

PBEEEP
State Government

Program Guidance Manual

Section 2

PBEEEP Project Guide

State of Minnesota, Department of Administration

Real Estate and Construction Services

St. Paul, MN

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1.0 Overview

Providers performing work within PBEEEP are required to follow the Program guidelines. This portion of the PBEEEP Guidance Manual, in conjunction with the Program overview provided in Volume 1 of the Guidance Manual, is a Provider Guide to working within PBEEEP.

2.0 Provider Roles and Responsibilities

2.1 Ideal Qualifications

The following lists the Program's definition of ideal qualifications of provider project team members:

Strong understanding of systems:

- All components and functions of equipment and operations practices are considered as a system with interdependencies and interactions.

Focused on operation for a ReCommissioning/ RetroCommissioning (RCx) and Retrofit activities and experienced in design for retrofit:

- PBEEEP is both a RCx/RetroCx and Retrofit program, requiring Providers with extensive experience and talent in both areas of project focus.

Strong diagnostic and analysis capabilities:

- PBEEEP requires comprehensive data collection and detailed analysis. Providers must have the experience and fundamental knowledge of system and equipment operation to get at good data the right way to make accurate and well-supported conclusions.

Fluent in building automation systems:

- Due to the extensive data collection requirements, Providers must have aptitude and experience with building automation systems in order to utilize trending functionality.

Respect for operators and operating issues and ability to collaborate:

- In order to understand the building, the systems, the equipment, and the operations practices and to ensure that their recommendations are followed, Providers must be able to effectively communicate, collaborate, and work with the operations staff.

Ideal qualifications are defined in this context as those key characteristics, skills, and experience that will yield successful project work within the PBEEEP framework and achieve a positive project outcome for the Agency Owner site with improved efficiency and reduced operational costs.

2.2 Project Performance

The qualifications of Providers, as detailed in the section above, are vital to the success of project work within PBEEEP. These are therefore integrated into the PBEEEP framework and tracked via a Provider evaluation process that is outlined in the *Provider Performance Guidelines*. The *Provider Performance Guidelines* maps out the expectations and requirements of Provider performance. It provides detail on the evaluation process, covering some of the key factors considered in work performance. These factors are categorized into several focus areas that are evaluated including, communications, quality, calculations, qualifications, scope/schedule/budget performance, and safety. A rating system is in place then to score the performance throughout project work and at the end of the project. Based on performance, Providers will be categorized per the following ratings: exceptional, excellent, meets expectations, needs improvement, or pending disbarment. If a provider continues to perform at a low level or is unresponsive in engaging in an improvement plan when performance issues arise, the State/Owner Agency escalation process will be followed and enforced. Details on the rating system and escalation process are provided in the *Provider Performance Guidelines*, which are provided in Section 2.1.6 of the Guidance Manual.

Providers are required to conform to PBEEEP requirements to the level specified in the contractual agreement for the project. Project work must be completed per all applicable guidelines. These will be attached to each RFP with the expectation that scopes of work for projects will be drafted accordingly to account for specific PBEEEP related actions and deliverables.

2.3 PBEEEP Quality Management

As an integral part of the Program, Providers play a key role in the PBEEEP quality system. Quality management and control is built-into the Program through change control procedures and processes, document management processes and systems, and feedback loops. These are in place to control key areas and/or aspects of the Program where variation can come into play and impact project outcomes. Providers affect quality through their interactions within these systems and processes. Some of the key interface points are addressed in the following paragraphs.

Change Control

Change control for changes in documentation, project deliverables, or project processes/actions will follow the State and/or Owner Agency process, as defined contractually. The Program will also require regular communications with Providers (these may be achieved by combined Provider-Agency-Program meetings and communications, or done independently) for updates on scope/schedule, issues or actions tracking, and general progress updates. The details on frequency and format for these check-ins and updates, in addition to the formal reviews will be addressed in the project contract and at the start of the project. At the project phase kick-off meetings, program specific requirements, and roles and responsibilities of Providers will be addressed.

Document Management

Documents exchanges for reviews or for formal documentation requirements will utilize an electronic document management system. The system used for PBEEEP projects is a collaborative web-based system called WorkZone®. Providers will have individual secure log-in accounts on WorkZone. These accounts will be the primary document repository, review management system, and project document organization and tracking system. This is the location that will host, for example, the *Findings Workbook*, supporting data attachments, and other key project deliverables and communications. The site will function as the means for securely transferring controlled documents between the Provider project team and the Program. WorkZone® is set up securely to lock out sections such that Provider's workspaces will be private and accessible only by those on the project team with password access.

Project Management

In addition to project administration and management functions required by the Agency Owner Agency, the Program will also require project tracking for specific program related functions and actions that are not covered by Agency Owner requirements. Primarily, this will focus on tracking issues or on-going actions, communicating and arranging events such as meetings or upcoming reviews, and maintaining a project schedule, including status updates. The Provider WorkZone® account has a project tracking function that will be used for these project management functions in conjunction with other systems and processes. This will be addressed with Providers at the start of the project, specifically during PBEEEP project orientation and training.

Program Evaluation and Review

The final key quality interface point highlighted in this section is the evaluation system. Both the Provider and the Program will be evaluated. As previously discussed, the Program, in conjunction with the Agency Owner evaluation processes, will review and score Provider performance. Additionally, the Provider Agency owner) will have the opportunity to review the Program and provide input, comments, complaints, or suggestions. The evaluation system is designed to promote continuous improvement and consistency in the Program environment.

3.0 Program Roles and Interface Points

3.1 RFP and Contracting Processes

As detailed in Volume 1: Program Executive Summary, the PBEEEP project process consists of four phases. In general, each phase will be initiated with a competitive RFP bid cycle, work order contract between Owner and Provider, or an amendment to a standing contract between Owner and Provider (i.e. Screening Phase Provider's original contract is amended to include performance of the Investigation Phase). The RFP process will follow the standard State process for Agency Owner managed through the Department of Administration/RECS (ADMIN/RECS). If the project is on a non-ADMIN/RECS managed site, the process would follow the procurement and contracting processes for that Agency Owner. The majority of the Program role will be in supplying PBEEEP specific documentation and project management requirements as an exhibit to the standard documents.

The initial RFP process will cycle Providers by breaking them into RFP response groups. Providers in a response group will be notified in turn of a new project RFP. The responding Provider that is awarded the contract will begin work on that project. Those Providers in the RFP response group not awarded the contract will be cycled back into the unassigned Provider list and allowed another opportunity to bid on upcoming projects. The goal of this cyclical process is to provide Providers the opportunity to work on projects in PBEEEP; however, there is no guarantee that a Provider will be awarded a contract. It is anticipated, based on the existing standard process, that work quality and scope, as well as costs will be key components of a Providers score. Providers that do not propose a reasonable cost for project work or do not scope the work to the level required of PBEEEP, will not be awarded the project contract.

Alternatively, some Agency Owner may request a preferred or primary Provider for their projects. The Program will work with the Agency Owner to ensure this Provider is included in the RFP solicitation process. The process is carried out per standard ADMIN/RECS and/or State Agency guidelines.

RFP response scoring will be per existing standard ADMIN/RECS or State Agency process. As a Provider gains experience working projects in the program, the Provider firm will also be weighted using input from the Provider performance evaluation rating system.

Contracts will be arranged between the Provider and ADMIN/RECS or State Agency Owner. The Program may provide assistance, as requested by ADMIN/RECS or the State Agency Owner, in the process such as guidance or input on documentation preparation; however, the contract and contract negotiations are independent of the Program role. Standard ADMIN/RECS and/or State Agency procurement and contracting processes would in most cases apply.

3.2 Technical Review Process

A main point of interface with the program will be throughout the project process, specifically at the formal check-in points, the mid-point (50%) and final (100%) check-in reviews. These reviews are designed, in general, to focus on technical and investigative rigor, the accuracy and applicability of calculations and assumptions, and progress within the PBEEEP framework, primarily with focus on the correct application and understanding of the PBEEEP process. Calculation checks, for example, will look at if/how interactions were accounted for and how measure savings were calculated.

These reviews are a critical component of the PBEEEP as a quality assurance process. The Program acts as a neutral, technical advisor and reviewer in the process and ensures that the estimated savings can produce actual savings that will persist. Providers are ultimately responsible for the work they produce and savings promised but the Program provides an additional verification as an ‘Owner Representative’ for State Agencies. State Agency Owners will enter into binding financial agreements based on the data analysis and conclusions of Providers and therefore need a high level of certainty that savings will be realized. The review and analysis of the Provider’s work by the Program is part of the due diligence offered by PBEEEP .

3.3 Process and Technical Support

The third and final key of Provider/Program interface discussed in this overview is the Program’s role as a process and technical support and service provider to both the Provider and Agency Owner.

Throughout each program phase, the Program will provide orientation and training. This will cover the guidelines, the findings workbook, and any other project documents or processes required by PBEEEP. While the Program will not provide technical training on recommissioning/retrocommissioning and retrofit services, it will use the experience of CEE and results from other facilities in PBEEEP to suggest opportunities that might otherwise be overlooked and those that could be misdiagnosed. Additionally, throughout Provider work on the project, program engineers will be in contact regularly. These informal contacts will occur to assist the Provider with questions and/or touch base on project work and progress.

A Provider’s first PBEEEP project will require a learning curve and may represent a change from familiar/standard practices within their firms. The Program will be increasingly interactive throughout the progression of the first few projects to support the Provider. The success of PBEEEP projects is function of the Provider/Program relationship, and Program staff is vested in the project process and the success of the Provider. The Program is designed with an ‘open architecture’ such that Program staff are available throughout the entirety of the project, not only in the role of Program Administrators, but also working in a role as customer service providers to guide and assist Providers in the process.

4.0 Provider Participation

The State PBEEEP program was officially released in early August 2009 with the State Agency Overview webinar and the start of the application period. Providers must review the Provider Overview and Orientation to the program, available in a webinar format at www.pbееep.org, as a first step to participating in PBEEEP as a qualified Provider. Once a project is awarded, the Provider would then go through a detail phase orientation, as discussed earlier in this document. Continuation as a qualified PBEEEP Provider is a function of available projects, and most importantly, the successful performance of Providers.