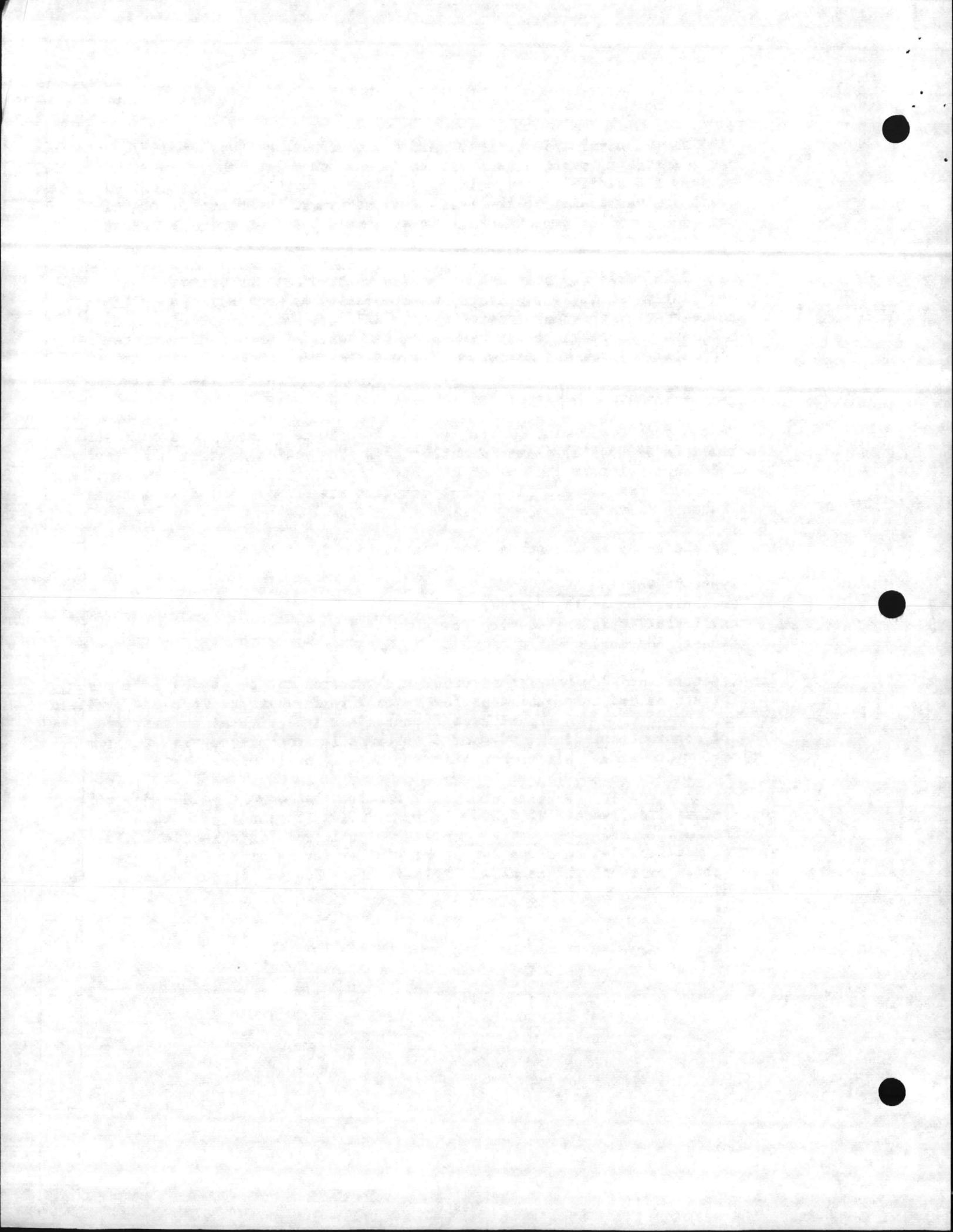
Naval Facilities Contracting Training Center (NFCTC)

bcc:

02/02S/021/021A/021B/021C/021D/0211/0211A/022/023/023A/023D/0231/0231B/0231C









DEPARTMENT OF THE NAVY

NAVAL FACILITIES ENGINEERING COMMAND

200 STOVALL STREET

ALEXANDRIA, VA 22332-2300

5404A/022B/ca
13 May 1987

From: Commander, Naval Facilities Engineering Command

Subj: ADVANCE CHANGE TO NAVFAC P-68

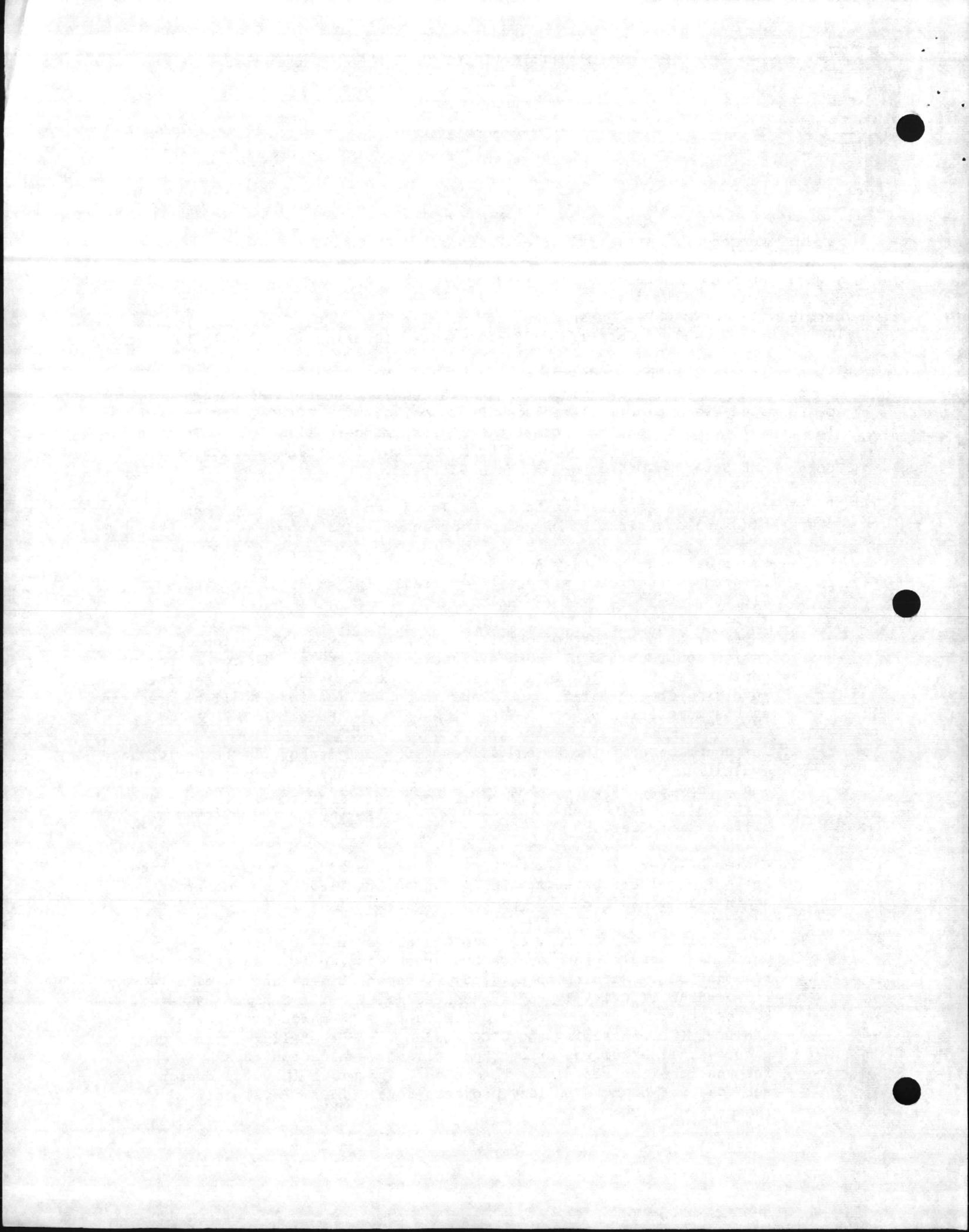
Encl: (1) NAVFAC P-68 Change No. 15
(2) Standard Form 1421, "Performance Evaluation (Architect-Engineer)"

1. Enclosure (1) is an advance copy of Change No.15 to NAVFAC P-68. This change provides new guidance for Architect-Engineer (A-E) contractor performance evaluation. It replaces P-68, paragraph 6-206.2. Enclosure (2) is a sample copy of the FAR form for A-E performance evaluations. Additional copies of the forms may be obtained from the Superintendent of Documents, Government Printing Office, Washington DC 20402.

2. Your attention is directed to the following major changes in the preparation and distribution of A-E performance evaluations:

- a. For indefinite quantity A-E contracts, a performance evaluations shall be prepared for each project (i.e. single increment of work) over \$10,000.
- b. A performance evaluation shall be prepared at the completion of the design contract and a second evaluation prepared at the completion of construction. Evaluations of studies or other engineering services not involving the preparation of plans and specifications shall be prepared at the completion of the A-E services.
- c. The contract administration office of the originator of the performance evaluation shall forward a copy to the originator's EFD (attention 02) and a copy to NAVFACENGCOMHQ (attention 022B). A copy of each performance evaluation shall also be distributed to each of the military services.
- d. Copies of overall satisfactory performance evaluation may be sent to the A-E firms evaluated at the option of the head of the contract administration office.
- e. EFDs shall forward a copy of each overall excellent and poor performance evaluation to each EFD whose geographic area of responsibility adjoins their area of responsibility and to each PWC and independent OICC likely to have contact with the A-E firm evaluated. For example: SOUTHDIV should distribute performance evaluations to LANTDIV, PWC Pensacola, and OICC Trident. EFDs shall forward a copy of each overall excellent or poor performance evaluation of an international or very large firm and for firms who provide design services for high technology projects to all EFDs, PWCs, and independent OICCs.

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Subj: ADVANCE CHANGE TO NAVFAC P-68

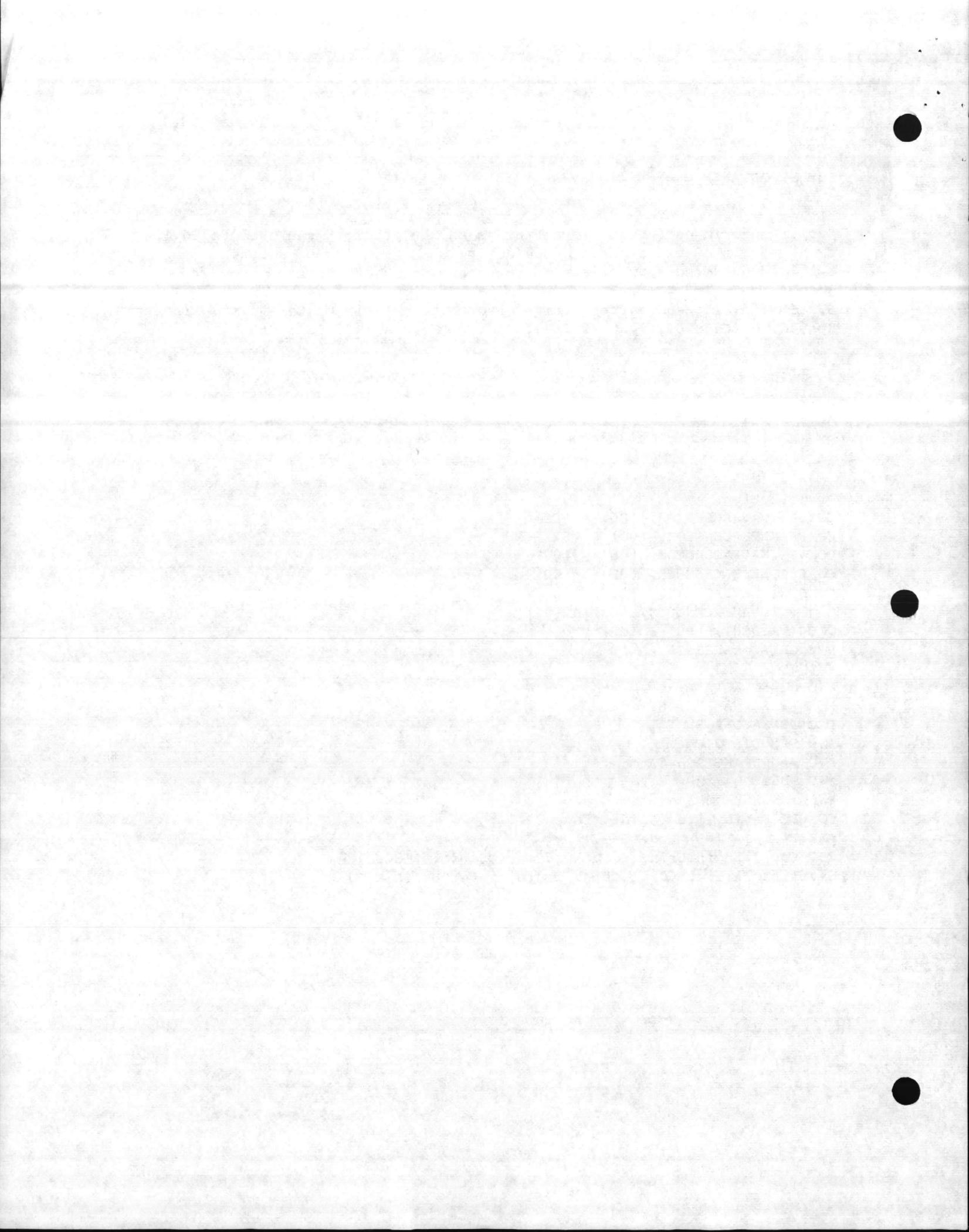
f. Interim performance evaluations may be prepared and used to advise A-E's of their performance during the execution of a contract as considered appropriate by the contracting officer.

3. The NAVFAC Headquarters point of contact on this matter is Mr. Vincent M. Spaulding (Code 022B) at AV221-7654 or commercial (202)325-7654.


W. C. TIMPERLEY
By direction

Distribution:

COMLANTNAVFACENGCOM, (00) & (02)
COMPACNAVFACENGCOM, (00) & (02)
COMWESTNAVFACENGCOM, (00) & (02)
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CO NORTHNAVFACENGCOM, (00), (02)
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OICC TRIDENT, (00) & (02)
PWC GREAT LAKES IL
PWC GQ
PWC NORFOLK VA
PWC PEARL HARBOR, HI
PWC PENSACOLA FL
PWC SAN DIEGO CA
PWC SAN FRANCISCO CA
PWC SUBIC BAY RP
PWC YOKOSUKA JA
CO CBC Davisville (ATTN: Code 021E)
PMR Team (ATTN: Code 0212)
CO, Civil Engineering Corps Officers School (CECOS)
Naval facilities Contracting Training Center (NFCTC)



(b) Distribution of Performance Reports. The original of the performance evaluation report for every contract will be retained by the OICC for a minimum of six years after date of the report. In addition, the OICC will forward a copy of the following reports:

- (1) reports with an overall unsatisfactory evaluation,
- (2) reports which cite outstanding performance, and
- (3) reports for all contracts in excess of \$200,000, to the:

Office of the Chief of Engineers,
Attn: DAEN-PR
Pulaski Building
Washington, D.C. 20314

This office is responsible for establishing procedures and practices which will assure appropriate distribution and utilization of performance evaluation data within the Departments.

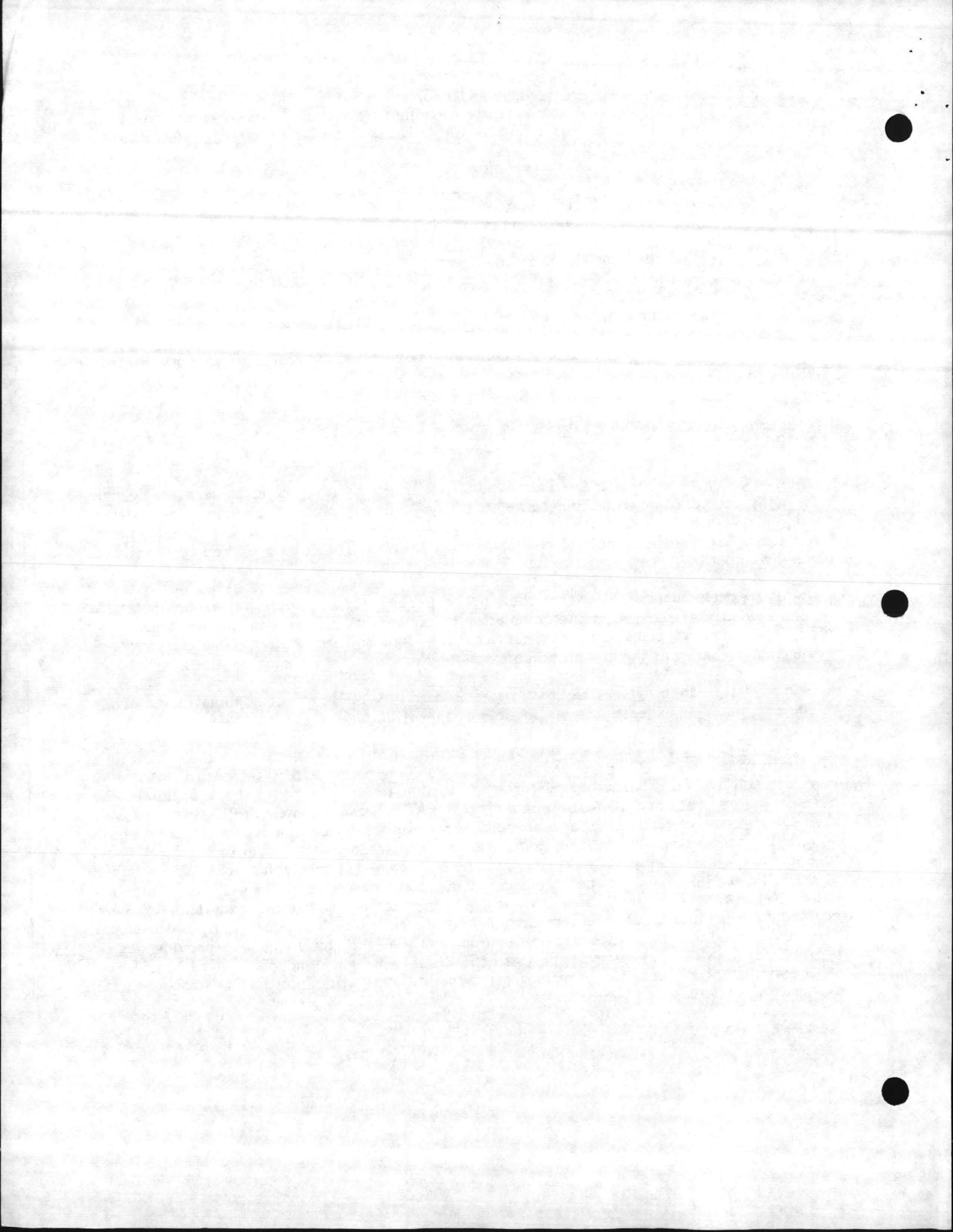
6-206.2 A-E CONTRACTORS, PERFORMANCE EVALUATIONS. (FAR and DFAR 36.604)

(a) For each A-E contract over \$10,000 awarded for a specific project or a single increment of work under an indefinite quantity A-E contract, performance evaluations shall be prepared as specified herein utilizing Standard Form 1421, "Performance Evaluation (Architect-Engineer)". Performance evaluations may be prepared for contracts of lesser amounts.

(b) A performance evaluation shall be prepared at the completion of design and a second evaluation prepared at the completion of construction. A-E contracts not involving the preparation of plans and specifications for construction shall have a performance evaluation prepared at the completion of the study or other engineering-services.

(c) Performance evaluations shall be distributed by the contract administration office of the originator as expeditiously as possible as specified below.

(1) Within Navy: Forward a copy of each performance evaluation to the originator's EFD (attention 02) and a copy to NAVFACENCOM headquarters (attention 022B). A copy of each overall satisfactory performance evaluation may be sent, at the option of the head of the contract administration office, to the A-E firm evaluated. EFDs shall forward a copy of each overall excellent or poor performance evaluation to each EFD whose geographic area of responsibility adjoins their area of responsibility and to each PWC and independent OICC likely to have contact with the A-E firm evaluated. For example: SOUTHDIR should distribute performance evaluations to LANTDIR, PWC Pensacola and OICC Trident. EFDs shall also forward a copy of each, overall excellent or poor performance evaluation of an international or large firm capable of providing professional services throughout the United States and/or overseas and for firms who provide design services for high technology projects, to all the EFDs, PWCs and independent OICCs. EFDs shall establish procedures for furnishing performance evaluation information to subordinate contracting offices.



(2) To the Army Corps of Engineers: Forward a single copy to the address below. It will be entered into their computer data base and will be considered world-wide by all Corps agencies and other users.

Commander, US Army Engineer Division
North Pacific
Attn. NPTSU
P.O. Box 2870
Portland, Oregon 97208-2870

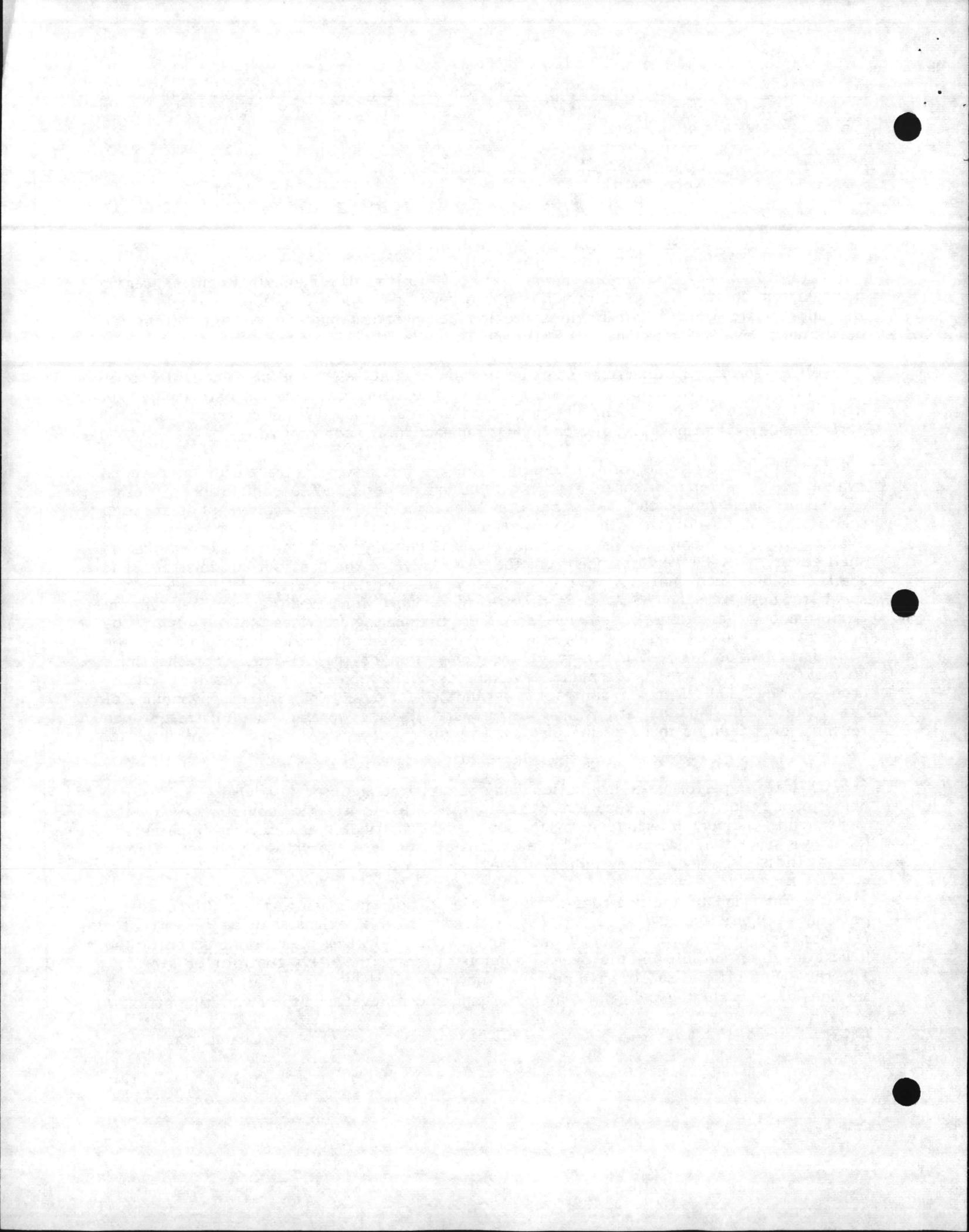
(3) To the Air Force: Forward a copy to the USAF Civil Engineer region headquarters for the Air Force region of the originator of the evaluation. The address of the appropriate USAF Civil Engineer region headquarters may be obtained from the performance evaluation originator's EFD code 02.

(d) Performance evaluations shall be used in making selections of A-E contractors. A-E Performance evaluations shall be filed with the firm's qualification data (DD 254s), kept in a separate filing system, or maintained on an automated filing system. Copies of performance evaluations must also be included in each design contract file.

(e) Those responsible for the administration of the design contract shall prepare an evaluation of A-E performance at the completion of design. The completion of design evaluation shall cover the A-E's performance through the preparation of plans and specifications. The construction contract administration office shall prepare a second evaluation at the completion of construction. The completion of construction evaluation shall cover the A-E's performance from the perspective of the contract administrator and shall consider such matters as the useability and constructability of the plans and specifications and the A-E's performance of support functions during construction. Performance evaluations of studies or other engineering services not involving the preparation of plans and specifications shall be prepared by those responsible for the administration of the A-E contract at the completion of the services. For indefinite quantity A-E contracts, performance evaluations shall be prepared for each individual order over \$10,000. If an A-E contract is terminated for default or for the convenience of the Government, an evaluation shall be prepared by the contract administrator upon termination. Each of these evaluations shall be distributed as described in paragraph (c) above.

(f) Interim performance evaluations may be prepared and used to advise A-Es of their performance during the execution of a contract as considered appropriate by the Contracting Officer. Interim evaluations shall not be distributed as described in paragraph (c) above since they are not "final" evaluations of completed services or phases of work such as those discussed in paragraph (e) above.

(g) The head of the contract administration office shall assure that fully qualified personnel prepare and review performance evaluations. Evaluations shall be reviewed for fairness, completeness, consistency and clarity. The evaluating official should be at the lowest level responsible for the overall administration of the A-E's contract or services. The reviewing official should have personal knowledge of the A-E's overall performance of services being evaluated and be at a higher organizational level than the evaluating official.



This does not preclude the reviewer being in the same contract administration office as the evaluator. In fact, it will normally be difficult for the reviewer to have personal knowledge of the A-E performance and not be in the same office as the evaluator.

(h) Do not reselect (or exercise indefinite quantity A-E contract options of) A-E firms with prior poor performance unless they have upgraded their ability to do quality work. For all overall poor ratings, a copy of the performance evaluation must be forwarded by letter to the A-E by the contract administration office of the originator of the evaluation. The A-E should be invited to meet with appropriate personnel to discuss the rating. The remarks section of the form should provide an explanation of why the A-E was rated poor, and should include, if applicable, comments on the performance of consultants employed by the A-E. The performance evaluation should not be signed by the reviewing official until after the meeting with the A-E has either taken place or has been refused by the A-E. The A-E's response to the assessment should be taken into account when determining the A-E's final rating. If the final overall evaluation is still poor, the A-E's position shall be attached to the approved evaluation in the form of a memorandum or the A-E's letter of response if one is provided. If the A-E alleges mistakes of fact, such allegations shall be responded to in writing and a copy of the response appended to the report. After reviewing official approval, the performance evaluation and any written comments by the A-E will be distributed as previously indicated.

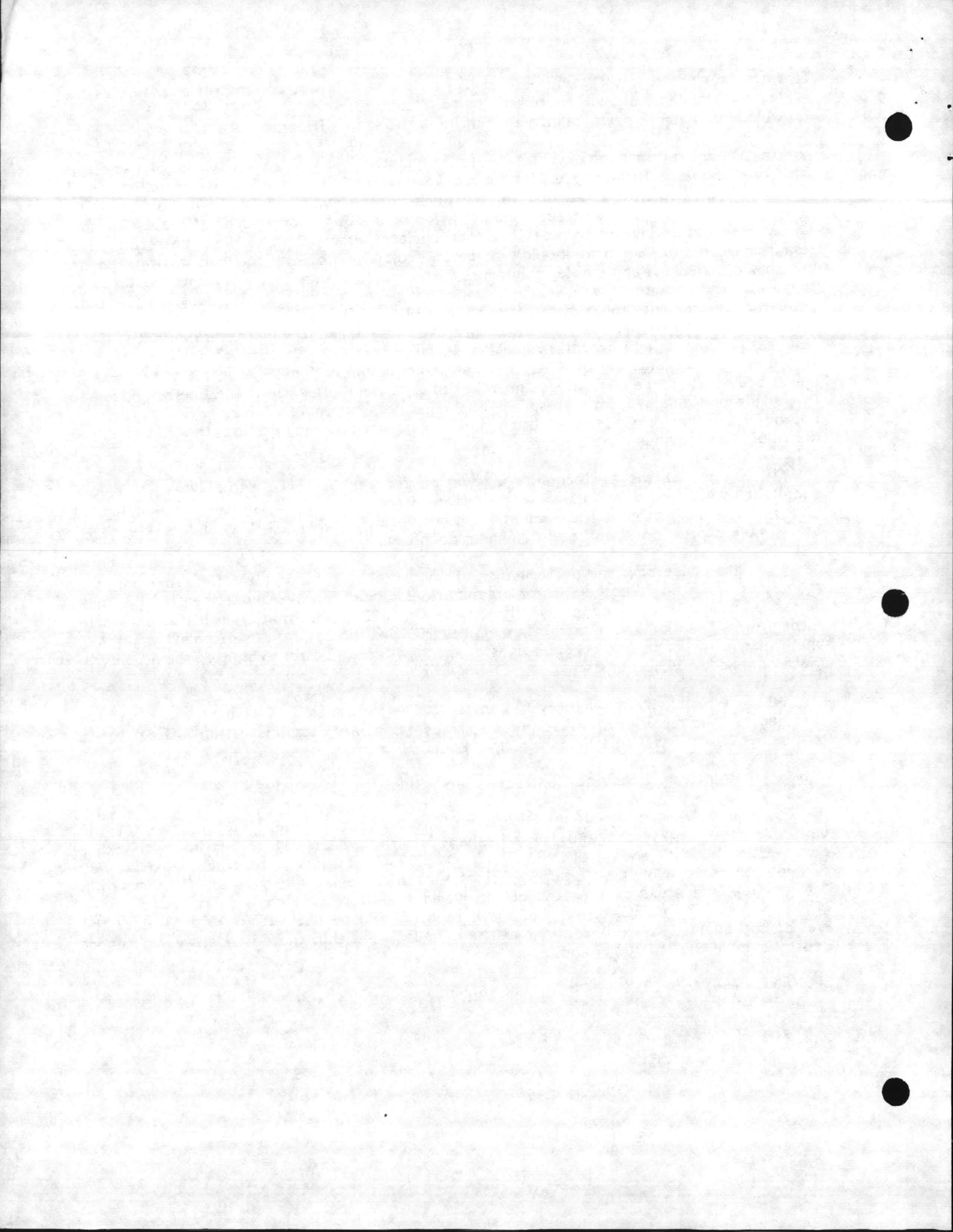
(i) A copy of the performance evaluation for each A-E firm receiving an overall excellent rating should be forwarded by letter to the A-E by the contract administration office of the originator of the evaluation. For overall excellent ratings, the letter should be a simple expression of appreciation and recognition.

(j) Data concerning the performance of an A-E contractor is for official use only and should not be disclosed to persons or organizations outside of the Department of Defense, unless specifically approved by NAVFACENGCOM 022B. Information released should be through the head of the contracting office (HCO). Disclosure of information on A-E performance to persons or organizations other than the A-E firm evaluated should only be made on a need to know basis.

(k) The original of each A-E contractor performance evaluation report will be retained in the appropriate Architect-Engineer contract administration office for a minimum of six years after the date of the report.

6-206.3 Maintenance Service Contracts. See 9-304.

6-207 A-E AWARDS. (36.604) OICC's within each region (see FAR 36.604(a) of the United States less Alaska and Hawaii, shall furnish a quarterly report to each other construction activity and to NAVFACENGCOM (023C) of all A-E contracts over \$25,000 (except contracts involving classified projects) awarded during the quarter. OICC's within the geographical areas of the rest of the world shall furnish such a quarterly report to NAVFACENGCOM (023C) only. The above reports shall be due within 15 days after the end of the quarter concerned and shall be cumulative within the calendar year. Report control symbol DD-M.(Q) 559 applies.



6-208 RESERVED

6-209 IMPROPER CONDUCT, SUSPENSION AND DISBARMENT. When a contractor's actions have been such as they may warrant the contractor's suspension or disbarment from future Government contracts, a report shall be prepared and

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6-210 CLAIMS. (33.001)

6-210.1 Definition. The term "claim" for the purpose of this paragraph means a request for a contract price adjustment based on the action or inaction of the Government which allegedly resulted in the contractor incurring additional costs in the accomplishment of the work covered under the terms of the contract. It does not include formal change orders where the Government acknowledges it is requesting or directing the contractor to perform work in addition to that required under the terms of the contract. See Appendix D-6, D-7, D-8.

6-210.2 Individual Claim Report. - (Individual Contractor Information on Claims \$1,000,000 and Over) Within two days after receipt of a claim having a value of \$1,000,000 or more, the OICC shall forward to NAVFACENCOM a report including the following information:

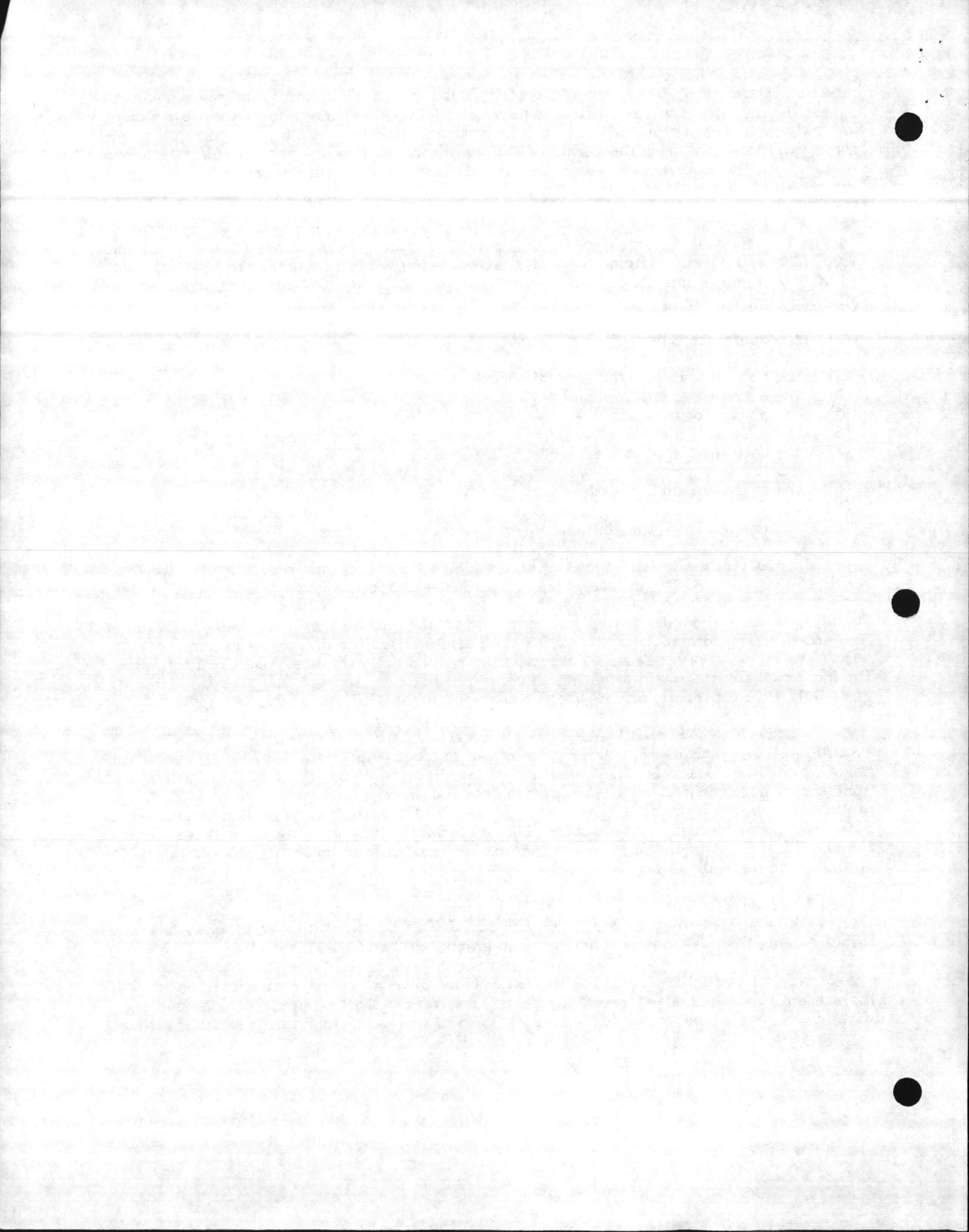
- (1) the contractor's name
- (2) the contract number
- (3) the contract price at the time of award
- (4) the current contract price
- (5) the amount of the claim
- (6) the amount of the claim including change orders and modifications
- (7) the date the claim was received
- (8) a brief description of the work to be performed under the contract
- (9) the basis and validity of the claim
- (10) the current status: i.e., if applicable include: ASBCA number; the date and the amount for which the claim has been settled.

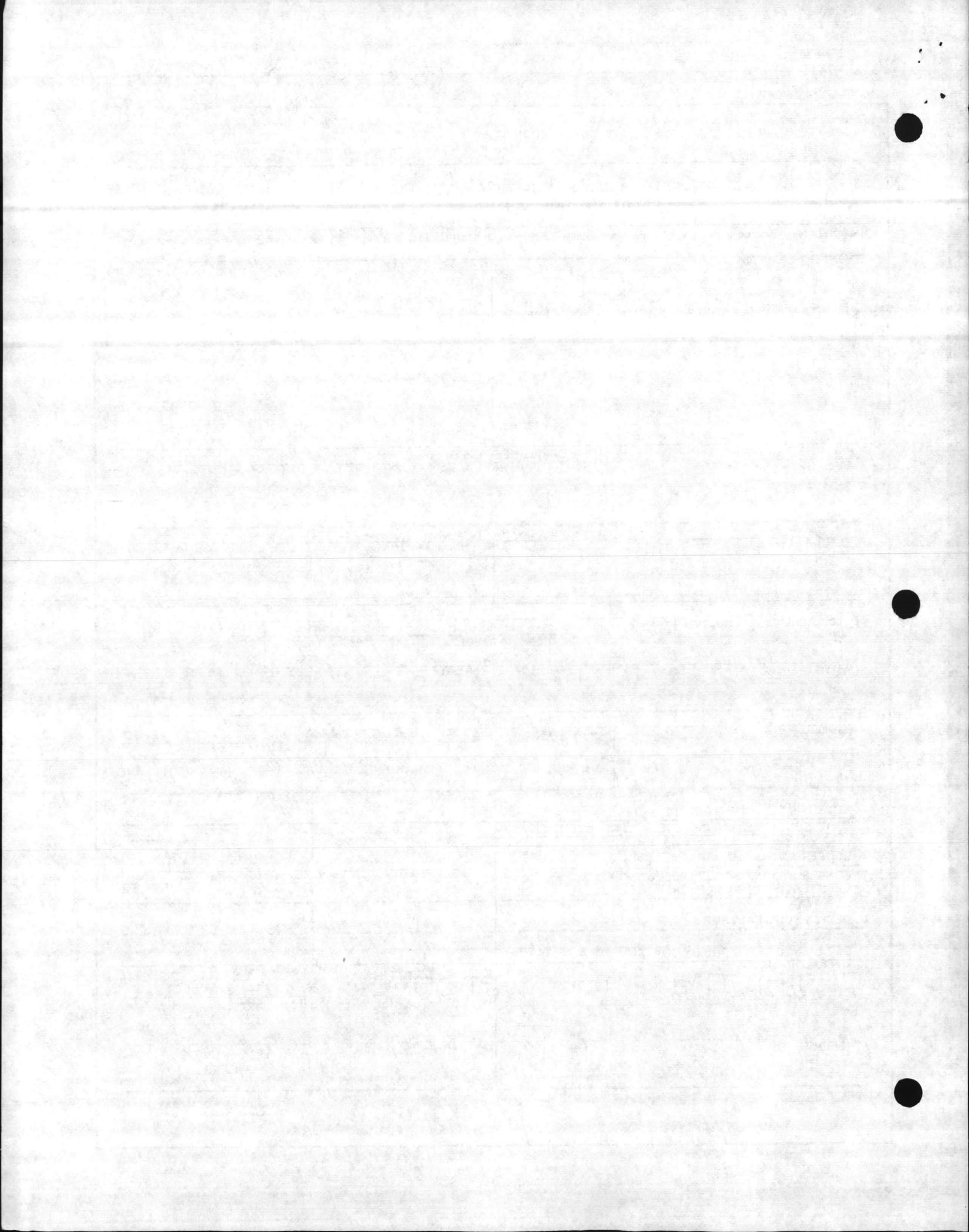
6-210.3 Quarterly Claims Report. EFDs shall prepare a claims report and forward to reach NAVFACENCOM no later than the 15th day after the end of each quarter. For each claim that has been held by the EFD or one of its subordinate activities for more than 90 days, include the information concerning why the matter has not been resolved or forwarded. The format listed in 6-210.2 shall also be used for this reporting requirement. Also to be included with this status report is the million dollar claims (Use the information for Individual Contractor Information as contained in paragraph 6-210.2. See NAVFAC Itr of 14 July 1982 for report format) Report control symbol DD-DR&E(AR) 1449 applies.

6-211 REPORT OF INDIVIDUAL CONTRACT PROFIT (INDIVIDUAL CONTRACT PROFIT PLAN, DD 1499) (DFARS, Part 4, Subpart 4.6, Para 4.673) A report of negotiations in excess of \$500,000 shall be prepared by the EFDs for each negotiation of a contractual agreement involving a separate cost and profit that together total \$500,000 or more. This report provides a basis for analyzing profit patterns and weighted guidelines objectives on defense contracts. These forms shall be forwarded to reach NAVFACENCOM by the 3rd of each month. Report control symbol RCSDDR&E(M)1215 applies. See Appendix D-14.

6-212 MULTI-YEAR REPORTS (17.1) This report shall be prepared in accordance with FAR 1-322 and forwarded to reach NAVFACENCOM by the 10th day of each quarter. Requirements for this report are listed in paragraph 2-208 and 4-802.

6-213 COST ACCOUNTING STANDARDS (30.403) An annual statistical report will include information on all affected contracts. This report shall be prepared in accordance with FAR 30.403 and forwarded to reach NAVFACENCOM annually by the 10th of February.





STAGES OF SERVICES <i>(As applicable)</i>				PERFORMANCE								RATED BY	
				NOT APPLICABLE	RATING FACTORS/RATINGS							CODE LEGEND:	
ACCURACY	COMPLETENESS	COOPERATION	COORDINATION		MANAGEMENT	MEETING SCHEDULE	PERSONNEL ABILITY	WORK QUALITY	+	EXCELLENT	A	AVERAGE	
											P	POOR	
											N/A	NOT APPLICABLE	
											NI	NO INFORMATION	
											SIGNATURE AND DATE		
CONCEPTS	SCHEDULE <i>(Mo., day, yr.)</i>	FROM	TO	ARCH.									
				STRU.									
	ACTUAL <i>(Mo., day, yr.)</i>	FROM	TO	MECH.									
				ELEC.									
TENTATIVES	SCHEDULE <i>(Mo., day, yr.)</i>	FROM	TO	ARCH.									
				STRU.									
	ACTUAL <i>(Mo., day, yr.)</i>	FROM	TO	MECH.									
				ELEC.									
WORKING DRAWINGS	SCHEDULE <i>(Mo., day, yr.)</i>	FROM	TO	ARCH.									
				STRU.									
	ACTUAL <i>(Mo., day, yr.)</i>	FROM	TO	MECH.									
				ELEC.									
ESTIMATES				A/S									
				M/E									
CRITICAL PATH METHOD				PRE-AWARD									
				POST-AWARD									
POST CONSTRUCTION CONTRACT SERVICES				SHOP DWGS.									
				MANUALS									
INSPECTION				FIELD									
				OFFICE									
SOLICITATION DOCUMENTS													
REMARKS													

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