



OCPD 8003.01
Effective Date: October 1, 2004
Expiration Date: Until Rescinded
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PROCUREMENT POLICY & PROCEDURE DIRECTIVE

SUBJECT: e-Val CONTRACTOR PERFORMANCE EVALUATION

ORIGINATING OFFICE: Business Operations Unit (BOU)

1. **PURPOSE**: The purpose of this policy directive is to establish and implement uniform procedures for the systematic evaluation and assessment of contractor performance by the Office of Contracting and Procurement (OCP) in cooperation with OCP customer agencies.
2. **AUTHORITY**: Section 202 of the District of Columbia Procurement Practices Act of 1985 (PPA) , effective February 21, 1986, as amended, (D.C. Law 6-85; D.C. Official Code §2-302.02).
3. **APPLICABILITY**: This policy directive shall apply to construction contracts and contracts for supplies and services (including architectural and engineering), when the value equals or exceeds one-hundred thousand dollars (\$100,000).

4. POLICY STATEMENT:

4.1 General Rule

The OCP shall operate and maintain e-Val, a computerized database of contractor performance evaluations designed to:

- 4.1.1 Make clear that a contractor's performance is one of the factors that should be considered by OCP contract personnel when considering awarding a contract;
- 4.1.2 Establish the criteria to be used by contract personnel to evaluate contractor performance under supplies and services contracts and construction contracts;
- 4.1.3 Establish a consistent contractor rating system;
- 4.1.4 Establish a mechanism for collecting contractor performance information electronically;

- 4.1.5 Monitor contractor compliance with contract requirements;
 - 4.1.6 Ensure that the District receives high quality supplies and services; and
 - 4.1.7 Maintain a history of contractor performance.
- 4.2 The e-Val database shall reside on the Intranet. Contractor performance information can be reviewed and reports generated by OCP contracting personnel using their SLA passwords at www.ocp.in.dc.gov, “Online Business Processing”, (e-Val OCP only). Agency program personnel may view all records that have been evaluated, minus the ratings which can be provided by OCP contracting personnel, as needed.
- 4.3 Information on the e-Val policy and evaluation instructions are available to the public on <http://www.ocp.dc.gov>.
- 4.4 The purpose of maintaining past performance evaluations of D.C. Contractors is to provide historical information to be used strictly in the decision process to award new D.C. contracts, or to exercise options on existing D.C. contracts. Rating information maintained on e-Val is not public information and shall not be released to anyone other than OCP personnel, program personnel (as needed) and to the affected contractor. This information is exempt from disclosure under Freedom of Information Act requests under D.C. Official Code § 2-534(a)(4).
- 4.5 **Definitions:**
- 4.5.1 **Days:** Calendar days
 - 4.5.2 **e-Val:** OCP’s electronic database that initiates evaluation notifications, collects and maintains performance evaluations on D.C. contractors for all contracts over \$100,000. Evaluations can be searched by completed evaluations, contract number, by NIGP code, by vendor, by date and by caption.
 - 4.5.3 **Form 4001 for Supplies And Services Contracts and 4001a for Construction Contracts:** The primary instruments for evaluating contractor performance contain two primary parts: 1) General information about the contract, the contractor and the evaluator and 2) Rating/comments.
 - 4.5.4 **Form 4001b, the Contractor Response Form:** The instrument that contractors may use to indicate their agreement or disagreement with their respective evaluations and to provide supporting narrative.

- 4.5.5 **e-Val Project Manager:** The program manager within OCP's Business Operations Unit that is responsible for the e-Val system.
- 4.5.6 **Evaluator:** The person who rates the contractor's performance and who in most situations should be the Contracting Officer's Technical Representative (COTR).
- 4.5.7 **Standard Contracting Officer's Letter:** The standard letter for contractor response which the Contracting Officer (CO) must download, sign, date, and forward to the BOU for each completed evaluation. BOU will forward the original letter along with the final evaluation and Contractor Response Form to the contractor.

5. THE SEQUENCED EVALUATION PROCESS

- 5.1 **e-Val** electronically generates a listing of contracts that are within 90 days of the contract expiration date; and sends the listing to BOU, the e-Val Project Manager and the CO simultaneously.
- 5.2 **The e-Val System Manager** sends an electronic notification and an evaluation Form 4001 or 4001a via e-mail to the CO indicating that a particular contract evaluation should be performed and due within 30 calendar days from the initial notification.
- 5.3 **The CO:**
 - 5.3.1 Receives via e-mail, the notification that a contract is due for evaluation and receives forms 4001 or 4001a. The CO reviews the first page of 4001 or 4001a, General Information and completes the evaluator information section. The CO submits the e-mail to the evaluator designated by the CO within five (5) days of notification from the e-Val system manager.
- 5.4 **The Evaluator:**
 - 5.4.1 Receives notification that a contract is due for evaluation via e-mail and completes Form 4001 or 4001a, rating the contractor's performance. Comments are mandatory and must be included for each rating factor. The ratings are to be tabulated electronically.
 - 5.4.2 Reviews and makes any modifications prior to returning the evaluation.

- 5.4.3 Downloads, signs and dates a hard copy of the evaluation for program files. (Electronic signatures are contemplated for the future).
- 5.4.4 Forwards the completed evaluation via e-mail to the Contracting Officer within twelve (12) days of receipt of the first notification to evaluate.

5.5 The CO:

- 5.5.1 Receives the completed evaluation from the Evaluator;
- 5.5.2 Reviews the evaluation and generates a consensus with the Evaluator
- 5.5.3 Finalizes the evaluation, inclusive of all comments
- 5.5.4 Forwards the completed evaluation via e-mail, to the e-Val Project Manager in BOU within five (5) days of receipt from the evaluator
- 5.5.5 Downloads, completes and signs a hard copy of the Standard Contracting Officer's Letter to the contractor and immediately forwards the original to the e-Val Project Manager in the BOU via United States Postal Service mail, or hand delivered to the receptionist at OCP Headquarters. Maintains a hard copy of the completed evaluation in the official contract file.

5.6 The e-Val Project Manager:

- 5.6.1 Sends a copy of the evaluation, the originally signed Standard Contracting Officer's Letter and the Contractor Response Form 4001b to the contractor within seven (7) days of receipt from the CO. The Contractor is requested to respond to the evaluation ratings and comments within 30 days.
- 5.6.2 Stores the completed evaluation in the e-Val system in a pending status file until a response is obtained.

5.7 The Contractor:

- 5.7.1 Responds or fails to respond via regular mail or e-mail within thirty (30) days of the date the evaluation documents are sent by BOU.

5.8 The e-Val Project Manager:

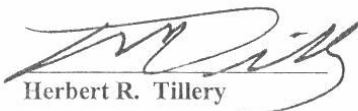
- 5.8.1 Upon receipt of the contractor's response:
- 5.8.1.1 Forwards a copy of the completed Contractor Response Form to the CO f or maintenance in the official contract file; and
 - 5.8.1.2 Stores the Contractor's Response Form 4001b in the e-Val system with the contractor's performance evaluation
- 5.8.2 Removes the evaluation from the pending status and stores it within e-Val with a notice of no response to the Contracting Officer if the contractor does not respond within 30 days.

6. APPENDICES

- Appendix A:** Form 4001 Contractor Performance Evaluation for Supplies and Services
- Appendix B:** Form 4001a Contractor Performance Evaluation for Construction
- Appendix C:** Form 4001b Contractor Response Form - Supplies and Services
- Appendix D:** Form 4001b Contractor Response Form - Construction

7. **AMENDS OR SUPERSEDES:** This policy directive supersedes OCPD 8003.00, effective September 14, 2000.
8. **EFFECTIVE DATE:** This policy directive shall become effective on October 1, 2004.
9. **EXPIRATION DATE:** This policy directive is effective until rescinded.

Herbert R. Tillery
Deputy Mayor for Operations and
Interim Chief Procurement Officer


Herbert R. Tillery

11/10/04
Date

OCPD 8003.01
Appendix A

Attached is the
OCP Form 4001– “Contractor Performance Evaluation for Supplies and Services”

Contractor Performance Evaluation Form 4001 General Information (Supplies & Services)

CONTRACT INFORMATION		
Agency Name:		
Agency Director/Contact Name:	Phone #:	Email :
Contracting Officer Name:	Phone #:	Email :
COTR Name:	Phone #:	Email :
Contract Specialist Name:	Phone #:	Email :
Fax #:		
Commodity Buying Group:		

	Item	Description
1.	Caption/Description:	
2.	Contract Type:	
3.	NIGP Code:	
4.	Solicitation Number:	
5.	Contract Number:	
6.	Contract Award Amount:	
7.	Contract Period:	
8.	Recurring Contract:	
9.	Multi-Year:	
10.	Contract Year:	
11.	Market type:	
12.	LSDBE:	
13.	Not for Profit:	
14.	Tax ID Number:	
15.	Business Name: (Awardee official Name)	
16.	Contractor Name:	
17.	Email Address:	
18.	Address:	
19.	City, State Zip Code:	
20.	Telephone Number:	
21.	Fax Number:	

EVALUATOR INFORMATION				
Person Completing Initial Evaluation:	<input type="text"/>	Title:	<input type="text"/>	
Address:	<input type="text"/>		City:	<input type="text"/>
State:	<input type="text"/>	Zip Code:	<input type="text"/>	
Telephone No.:(XXX-XXX-XXXX):	<input type="text"/>	Fax No.:(XXX-XXX-XXXX)	<input type="text"/>	
Email Address:	<input type="text" value="AJAY - ajay"/>		<input type="text"/>	
Evaluation Review Period:	Start Date:	<input type="text"/>	End Date:	<input type="text"/>

Contractor Performance Evaluation Form 4001 Rating (Supplies & Services)

Ratings: Assign each category a rating of 0 (Unsatisfactory), 1(Poor), 2 (Fair), 3 (Good), 4 (Excellent), 5(Outstanding), N/A (Not applicable). See Rating Schedule for guidance. Each rating must be accompanied by comments.

Rating Schedule	
(N/A)	"Not applicable" indicates that the rating factor does not apply.
(0)	"Unsatisfactory" indicates that the contractor did not meet contractual requirements. The performance involved major compliance problems for which the Contractor's corrective actions were ineffective.
(1)	"Poor" indicates that the contractor barely met the contractual requirements and the performance was marginal.
(2)	"Fair" indicates that the contractor met the contractual requirements. There were some minor problems for which successful corrective action was undertaken.
(3)	"Good" indicates that the contractor's performance was effective and even exceeded some of the contractual requirements with only minor problems identified overall.
(4)	"Excellent" indicates that the contractor was in compliance with all contractual requirements, and that minimal difficulties were met with full and complete implementation of corrective action where necessary.
(5)	"Outstanding" indicates that the contractor's performance exceeded all contractual requirements, and that no corrective actions were necessary.

CATEGORIES	
Quality	Timeliness
Cost Control	Management/Business Relations

QUALITY	
Adherence to the specific contract requirements or Scope of Work	<input type="checkbox"/> N/A <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input checked="" type="checkbox"/> 4 <input type="checkbox"/> 5

Comments:

Quality of Delivered item of final work product or service

N/A 0 1 2 3 4 5

Comments:

Technical performance and approach to the contract

N/A 0 1 2 3 4 5

Comments:

Accuracy, timeliness and completeness of documentation

N/A 0 1 2 3 4 5

Comments:

TIMELINESS

Adherence to interim and final delivery requirements and milestones

N/A 0 1 2 3 4 5

Comments:

COST CONTROL

Ability to perform or deliver at the original price or budget

N/A 0 1 2 3 4 5

Comments:

MANAGEMENT/BUSINESS RELATIONS

Reliability

N/A 0 1 2 3 4 5

Comments:

Effectiveness of service delivery and interaction

N/A 0 1 2 3 4 5

Comments:

Effectiveness of Project Management

N/A 0 1 2 3 4 5

Comments:

Overall customer satisfaction

N/A 0 1 2 3 4 5

Comments:

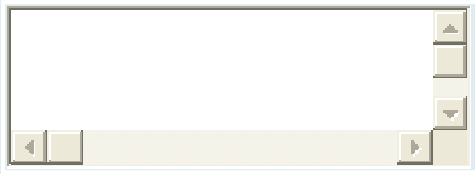
CONCLUSION

16. Total Points:

Evaluation Rating:

17. Did the evaluator consider input from the contracting officer, program personnel, end-users and others affected by the contract? Yes No

If no, provide explanation:



18. Person Completing Initial Evaluation:

Title: Date(mm/dd/yyyy):

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Appendix B**

*Attached is the
OCP Form 4001a– “Contractor Performance Evaluation for Construction”*

Contractor Performance Evaluation Form 4001a General Information (Construction)

	Item	Description
1.	Caption/Description:	
2.	Contract Type:	
3.	NIGP Code:	
4.	Solicitation Number:	
5.	Contract Number:	
6.	Contract Award Amount:	
7.	Contract Period:	
8.	Recurring Contract:	
9.	Multi-Year:	
10.	Contract Year:	
11.	Market type:	
12.	LSDBE:	
13.	Not for Profit:	
14.	Tax ID Number:	
15.	Business Name: (Awardee official Name)	
16.	Contractor Name:	
17.	Email Address:	
18.	Address:	
19.	City, State Zip Code:	
20.	Telephone Number:	
21.	Fax Number:	

Contractor Performance Evaluation Form 4001a Rating (Construction)

Ratings: Assign each category a rating of 0 (Unsatisfactory), 1 (Poor), 2 (Fair), 3 (Good), 4 (Excellent), 5 (Outstanding), N/A (Not applicable). See Rating Schedule for guidance. Each rating must be accompanied by comments.

Rating Schedule	
(N/A)	"Not applicable" indicates that the rating factor does not apply.
(0)	"Unsatisfactory" indicates that the contractor did not meet contractual requirements. The performance involved major compliance problems for which the Contractor's corrective actions were ineffective.
(1)	"Poor" indicates that the contractor barely met the contractual requirements and the performance was marginal.
(2)	"Fair" indicates that the contractor met the contractual requirements. There were some minor problems for which successful corrective action was undertaken.
(3)	"Good" indicates that the contractor's performance was effective and even exceeded some of the contractual requirements with only minor problems identified overall.
(4)	"Excellent" indicates that the contractor was in compliance with all contractual requirements, and that minimal difficulties were met with full and complete implementation of corrective action where necessary.
(5)	"Outstanding" indicates that the contractor's performance exceeded all contractual requirements, and that no corrective actions were necessary.

CATEGORIES	
Quality	Timeliness
Management/Business Relations	Compliance with Labor Standards
Compliance with Safety Standards	Cost Control

QUALITY	
Compliance with Specifications/Requirements	<input type="radio"/> N/A <input type="radio"/> 0 <input type="radio"/> 1 <input checked="" type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5

Comments:

Implementation of Approved Quality Assurance Plan	<input type="radio"/> N/A <input type="radio"/> 0 <input type="radio"/> 1 <input checked="" type="radio"/> 2 <input type="radio"/> 3 <input type="radio"/> 4 <input type="radio"/> 5
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Comments:

Adequacy of Materials

N/A 0 1 2 3 4 5

Comments:

Storage of Materials

N/A 0 1 2 3 4 5

Comments:

Quality of Workmanship

N/A 0 1 2 3 4 5

Comments:

Identification/Correction of Deficient Work

N/A 0 1 2 3 4 5

Comments:

Adequacy of Site Clean-up

N/A 0 1 2 3 4 5

Comments:

TIMELINESS

Adherence to Timelines of Approved Schedule

N/A 0 1 2 3 4 5

Comments:

Resolution of Delays

N/A 0 1 2 3 4 5

Comments:

Empty comment box with scrollbars.

Submission of Required Documentation

N/A 0 1 2 3 4 5

Comments:

Empty comment box with scrollbars.

Completion of Punch List Items

N/A 0 1 2 3 4 5

Comments:

Empty comment box with scrollbars.

MANAGEMENT/BUSINESS RELATIONS

Cooperation and Responsiveness

N/A 0 1 2 3 4 5

Comments:

Empty comment box with scrollbars.

Management of Resources / Personnel

N/A 0 1 2 3 4 5

Comments:

Empty comment box with scrollbars.

Coordination and Control of Subcontractors

N/A 0 1 2 3 4 5

Comments:

Empty comment box with scrollbars.

Adequacy of Work Force

N/A 0 1 2 3 4 5

Comments:

Control of Change Order Activity by Contractor

N/A 0 1 2 3 4 5

Comments:

Meeting LSDBE Subcontracting Requirements

N/A 0 1 2 3 4 5

Comments:

Overall Customer Satisfaction

N/A 0 1 2 3 4 5

Comments:

Delivery of Operations / Manufacturers Manuals

N/A 0 1 2 3 4 5

Comments:

Adherence to warranty requirements:

N/A 0 1 2 3 4 5

Comments:



COMPLIANCE WITH LABOR STANDARDS

Compliance with Labor Laws and Regulations N/A 0 1 2 3 4 5

Comments:

Complete and Timely Payrolls N/A 0 1 2 3 4 5

Comments:

Correction of Noted Deficiencies N/A 0 1 2 3 4 5

Comments:

COMPLIANCE WITH SAFETY STANDARDS

Adequacy of Safety Plan N/A 0 1 2 3 4 5

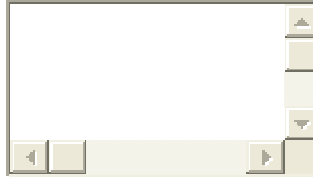
Comments:

Implementation of Safety Plan N/A 0 1 2 3 4 5

Comments:

Correction of Noted Deficiencies N/A 0 1 2 3 4 5

Comments:



COST CONTROL

Control of Cost

N/A 0 1 2 3 4 5

Comments:



Timely Billing

N/A 0 1 2 3 4 5

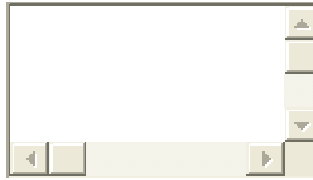
Comments:



Accurate Billing

N/A 0 1 2 3 4 5

Comments:



CONCLUSION

16. Total Points:

Evaluation Rating:

17. Did the evaluator consider input from the contracting officer, program personnel, end-users and others affected by the contract? Yes No

If no, provide explanation:

18. Person Completing Initial Evaluation:

Title: Date(mm/dd/yyyy):

*Attached is the
OCP Form 4001b – “Contractor Response Form for Supplies and Services”*

***OCP CONTRACTOR PERFORMANCE EVALUATION
CONTRACTOR RESPONSE – SUPPLIES/SERVICES***

You are being provided an opportunity to respond to the evaluation of your performance for Contract Number _____, titled “ _____.” Your response must be completed and submitted on this form within thirty calendar days of today’s date via e-mail to _____@ dc.gov. An e-mail version of this form will be sent to you upon request. If e-mail is not available, please contact the OCP Business Operations Unit on 202.724.5458 or 202.724.3676. The total extent of your comments should not exceed two, double spaced pages (8 ½ x 11); they will become part of your official contract file maintained by the Office of Contracting and Procurement.

Quality - Agree or Disagree with Ratings

Comments:

Timeliness - Agree or Disagree with Ratings

Comments:

Cost Control - Agree or Disagree with Ratings

Comments:

Management/Business Relations – Agree or Disagree with Ratings

Comments:

You may add other comments as necessary:

Thank you! Your response will be considered in assessing your overall performance.

OCP Form 4001b

*Attached is the
OCP Form 4001b – “Contractor Response Form for Construction”*

OCP CONTRACTOR PERFORMANCE EVALUATION
CONTRACTOR RESPONSE - CONSTRUCTION

You are being provided an opportunity to respond to the evaluation of your performance for Contract Number _____, titled “ _____.” Your response must be completed and submitted on this form within thirty calendar days of today’s date via e-mail to _____._____@ dc.gov. An e-mail version of this form will be sent to you upon request. If e-mail is not available, please contact the OCP Business Operations Unit on 202.724.5458 or 202.724.3676. The total extent of your comments should not exceed two, double spaced pages (8 ½ x 11); they will become part of your official contract file maintained by the Office of Contracting and Procurement.

**Quality – Agree or Disagree with Ratings:
Comments:**

**Timeliness - Agree or Disagree with Ratings:
Comments:**

**Management/Business Relations - Agree or Disagree with Ratings:
Comments:**

**Compliance with Labor Standards - Agree or Disagree with Ratings:
Comments:**

Contractor Response- Construction (continued)

**Compliance with Safety Standards - Agree or Disagree with Ratings:
Comments:**

**Cost Control - Agree or Disagree with Ratings:
Comments:**

You may add other comments as necessary:

Thank you! Your response will be considered in assessing your overall performance.