

ENGINEERING & CONSTRUCTION Bulletin

Issue No. 2007-02

17 October 2006

Type: Policy

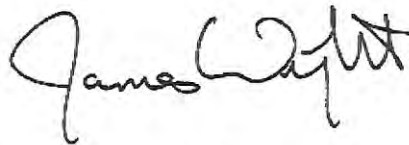
Subject: Prioritizing Construction QA using the Four Categories of Work

Reference: (a) ECB issue No. 2006-04 of 11 May 2006, Capitol Improvements Categories of Work Classification

Enclosure: (1) Risk Assessment Procedure and QA Responsibility Analysis for Construction Contracts

(2) Risk Assessment Examples

1. **Background.** With the establishment of the NAVFAC Enterprise Project Classification System, all incoming work is classified as category I-IV, depending on technical development requirements, execution oversight needs and overall project risk. Construction personnel are responsible for applying the appropriate level of resources to enable the most efficient execution of duties. With increasing workload, field staff has requested guidance on prioritizing quality assurance (QA) duties. This ECB provides guidance on prioritizing QA duties.
2. **Policy.** Reference (a) established the four categories of work for construction contracts. Construction personnel will use Enclosure (1) as a tool to determine overall project risk and associated QA and administrative effort required for each construction contract so that a plan can be established for workload distribution and balance. Prepare risk assessments for work classified Category I-III. Enclosure (2) provides illustrative examples of real project analysis for reference.
3. **Action.** PWD FEAD PM&E and ROICC Supervisory General Engineers will review the requirements of this notice with all Construction Managers (CM) and ETs upon receipt and implement.
4. This policy and associated procedures will be incorporated into the Business Management System (BMS) in FY2007 in Section B-1. The Construction Assist Visit (CAV) process will include the review of how well this policy is being implemented.



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Risk Assessment Procedure and QA Responsibility Analysis for Construction Contracts

General Guidelines:

1. Construction QA Teams, led by the Supervisory General Engineer, will incorporate a formal process of documenting a risk assessment approach towards Quality Assurance (QA) and analyze the risk of not performing certain responsibilities. QA is defined as the system by which the Government verifies that the Contractor's system of Quality Control (QC) is working effectively and construction work-in-place complies with the contract requirements. This policy memorandum supersedes requirements in P-445. The P-445 will be retired in the future once all processes are loaded into the BMS.
2. The contract risk assessment method utilizes "Contractor Past Performance" and "Contract Risk" ratings. These ratings are developed using Tables 1 and 2 of this enclosure. NAVFAC CMs must obtain a Business Analysis Reports Access level to the Army Corps of Engineer's CCASS system to review contractors' past performance history. To request this level of access, go to the CCASS web site at www.cpars.navy.mil and click on "Access Forms". Then, click on "Business Analysis Reports Access Request Form". Print a copy of the form, complete the form and FAX the completed form to the phone number indicated on the form. Once access is received, logon to CCASS and search the contractor's performance history. Plot the contractor's ratings on Table 3 to determine High, Medium or Low risk for a project. The contract risk assessment can be re-evaluated during contract performance if needed. The Construction Quality Assurance Responsibilities Matrix, enclosure (2), identifies QA responsibilities based on Project Classification and Risk Assessment rating. The responsibilities listed in the Construction Quality Assurance Responsibilities Matrix are for all QA personnel.
3. QA responsibility will be accomplished based on acceptable risk. All Construction QA personnel will review and apply this assessment process for each assigned contract. Generally, the AROICC/AREICC will lead the risk assessment rating of the contract in conjunction with the ET to prioritize responsibilities and plan execution. The results will be included in the project QA Plan if required by the QA Responsibility Matrix. This process, however, should not be considered as justification for not executing duties that are clearly needed based on contract circumstances. For example, as a general rule, the QA Team should invest more effort on a contract at the beginning to ensure that the Contractor's QC and safety systems are functioning properly.
4. For purposes of this policy, Naval Construction Forces (Seabees) will be evaluated as an average risk contractor, and a Contractor Past Performance rating of "3" will be applied in Table 3.

Contract Risk Assessment Rating Procedure:

1. QA personnel will conduct a risk assessment of each construction contract to establish the required level of QA oversight, using the following procedures, and document the risk assessment in the contract files.
2. Using the information provided in Tables 1 and 2 determine the Contractor's Past Performance and Contract Risk rating. Round the calculated rating to the tenth (one decimal point).
3. Plot the ratings into Table 3, Contract Risk Assessment Rating to determine High, Medium or Low risk. Refer to the Construction Quality Assurance Responsibilities Matrix, in this enclosure, to determine responsibilities to perform.

TABLE 1: Contractor's Past Performance Assessment Rating

Indicators	Unsatisfactory			Excellent	
	Rating				
	1	2	3	4	5
Contractor's Past Performance History (CCASS or Other)					
PWD/ROICC Staff Subjective Rating of Contractor					
Contractor's Staff:					
*Quality Control Manager					
*Site Safety Officer					
*Superintendent					
*Project Manager					
Contractor's Prior Safety Record (EMR or Other)					
Prior Knowledge of Major Subcontractors					
Previous Experience with Designer of Record					
Total Points					
Rating (Total Points / # of Indicators that apply)					

*Rate as 3 if not familiar with personnel

TABLE 2: Contract Risk Ratings:

Indicators	Low Risk			High Risk	
	Rating				
	1	2	3	4	5
Direct client support requirements					
Command or Public Interest, visibility					
Complexity/Financial Risk:					
*Prototype/Unique construction					
*Schedule/Phasing					
*Environmental Hazard (UXO, POL, Asbestos, Lead, etc)					
*Multi-disciplined (Specialized Acceptance)					
*Size (\$ Cost)					
*Potential interruptions to base operations					
*Critical end use of facility					
*Renovation/Repair					
*Quantity of GFM/GFE (Specialized construction or systems)					
*Quantity/Type of Sampling & Testing					
Environment/Site/Location					
Safety hazards					
Warranty issue potential (specialized systems)					
Total Points					
Rating (Total Points / # of Indicators that apply)					

*Rate as N/A if not applicable

TABLE 3: Contract Risk Assessment Rating:

		Contractor Past Performance Rating (From Table 1)				
		<i>Unsatisfactory</i>			<i>Excellent</i>	
		0 - 1.5	1.6 – 2.4	2.5 – 3.3	3.4 – 4.2	4.3 – 5.0
Contract Risk Rating (From Table 2)	Low Risk	0 – 0.7	Medium	Medium	Low	Low
	0.8 – 1.6	Medium	Medium	Low	Low	Low
	1.7 – 2.5	High	Medium	Medium	Medium	Low
High Risk	2.6 – 3.4	High	High	High	Medium	Medium
	3.5 – 5.0	High	High	High	High	Medium

Construction Quality Assurance Responsibilities Matrix

NOTE: This matrix is to be used on the construction phase of DB contracts and on construction contracts issued as part of the DBB process.

PWD/ROICC staff responsible for performing or coordinating the following:

<p>Responsibilities Legend:</p> <ul style="list-style-type: none"> • A – Always Performed • B – Performed with “Med” or “High” risk assessment rating, Performed by exception only with “Low” risk rating • C – Performed by exception only 	<p>Responsibility *</p> <ul style="list-style-type: none"> • Eng – AROICC or CM • ET – Engineering Technician
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Work Category				Description of QA Responsibilities **	QA Person Responsible *
I	II	III	IV		
A	A	A	C	*** Tailor/edit Part 2 for DB contracts and Division 1 Tailor/edit Division 1 specification sections	PM is lead/ Eng/ET are support
A	A	C	C	*** Participate on Technical Evaluation Boards (TEB) (Change “B” to “A” or drop Pre-award duties)	Eng
A	A	C	C	*** Guide Contractors on pre-bid site visits	Eng or ET
A	A	B	C	NAVFAC RED ZONE Requirements (NRZ) <ul style="list-style-type: none"> • Fragnet • Closeout Checklist and POAM • NRZ Schedule Management • Fragnet/POAM Milestone Monitoring 	Eng
A	A	B	C		Eng
A	A	A	C		Eng
A	A	B	C		Eng
A	A	B	C	Provide technical expertise & ensure certification based upon contract requirements as follows (notional list): <ul style="list-style-type: none"> • HVAC, TABS, DALTS, controls • Roofing • Concrete, masonry, stucco • Structural steel, welding • Underwater construction • Vertical transportation equipment • Cranes, Boilers • FPE 	Eng or ET
A	A	B	C		
A	A	B	C		
A	A	B	C		
A	A	A	B		
A	A	A	C		
A	A	A	C		
A	A	A	A		
A	A	A	C	Perform base/contractor coordination: <ul style="list-style-type: none"> • Temp utility hook-up • Lay down areas • Arrange telephone connections • Utility/road outages • Process Base Pass Requests • Digging, Burn, and Hot work permits 	Eng or ET
A	A	A	C		
A	A	A	C		
A	A	A	C		
A	A	A	C		
A	A	A	C		
A	B	C	C	Prepare QA Plans (ensuring critical DFOWs are covered)	Eng or ET
A	B	C	C	Participate in design meetings on design-build projects	Eng
A	A	A	C	Attend Pre-Construction Conferences (Pre-Con)	Eng and ET
A	A	C	C	Attend Coordination & Mutual Understanding Meetings	Eng or ET
A	A	A	C	Participate in partnering sessions	Eng and ET
				Submittal processes	PM lead for design

Work Category				Description of QA Responsibilities **	QA Person Responsible *
I	II	III	IV		
A	A	A	C	<ul style="list-style-type: none"> Review, approve/accept Division 1 submittals Review variation requests and technical submittals for critical DFOWs (Normally not required for QC approved submittals.) 	Eng Eng or ET
A	A	C	C		
A	B	C	C	Review/accept DQC Plans	PM lead/Eng support
A	A	A	C	Review/accept QC Plans	Eng and/or ET
B	B	C	C	Attend/perform off-site inspections	ET
A	B	B	C	Attend selected QC meetings	Eng or ET
B	B	C	C	Attend selected production meetings	Eng or ET
B	B	B	C	Monitor Preparatory and Initial Phases (review checklists)	ET
A	B	C	C	Attend selected Preparatory and Initial meetings	ET
A	A	A	C	Review Contractor reports	ET
A	B	C	C	Prepare Government QA reports	Eng or ET
A	A	B	C	Coordinate Government Furnished Material/Equipment (GFM/GFE)	Eng or ET
A	A	A	C	Review/analyze construction progress schedules	Eng and ET
A	A	A	C	Assist with technical analysis <ul style="list-style-type: none"> Evaluate/process RFIs Unforeseen site conditions Contract changes/Request for Equitable Adjustments (REA) Claims Constructability reviews (incl. plan-in-hand site visit) 	PM lead for design Eng or ET
A	A	A	C		
A	A	A	C		
A	A	A	C		
A	A	B	C		
A	A	A	C	Safety compliance <ul style="list-style-type: none"> Review/accept Accident Prevention Plan (APP) Review/accept Activity Hazard Analysis (AHA) Assure Contractor complies with safety requirements Safety stand downs/Contractor self-evaluation Work site safety assessments Tool box safety meetings attendance Mishap investigations and reporting 	Eng or ET
A	A	A	C		
A	A	A	C		
A	A	A	B		
A	A	A	B		
B	B	C	C		
B	B	B	C		
A	A	A	A		
A	A	A	C	Contractor construction crane compliance <ul style="list-style-type: none"> Assure Contractor complies with P-307, Appendix P Fill out P-2 checklist 	ET
A	A	A	C		
A	A	A	C	Critical crane lifts <ul style="list-style-type: none"> Review/accept critical lift plan Witness/monitor critical lifts 	ET
A	A	A	C		
A	A	A	C	Receive/review/prepare correspondence	Eng

Work Category				Description of QA Responsibilities **	QA Person Responsible *
I	II	III	IV		
A	B	B	C	Job site visits	Eng and ET
A	B	B	C	Attend/witness selected tests	ET
B	B	B	C	Review test results	Eng or ET
A	A	A	C	Review/validate progress payments	ET
A	A	B	C	Coordinate turnover to Client: <ul style="list-style-type: none"> • Equipment operation/maintenance training • Spare parts, special tools and keys • OMSI turnover • List of extended warranty periods 	ET
A	A	B	C		
A	A	B	C		
A	A	B	C		
A	A	A	C	Issue/track Non-Compliance notices	Eng and ET
A	A	A	C	Environmental compliance <ul style="list-style-type: none"> • Review/accept Contractor environmental plan • Assure Contractor complies with contract and their environmental plan • Ensure compliance with and proper close-out of permits 	Eng
A	A	A	C		Eng or ET
A	A	A	C		Eng or ET
A	A	B	C	Completion inspections: <ul style="list-style-type: none"> • Pre-Final Inspection • Final Acceptance Inspection 	ET
A	A	A	C		Eng or ET
A	A	A	C	Prepare for Construction Assistance Visits	Eng and ET
A	B	C	C	Take/file/distribute progress photos	ET
B	B	B	B	Labor compliance (as applicable) <ul style="list-style-type: none"> • Assure Contractor complies with labor laws • Contractor employee interviews • Review and compare weekly payrolls against Contractor Production Reports • Assure labor law information is posted at project site 	ET
B	B	B	C		
A	A	A	A		
B	B	B	C		
A	A	A	C	Coordinate contractor access into secure areas	ET
A	A	A	C	Assure contracts are closed out in accordance with contract requirements	Eng and ET
A	A	A	C	Prepare Contractor performance evaluations	Eng and ET
A	A	A	C	Coordinate warranty actions	Eng or ET

* "Responsibility" is shown to delineate the responsibilities of engineers and engineering technicians. Some PWD/ROICC Offices have unique staffing considerations and the indicated responsibilities may be allocated differently.

** It is recognized that each construction contract can have numerous definable features of work (DFOWs) and each DFOW can have a varying degree of criticality and risk. The QA Team will also consider this when determining where and when to allocate focus and effort.

*** Miscellaneous duties to be performed regardless of award status.

Risk Assessment Examples

The following examples illustrate the process of validating the classification of a CIBL project, performing a risk assessment, and a QA responsibility analysis:

Example 1

1. Project Location: Keesler Air Force Base, Biloxi, MS
2. Project Name and Detailed Description: Design/Build Technical Training Facility, Phase II is a 5-phase project as follows:

Design-Build a 23,000 SF Avionics Facility for C130 aircraft, Demolish Hangar 1,
Design-Build a 200,000 SF Technical Training Facility on site of Hangar 1, Provide three radar bases for GPN 20 training radars, Demolish Hangar 2
3. Actual/Estimated Cost: \$22,416,336 Actual \$24,322,000 Estimated
4. Acquisition Strategy: D/B MACC
5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category I based on Classification Guidelines for CIBL Business Rules:

- High Schedule risk
- Site approval required
- State environmental permit required
- Complex design

6. Risk Analysis (Use Risk Assessment Procedure)

- Contractor Past Performance Assessment Rating = 4.2
- Contract Risk Rating = 1.3
- Contract Risk Assessment = **LOW**

7. QA responsibilities: (Use QA Responsibility Analysis)

Full range of "A" and "B" (by exception, as determined in by the project team) responsibilities as shown in QA Responsibilities Matrix

Example 2

1. Project Location: Sewells Point, Norfolk, VA
2. Project Name and Detailed Description: MCON Project P-280, AIMD Consolidation Facility.

140,000 SF Aircraft Maintenance Facility includes a 2nd story Admin area for AIMD staff and Supply functions. The new facility includes cranes and hoists, HVAC and DDC systems, fire protection systems with a backup generator, an Elevator, and frequency converters. Includes relocation of AIMD equipment from the existing AIMD buildings to the new consolidated facility. Scope includes asbestos and lead abatement work and demolition of ten buildings.

3. Actual/Estimated Cost: Awarded at \$23,150,000.
4. Acquisition Strategy: Contract was awarded using the Industrial MACC to M. A. Mortenson.
5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category I based on Classification Guidelines for CIBL Business Rules.

- Large \$ MCON project.
- State Environmental permits required.
- New construction with multiple design discipline requirements.
- Unique building and Aircraft maintenance equipment installation and certification requirements.
- Operational Client with phased move into new facility

6. Risk Analysis: (Use Risk Assessment Procedure)

- Contractor Past Performance Assessment Rating = 3.7
- Contract Risk Rating = 3.7
- Contract Risk Assessment Rating = **HIGH**

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix, the PWD/ROICC office should provide all of the QA responsibilities listed in the matrix.

Example 3

1. Project Location: Tafuna, American Samoa
2. Project Name and Detailed Description: FY02 MILCON Additions and Alterations, USAR Center, Tafuna, American Samoa

Project includes construction of a U.S. Army Reserve Center comprised of a Training Facility, Organizational Maintenance Shop, Unheated Storage, and Parking Garage.

3. Actual/Estimated Cost: Awarded at \$16,757,687.
4. Acquisition Strategy: RFP - design/bid/build

5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category I based on Classification Guidelines for CIBL Business Rules:

Large \$ MILCON project.
New construction with multiple design discipline requirements
Unique building and equipment requirements.
Full plans and specs prepared by A/E.

6. Risk Analysis: (Use Risk Assessment Procedure)

Contractor Past Performance Assessment Rating = 3.75
Contract Risk Rating = 3.54
Contract Risk Assessment Rating = **HIGH**

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix, the PWD/ROICC office should provide all of the QA responsibilities listed in the matrix.

Example 4

1. Project Location: Naval Construction Battalion Center, Gulfport, MS

2. Project Name and Detailed Description: Replace and Improve Water System. This project replaces 14,000 LF of water distribution pipe ranging in size from 1" to 12", and also provides a new 200,000 gallon elevated water tank.

3. Actual/Estimated Cost: \$3,727,640 Actual \$4,458,353 Estimated

4. Acquisition Strategy: Design/Build MACC

5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category II based on Classification Guidelines for CIBL Business Rules:

State environmental permit required
Limited number of design disciplines
Water system installation using conventional technology.

6. Risk Analysis: (Use Risk Assessment Procedure)

Contractor Past Performance Assessment Rating = 3.4
Contract Risk Ratings = 2.8
Contract Risk Assessment Rating = **MED**

7. QA responsibilities: (Use QA Responsibility Analysis)

All items marked "A" or "B" in the QA responsibilities matrix.

Example 5

1. Project Location: Naval Magazine Lualualei, West Loch Branch, HI
2. Project Name and Detailed Description: Corrosion Repairs Ammo Wharves W4 and W5, NAVMAG, West Loch
3. Actual/Estimated Cost: Awarded at \$223,620.
4. Acquisition Strategy: JOC
5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category II project based on Classification Guidelines for CIBL Business Rules:

Constructed from discipline-specific engineered drawings and limited specifications.
High security area

6. Risk Analysis: (Use Risk Assessment Procedure)

Contractor Past Performance Assessment Rating = 2.625
Contract Risk Rating = 3.55
Contract Risk Assessment Rating = **HIGH**.

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix, the PWD/ROICC office should provide all of the QA responsibilities listed in the matrix.

Example 6

1. Project Location : Sewells Point, Norfolk, VA
2. Project Name and Detailed Description: Station Funded Hurricane Repair Project, Replace Roof, LF-18.

Project replaces a 200,000 SF built-up roof system with a new modified bitumen roof system. Work includes asbestos and lead abatement. Building LF-18 is a Fleet operational support facility with classified spaces and antennas on the roof that must be shut down during the roof work.

3. Actual/Estimated Cost: Awarded at \$2,999,668.
4. Acquisition Strategy: Contract was awarded by negotiated procurement with an 8(A) Contractor. A design bid build project.

5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category II based on Classification Guidelines for CIBL Business Rules:

Large \$ O&MN project.
State environmental coordination required for abatement work.
Limited number of design disciplines.
Substantial life safety risk for roofers and occupants inside the building.

6. Risk Analysis: (Use Risk Assessment Procedure)

Contractor Past Performance Assessment Rating = 3.0
Contract Risk Rating = 2.9
Contract Risk Assessment Rating = **HIGH**

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix, the PWD/ROICC office should provide all of the QA responsibilities listed in the matrix.

Example 7

1. Project Location: Naval Station, Pascagoula, MS

2. Project Name and Detailed Description: Renovate Weapons Department Admin Spaces. This contract involves repair of minor roof leaks, removal and replacement of shower stalls and fixtures, removal and replacement of carpet and VCT, preparation and painting of interior spaces.

3. Actual/Estimated Cost \$30,000 Actual \$28,943 Estimated

4. Acquisition Strategy: 8(a) negotiated

5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category III, based on Classification Guidelines for CIBL Business Rules:

Build from scope of work
Minor renovation job
Replacement of fixtures
Hardware and non-technical equipment

6. Risk Analysis: (Use Risk Assessment Procedure)

Contractor Past Performance Assessment Rating = 3.0
Contract Risk Rating = 3.6
Contract Risk Assessment Rating = **HIGH**

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix, the PWD/ROICC office should provide all of the QA responsibilities listed in the matrix except perform "C" responsibility items by exception, as determined by the project team.

Example 8

1. Project Location: NAVSTA Pearl Harbor, HI
2. Project Name and Detailed Description: Replace Carpet WEB Shop, Building 352 JICPAC, Makalapa
3. Actual/Estimated Cost: \$63,924 Actual
4. Acquisition Strategy: IDIQ
5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category III based on Classification Guidelines for CIBL Business Rules:

Executed using services of an established PWD/ROICC contracting vehicle with a statement of work.
Verification of scope and quality of work is required.
Site access issues complex – cannot be executed as CAT IV

6. Risk Analysis (Use Risk Assessment Procedure)
Contractor Past Performance Assessment Rating = 3.0
Contract Risk Rating = 2.667
Contract Risk Assessment Rating = **HIGH**

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix, the PWD/ROICC office should provide all of the QA responsibilities listed in the matrix except perform "C" responsibility items by exception, as determined by the project team.

Example 9

1. Project Location: Sewells Point, Norfolk, VA
2. Project Name and Detailed Description: Station Funded Repair Project, Install GFM Cooling Tower, SP-367.

Project demolishes and existing failing cooling tower and installs a new GFM cooling tower for a Reserve Training facility. System outage required for demo and installation work need to be coordinated with Reserve Unit.

3. Actual/Estimated Cost: Awarded at \$18,655.00.
4. Acquisition Strategy: Contract was awarded by negotiated procurement with an 8(A) Contractor. No plans and specs, ET scope of work provided to accomplish work.
5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category III project based on Classification Guidelines for CIBL Business Rules:

Moderate financial, schedule and life safety risk.
No plans and specs, build from ET scope of work.
No local environmental permits required.

6. Risk Analysis: (Use Risk Assessment Procedure)

Contractor Past Performance Assessment Rating = 3.0
Contract Risk Rating = 2.7
Contract Risk Assessment Rating = **HIGH**.

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix, the PWD/ROICC office should provide all of the QA responsibilities listed in the matrix except perform "C" responsibility items by exception, as determined by the project team.

Example 10

1. Project Location: Keesler Air Force Base, Biloxi, MS
2. Project Name and Detailed Description: Replace Epoxy Floor Coating in Section A of Supply Warehouse. The work entails shot blasting or chemical cleaning approximately 15,000 SF of existing two-part epoxy floor system and replacing with new two-part epoxy floor system.
3. Actual/Estimated Cost: Estimated \$80,000 Actual \$81,000
4. Acquisition Strategy: 8(a) negotiated procurement
5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category IV based on Classification Guidelines for CIBL Business Rules:

Very low risk
Build from client requirements

Minor repair

An independent Risk Analysis would not usually be performed on a Category IV project, however, this example illustrates that risk may vary even within Category IV work.

6. Risk Analysis: (Use Risk Assessment Procedure)

Contractor Past Performance Assessment Rating = 1.8
Contract Risk Rating = 1.6
Contract Risk Assessment Rating = **MED**

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix the PWD/ROICC office should perform QA only by exception due to classification of project as Category IV. Since the overall Contract Risk Assessment Rating is Medium, the client performing the QA should be advised that special attention should be directed to this work during the execution phase.

Example 11

1. Project Location: Sewells Point, Norfolk, VA

2. Project Name and Detailed Description: Station Funded Repair Project, Replace 5-Ton condenser, SP-77.

Project replaces an existing condenser with a smaller unit better sized to handle the reduced heat load in Bldg SP-77. SP-77 houses flight line radar equipment.

3. Actual/Estimated Cost: Awarded at \$7,000.00.

4. Acquisition Strategy: Contract was awarded by negotiated procurement with an 8(A) Contractor. No plans and specs, ET scope of work provided to accomplish work.

5. Classification Analysis: (Use existing guidelines to cite characteristics or features that impact the analysis and result in a category selection)

Category IV project based on the following items:

Low financial, schedule and life safety risk.
No plans and specs, build from ET scope of work.
No local environmental permits required.

6. Risk Analysis: (Use Risk Assessment Procedure)

Contractor Past Performance Assessment Rating = 3.0
Contract Risk Rating = 1.6
Contract Risk Assessment Rating = **LOW**

An independent Risk Analysis would not usually be performed on a Category IV project, however, this example is presented to illustrate the process.

7. QA responsibilities: (Use QA Responsibility Analysis)

In accordance with the QA Responsibility Matrix the PWD/ROICC office should perform QA items only by exception (as determined by the project team) due to classification of project as Category IV.