



Public Buildings Enhanced Energy Efficiency Program

2.6 Provider Performance Guidelines

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1.0 Document Overview

Table 1: Terminology Definitions

Term	Definition
PBEEEP	Public Buildings Enhanced Energy Efficiency Program
State	State of Minnesota, Department of Administration (ADMIN/RECS)
Agency	State of Minnesota Agencies (project Agency)
Program	Public Buildings Enhanced Energy Efficiency Program Administrator (CEE)
Provider	Qualified contractors participating in PBEEEP
Stakeholder	Any organization/party with a vested interest in the program or component of the program
Disbarment	Removal from the State's Master Provider List for a term to be determined by State

The execution of the PBEEEP process and resulting success of projects completed in PBEEEP is a direct function of the level of effort, expertise, and internal project management processes of the Providers participating in the Program. The Program is designed to ensure standardization in project reporting, consistency in approach and project methodologies, and consistency in how information is tracked and communicated; therefore, it is required that Providers follow the PBEEEP Guidelines and processes in executing project work. The evaluation process will occur for each project and will be conducted by the Program, Agency, and State (if a project is managed by ADMIN/RECS).

1.1 Purpose

The purpose of this document is to provide notification to the Provider of program specific performance guidelines and evaluation criteria. The State's standard vendor rating process will also apply where applicable. The document serves as a supplement to the contract and provides additional clarification of Program requirements and expectations. All contractual agreements stand, and in the event of conflict, supersede the content of this document.

1.2 Objectives

The objectives of this document, Provider Performance Guidelines, are to inform Provider's participating in PBEEEP of the following performance related Program expectations:

- Requirements and expectations of Providers
- Provider performance evaluation process
- Escalation process

2.0 Program Provider Requirements

2.1 Requirements and Expectations Overview

In addition/supplement to the performance requirements and expectations defined in the standard contracts between Provider/State and Provider/ Owner Agency, the Program will evaluate Provider performance based on these guidelines. The following factors will be measured as factors of performance:

Conformance to all State, Local Government, and Federal regulations, laws, and codes
and

Conformance to PBEEEP process:

- a. Adherence to/utilization of Program Guidelines throughout all project work
 - PBEEEP Screening Guidelines
 - PBEEEP Findings Workbook
 - PBEEEP Investigation Guidelines
 - PBEEEP Implementation Guidelines
- b. Adherence to the Program’s global project management processes
 - Use of all applicable Program forms and processes (i.e. use of WorkZone® system)
 - Timely completion of formal and informal check-ins
- c. Completion of the Program Review Form prior to project close out date.

Excellence in Performance

The key attributes of excellence are provided in the list below. The evaluation may include other attributes however and is not limited to those items in this list.

- a. **Calculations:**
 - i. Level of effort, detail, consistency, and accuracy demonstrated in work
 - ii. Calculation worksheets are clear and contain sufficient explanatory material to be understood by project engineers.
 - iii. Minimal rework cycles with no repeated rework cycles throughout project
- b. **Communications:**
 - i. Communications are clear and have the appropriate level of detail for the stage of the project and the intended audience.
 - ii. Communications are timely, and in particular are delivered when promised, as described and agreed to in the kickoff meeting.
 - iii. Periodic updates are provided to the Program stating what has been accomplished in the past period and what is planned for the upcoming period. The period is defined in the RFP and/or agreed upon at the kickoff meeting.
 - iv. Reports meet the specifications described in the PBEEEP Guidelines, are delivered on schedule and are accepted as submitted (without rework).
- c. **General Performance**
 - i. Cooperation and flexibility in performing project work and ensuring PBEEEP requirements are met.
 - ii. Willingness to contribute feedback/suggestions

- d. Schedule:**
 - i. Covered by the State’s vendor evaluation process or Owner Agency’s vendor evaluation process. In addition, the Program will evaluate:
 - ii. Project is scheduled accurately and fully with no schedule change requests due to errors from poor assessment/research in planning or forecasting (exception to extenuating or special circumstance may apply)
 - iii. Progress reports and informal updates clearly indicate conformance to the schedule
- e. Budget:**
 - i. Covered by the State’s vendor evaluation process or Agency Owner’s vendor evaluation process. In addition, the Program will evaluate:
 - ii. Project is budgeted accurately and fully with no cost change requests due to errors from poor assessment/research in planning or forecasting (exception to extenuating or special circumstance may apply)
 - iii. Progress reports and informal updates clearly indicate conformance to the budget
- f. Scope:**
 - i. Covered by the State’s vendor evaluation process or Agency Owner’s vendor evaluation process. In addition, the Program will evaluate:
 - ii. Project is scoped accurately and fully with no scope change requests due to errors from poor assessment/research in planning or forecasting (exception to extenuating or special circumstance may apply)
 - iii. Progress reports clearly indicate conformance to the scope, and identify extent of progress on individual scope components, as appropriate.
- g. Quality:**
 - i. All work conforms to the specifications in the PBEEEP Guidelines
 - ii. Project execution is successful as measured by progress and completed product quality
 - iii. Work is executed to a high standard
- h. Qualifications:**
 - i. Response to proposals demonstrates knowledge and understanding of project scope
 - ii. Provider has proper equipment, tools, and skills to perform Program functions
 - iii. Provider has ability and expertise in performing project phase functions
 - iv. Provider has a demonstrated ability and history of performance in accommodating and adapting to change
 - v. Provider’s project team has the necessary capability and domain competency
 - vi. Adequate manpower is available and schedule planning is both realistic and responsive
 - vii. Ability to develop accurate and representative specifications and conform to specifications
- i. Safety** is covered by the State’s vendor evaluation process and/or the Agency’s vendor evaluation process

2.2 Rating System

The Rating Matrix (**Table 2**) describes the system used to grade a Provider's performance based on total points scored. The Rating System categorizes performance based on the total score for the Provider. The scoring is broken down into three sections,

- 1) Organization and Management,
- 2) Resourcing
- 3) Work Performance.

The third category, Work Performance, is completed for each of the 4 project phases (Screening, Investigation, Implementation, and Verification) that a Provider completes for a project.

The Program's expectations for Provider performance will be applied consistently using this standardized format, such that performance at the start of the project is weighted equally to performance throughout the project. The Program will, however, evaluate Providers additionally on level of experience within the Program. It is expected that the Program will lead to continuous improvement in conformance to specifications. For example, some 'curve grading' may occur in the scoring with adjustments based on a Provider's level of experience and previous scored performance in the Program. For example, a Provider performing at the same level as their first project in their third project will be graded not only on current project performance. Total performance scoring will also include a weighting based on level of experience, with the expectation that the Provider will have base knowledge and experience to perform at a higher level than the first project. This experience weighting and prior scoring history will also be used in the RFP scoring process.

Performance will be evaluated and tracked on a continuous basis throughout each project for the life of the PBEEEP Program. The forms that will be used to track and record performance are located in Annex A and Annex B. The rating descriptions for the Program evaluation are provided in **Table 2**. Provider performance evaluations will be compiled based on input from all project Stakeholders (State, Agency Owner, and Program). Depending on the project, there may be other evaluation forms and processes that will occur in parallel or addition to this evaluation, as noted in other sections of this document. Although the evaluation is cumulative and includes input from all stakeholders, a poor performance report from any of the stakeholders may weigh the final score to drive the outcome of the Provider's classification category. Independent input is not averaged on the whole from all stakeholders; instead, each stakeholder providing input is considered independently as well as on the whole. Providers must understand that it is in their best interest to strive for a high-rating with each stakeholder they interface with and in their performance in all aspects of project work.

Table 2: Rating Matrix

Classification	Points Definition	Score Range (%)
Exceptional	Consistently performs beyond expectations in providing exceptional work quality; minor to no rework required on deliverables and processes; timely and thorough communications; able to perform Program duties with minimal Program guidance and oversight	90-100
Excellent	Consistently performs in meeting Program expectations; compliance with Program requirements; minor and/or pre-approved deviations due to inadvertent error; minor rework in deliverables and/or processes; able to perform Program duties with minimal guidance and oversight from Program	80-89.9
Meets Expectations	Meets Program minimum requirements; low-medium level of effort required in rework on some deliverables and processes	70-79.9
Needs Improvement [Probation/ Under Review]	Consistently not meeting Program requirements and expectations; Rework is required on all or a significant portion of deliverables and processes; communications are inconsistent and/or infrequent and do not provide required detail	60-69.9
Pending Disbarment	Non compliance; uncooperative and/or unresponsive; consistently not meeting Program requirements and expectations	<59.9

2.3 Performance Evaluation

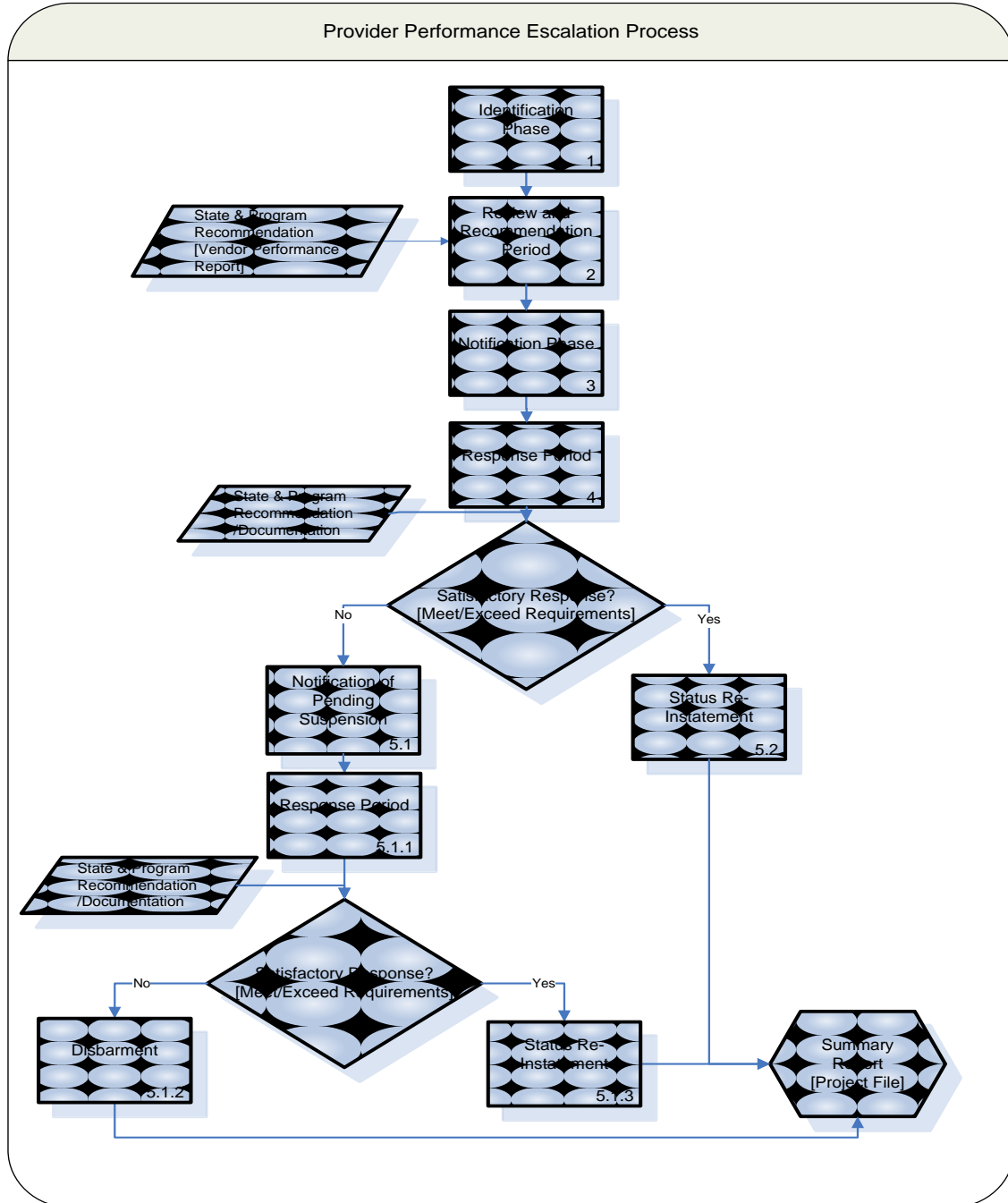
The *Provider Performance Evaluation Form* is provided in Appendix B. The form will be used to score performance throughout the project. Providers will have the opportunity to address any questions in regard to these performance metrics and scoring criteria during the RFP response period. Providers must be cognizant, however, that the contractual agreement between Provider/State and/or Agency Owner indicates understanding of this procedure and process and binds them to comply accordingly. Failure to comply may result in termination of contract and/or disbarment from participation in PBEEEP.

Providers will have the opportunity to provide feedback on this process throughout project work and formally in the *Program Review Form*. The *Program Review Form* is provided as a separate document.

2.4 Escalation Process

In conjunction with the Provider evaluation process, an escalation process is in place for excessive or repeated performance issues while participating in PBEEEP. The escalation process will follow the State’s standard contract administration process or the standard processes of the Agency Owner. An example of the flow-down of activities that may occur in the escalation process is provided in Figure 1. As performance issues are identified, a review and recommendation period would begin with State/Program/Agency Owner to review performance and provide input on recommended actions. Pending the outcome of the session, a Vendor Performance Report may be prepared. The Provider would be allowed a response period to correct the identified issue(s). In general, a status re-instatement would occur upon successful completion of corrective actions. However, this process is cycled in the event of non-compliance, leading up to disbarment from participation in PBEEEP.

Figure 1: Example Escalation Process Flow



APPENDIX A: PTC REPORT FORM



Report on Professional/Technical Contracts Over \$50,000

[Revision B | Release 9/10/09]


Minnesota Statutes Section 16C.08, subdivision 4 (c), requires the head of an agency submit a one-page report to the commissioner of Administration upon completion of a professional/technical services contract over \$50,000.00.

Instructions: Submit this form to Materials Management Division, 112 Administration Building, St. Paul, MN 55155, within 30 days of contract completion.

Agency:		
Contractor Name:		CFMS Contract Number:
Project Name (if applicable):	Project Number (if applicable):	Project Duration (Dates):
Summarize the purpose of the contract, including why it was necessary to enter into a contract:		

Billable Hours (if applicable):	Total Contract Amount:	Source of Funding:
<p>If this was a single source contract, explain why the agency determined there was only a single source for the services:</p> 		
<p>Evaluate the performance of the work including an appraisal of the contractor=s timeliness, quality, cost, and overall performance in meeting the terms and objectives of the contract:</p> 		
Agency Head Signature:	Title:	Date:

APPENDIX B: PROVIDER PERFORMANCE EVALUATION FORM

 <p style="font-size: 1.2em; font-weight: bold; margin-top: 10px;">State of MN – Provider Performance Evaluation</p> <p style="color: red; font-weight: bold; margin-top: 5px;">[Revision B Release 9/10/09]</p>		
Date of Evaluation:	Evaluator (Name/Organization/Title):	
Agency:	Contract Number:	
Project Name/No.:	Project Duration (s/s mo/yr):	Project Phase:
Provider:	Provider Contact Information:	
Rating (1-10)	Rating Criteria <i>[Note 'N/A' for sections not applicable]</i>	Additional Rating Information:
A. Organization and Management		Explain (as-needed):
	To what degree, overall, are Provider’s project management personnel available and responsive to Program inquiries and communications?	
	To what degree, overall, are the Provider’s management personnel competent and effective in scheduling work and organizing project operations, including punctuality, accuracy, and adherence to	

	contract?	
	Was the project team qualified and competent to execute the project work per contract?	
	Overall, did the Provider consistently meet the requirements of the Program, Agency Owner site, and contract and put forth excellence in all aspects of the project work?	
	To what degree, overall, does the Provider consistently and accurately furnish required documentation and reports in a timely, organized manner? This includes, but is not limited to, meeting minutes, , update communications, formal responses to Program processes (performance escalation process, etc.), invoicing, and Program forms (change forms, requests for information, requests for response)?	
	To what degree does the Provider organize and administer project meetings with the program and the client? Is the Provider responsive to requests for information and clarification from client and program? Is the Provider respectful and considerate of the Client and members of the general public?	
	To what degree does the Provider comply with all appropriate wage rates, labor laws and regulations, submit accurate certified payrolls, and promptly pay subcontractors?	
	To what degree does the Provider have good safety practices? Does the Provider follow their safety program and comply with site safety requirements, and OSHA as well as other regulatory agency requirements and best practices?	
	Did the Provider properly notify and coordinate work with all agencies and organizational stakeholders throughout the project (i.e. utility companies, local units of government, and sub-contractors working on adjacent/concurrent projects)?	
	Did the Provider manage subcontractor work effectively, including exercising authority and oversight, providing notices of work schedules, and verification of contract requirement compliance?	
/80	A. Sub-Section Score [Sum Individual Section Score] Exceptional: 90% 	

<p>Exceeds Expectations: 80-89.9% Meets Expectations: 70-79.9% Needs Improvement (Under Review): 60-69.9% Pending Disbarment) <59.9%</p>	
B. Resources	Explain (as-needed):
To what degree does the Provider have adequate and sufficient equipment to keep the project on schedule, on budget, and within scope in providing services? Does the equipment meet specifications and requirements laid out in the contract and by the Program?	
To what degree does the Provider have adequate and sufficient procedures/methodologies to keep the project on schedule, on budget, and within scope in providing services? Do the procedures/methodologies meet specifications and requirements laid out in the contract and by the Program?	
Did the Provider have sufficient cost planning and estimating?	
To what degree did the Provider adhere to the project schedule and provide notifications of schedule impactors in advance and throughout the process?	
Did the Provider create and distribute the revised schedule(s) promptly when schedule changes occurred? Was the new schedule accurate and complete?	
Was the project appropriately staffed and supported?	
/40	<p>B. Sub-Section Score [Applicable Section Scores]</p> <p>Exceptional: 90% Exceeds Expectations: 80-89.9% Meets Expectations: 70-79.9% Needs Improvement (Under Review): 60-69.9% Pending Disbarment) <59.9%</p>

C. Work Performance		Explain (as-needed):
C.1 Screening Phase		
	Rate the overall coordination, cooperation, and communication level during the Screening Phase	
	Did the Provider conduct a thorough and detailed screen of the site? Was sufficient effort made to fully complete the screening form and include all pertinent data?	
	Did the Provider follow the Program Guidelines and adhere to all contractual agreements?	
	Were communications (responses, updates, informal reports) and documentation associated with the screening phase provided in a timely manner? Was rework required (consider frequency, repeated rework cycles, items or deliverables requiring rework) due to omissions or errors by the Provider?	
/40	C.1 Sub-Section Score [Sum Individual Section Score] Exceptional: 90% Exceeds Expectations: 80-89.9% Meets Expectations: 70-79.9% Needs Improvement (Under Review): 60-69.9% Pending Disbarment) <59.9%	
C.2 Investigation Phase		
	Rate the overall coordination, cooperation, and communication level during the Investigation Phase	
	Did the Provider conduct a balanced, thorough, and detailed investigative energy study with a high-degree of quality and consistency?	
	Did the Provider identify measures for implementation that will provide cost and energy savings in accordance with the contract? Was a sufficient, independent investigation completed or did the investigation require significant Program support, repeated rework	

	cycles, and/or work quality issues?	
	Were there omissions or errors in the investigation directly due to Provider performance?	
	Did the Provider follow the Program Guidelines and adhere to all contractual agreements?	
	Did the Provider comply with and utilize Program documents and processes effectively and consistently?	
	During Investigation, were all requests for information, change orders/requests, and other global Program project management forms prepared, responded to, researched, evaluated, and promptly processed?	
	Was the Owner Agency satisfied with the investigation work?	
/80	C.2 Sub-Section Score [Sum Individual Section Score] Exceptional: 90% Exceeds Expectations: 80-89.9% Meets Expectations: 70-79.9% Needs Improvement (Under Review): 60-69.9% Pending Disbarment) <59.9%	
C.3 Implementation Phase		
	Rate the overall coordination, cooperation, and communication level during the Implementation Phase	
	During Implementation, were all requests for information, change orders, and other global Program project management forms prepared, responded to, researched, evaluated, and promptly processed?	
	Did the Provider accurately and consistently complete calculations for the Findings Workbook?	

	Did the Provider follow the Program Guidelines and adhere to all contractual agreements?	
	Were the investigation phase findings and calculations executable as proposed and verified in implementation? Were there issues with accuracy or approach based on inaccurate conclusions at Investigation?	
	Was the Agency Owner satisfied with the Implementation Phase?	
/60	C.3 Sub-Section Score [Sum Individual Section Score]	
	Exceptional: 90% Exceeds Expectations: 80-89.9% Meets Expectations: 70-79.9% Needs Improvement (Under Review): 60-69.9% Pending Disbarment) <59.9%	
C.4 Measurement and Verification		
	Rate the overall coordination, cooperation, and communication level during the Measurement and Verification Phase	
	Did the Provider follow the Program Guidelines and adhere to all contractual agreements?	
	How often and to what degree was re-engineering efforts required due to Provider error or omission?	
	Was the Agency Owner satisfied with the M&V effort and results?	
/40	C.4 Sub-Section Score [Sum Individual Section Score]	
	Exceptional: 90% Exceeds Expectations: 80-89.9% Meets Expectations: 70-79.9% Needs Improvement (Under Review): 60-69.9% 	

	Pending Disbarment) <59.9%	
C.5 Project Close Out		
	Did the Provider demonstrate timely and accurate close out documentation and activities with a high-degree of quality?	
	Did the Provider demonstrate timely, accurate, and high-quality response to and resolution of punchlist and other close out items?	
	Did the Provider demonstrate timely, accurate, and high-quality response to and resolution of all final warranty and claims items?	
	Did the Provider complete the Program Review Form?	
/40	C.5 Sub-Section Score [Sum Individual Section Score]	
/380 (or N/A adjusted)	Total Score [Sum Individual Scores & refer to Rating Matrix] Exceptional: 90% Exceeds Expectations: 80-89.9% Meets Expectations: 70-79.9% Needs Improvement (Under Review): 60-69.9% Pending Disbarment) <59.9%	
Scoring Notes:		

Additional Comments/Notes:	
Program Administration Project Manager (Print Name/Signature):	Date: (mm/dd/yyyy)
State Project Manager (Print Name/Signature):	Date: (mm/dd/yyyy)
Assistant Director - Project Operations (Print Name/Signature):	Date (mm/dd/yyyy)