

Electronic Records Archives

Appendix 1G Performance Based Contract Award Fee Plan

Contract No. NAMA-04-C-0007

Submitted to:

**National Archives and Records Administration
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GLOSSARY OF ABBREVIATIONS AND ACRONYMS

Acronym	Description
AFDR	Award Fee Determination Report
BOE	Basis Of Estimate
CAIV	Cost-as-an-Independent-Variable
CAM	Cost Account Manager
CDRL	Contract Data Requirements List
CLIN	Contract Line Item Number
CM	Configuration Management
CMMI	Capability Maturity Model Integrated
CO	Contracting Officer
ConOps	Concept of Operations
COR	Contracting Officer's Representative
COTS	Commercial Off-The-Shelf
CR	Change Request
CSA	Configuration Status Accounting
CWBS	Contract Work Breakdown Structure
ECP	Engineering Change Proposal
ERA	Electronic Records Archives
ETC	Estimate To Complete
EVM	Earned Value Management
IBR	Integrated Baseline Review
IPT	Integrated Product Teams
ISO	International Organization for Standardization
IT	Information Technology
NARA	National Archives Records Administration
OCM	Organizational Change Management
OM&S	Operations, Maintenance, and Support
PD	Program Director
PEB	Performance Evaluation Board
PEBR	Performance Evaluation Board Report
PMO	Program Management Office
PMR	Performance Measurement Review
PTR	Program Tracking Report

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Acronym	Description
PWBS	Performance Work Breakdown Structure
PWS	Performance Work Statement
QA	Quality Assurance
RFP	Request for Proposal
SEI	Software Engineering Institute
SEMP	System Engineering Management Plan
SW-CMM	Software Capability Maturity Model
TBD	To Be Determined
TM	Technical Monitor
TMR	Technical Monitor Report
TOC	Total Ownership Cost
vs.	versus

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Change History

Change Contact	Date of Change	Summary of Change
Lockheed Martin Team	02/11/2004	Initial Release
Lockheed Martin Team	06/09/2004	Update for Final Proposal Revision
Lockheed Martin Team	05/16/2005	Update for Cost Proposal Submitted During Analysis and Design Phase

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OVERVIEW

This plan covers the administration of the award fee provisions of contract number NAMA-04-C-0007, awarded to Lockheed Martin Transportation and Security Solutions.

This Award Fee plan sets forth procedures and guidelines that the National Archives and Records Administration (NARA) will use in evaluating the technical performance of Lockheed Martin during development and operation of Increments one (1) through five (5), including Contract Line Item Numbers (CLINs) 0101 through 0601.

There is no base fee. Lockheed Martin will be rewarded for excellence in contract performance under the Award Fee program. Satisfactory or below performance will not be rewarded. Performance will be evaluated every six (6) months. The award fee payable will be determined in six (6) month intervals by the Contracting Officer (CO) in accordance with this plan. Award Fee determinations are not subject to the dispute clause of this contract. The Government, through the CO, may unilaterally change this plan providing Lockheed Martin receives notice of the changes at least 30 calendar days prior to the beginning of the evaluation period for which the changes apply.

This Award Fee Plan is prepared in two parts: The first part is a recurring award fee evaluation and award based on six-month intervals. The performance evaluation criteria for this recurring evaluation is defined in Attachments A, B and C to this plan. The second part of the award fee evaluation is based on the success of the specific Increments' final system delivery compared to the Measurement Indicators in the Statement of Objectives; thus, the evaluation and award fee determination is six months after the delivery of the increment (i.e., six months after Initial Operational Capability). The award fee pool for the second part of the award fee program is a withholding of the available pool from the respective Increment's technical performance measurement category.

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THE ERA BUSINESS INFORMATION FRAMEWORK

The Award Fee Plan is one of the six management plan documents that comprise the Electronic Records Archives (ERA) business information framework. The framework, shown in Figure F-1, ERA Business Information Framework, provides the means for guiding and controlling work within the ERA program.

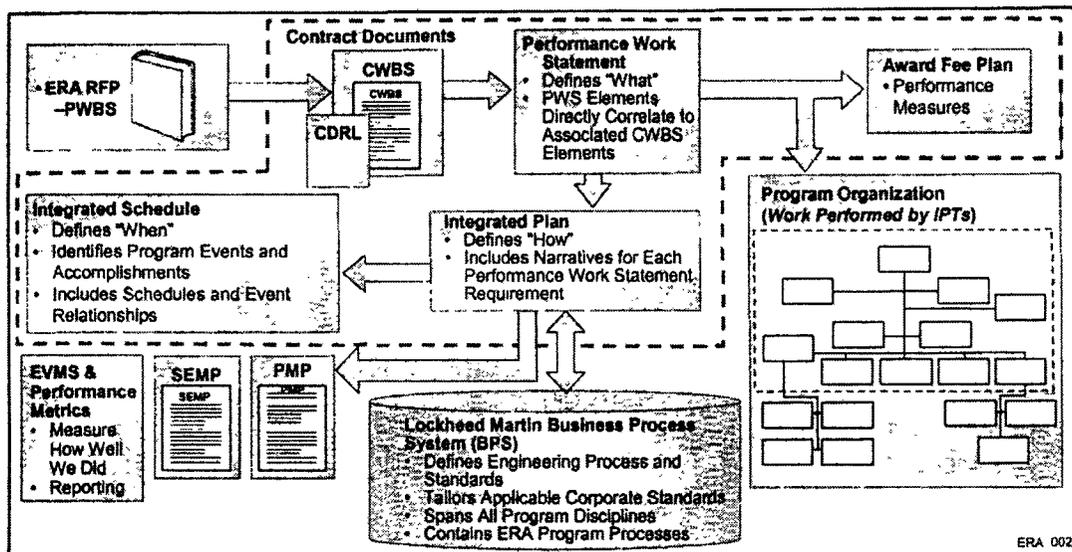


Figure 1G-1. ERA Business Information Framework

The contents of the management plan documentation are driven by the requirements and information found within the ERA Request for Proposal (RFP). For example, the Contract Work Breakdown Structure (CWBS) is derived from the NARA Performance Work Breakdown Structure (PWBS), and the Contract Data Requirements List (CDRL) has enhanced the ERA RFP's CDRL with additional Lockheed Martin Team delivery recommendations. The Performance Work Statement (PWS) explains 'what' work will be performed, as organized by the CWBS work structure, while the Award Fee plan describes how Lockheed Martin Team performance will be rewarded. The Integrated Plan explains 'how' the work described in the PWS will be performed, and the Integrated Schedule describes 'when' the work will be performed. The management plan documents are further described in the following list. Please refer to the individual documents for detailed information.

ERA management plan documents include the following:

Contract Work Breakdown Structure (CWBS). This defines the scope of the effort and how the Team will accumulate costs. The CWBS aligns responsibility with accountability within the Team's organization and establishes the single numbering system that serves as the thread for the overall business information framework. The PWS, the Integrated Plan and the Integrated Schedule all use the numbering system documented within the CWBS.

Contract Data Requirements List (CDRL). The CDRL defines the data to be delivered to NARA. For the ERA program, data may be defined as software, hardware, documentation, or formal program reviews. The Lockheed Martin Team has enhanced the original NARA CDRL with recommendations for additional data items.

Performance Work Statement (PWS). The PWS describes the specific work required to produce the products and services associated with the System Analysis and Design phase, Implementation phase,

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and the Operations and Support phase. It describes the required services and performance to be rendered in meeting ERA Statement of Objectives, their related tasks, and any associated CDRL items.

Integrated Plan. The Integrated Plan consists of two principal parts: (1) the event tables that define what will be achieved (i.e., the program events, significant accomplishments, and accomplishment criteria), and (2) the process narratives that say how the Lockheed Martin Team will perform the effort to satisfy the program events, significant accomplishments, and accomplishment criteria. Through the definition of the program events, the Integrated Plan defines the capabilities that will be provided with each increment. The System Engineering Management Plan (SEMP) is developed from the Integrated Plan and becomes the governing Engineering Management Plan for program execution. All engineering processes map into the SEM. The Program Management Plan (PMP) defines the organizational structure, roles, and responsibilities that execute the processes captured within the Integrated Plan.

Integrated Schedule. The Integrated Schedule shows the dates and network relationships for the program events, significant accomplishments, and accomplishment criteria defined in the Integrated Plan. The Lockheed Martin Team updates the Integrated Schedule regularly to show the status and progress toward achieving the program events, significant accomplishments, and accomplishment criteria.

Award Fee Plan. The Award Fee plan uses performance measures to assess the Lockheed Martin Team performance. The measures are regularly re-evaluated and adjusted by NARA in conjunction with the Lockheed Martin Program Management Team.

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ROLES AND RESPONSIBILITIES OF PARTICIPATING GOVERNMENT OFFICIALS

The following Government Officials or Non-Government personnel will participate in assessing the quality of the Contractor's performance. Their roles and responsibilities are described as follows:

- a. The CO has overall responsibility for overseeing the Lockheed Martin Team's compliance with contract performance including but not limited to requirements, terms, conditions, and schedule. The CO will make formal award fee determinations and will make appropriate changes in the award fee plan, as necessary.
- b. The appointed Contracting Officer's Representative (COR) (one or more) will be responsible for oversight of monitoring, assessing, recording, and reporting of the technical performance of Lockheed Martin for all technical tasks including schedule.

The COR will assign subordinate Technical Monitors (TMs). Each TM will be assigned to a performance area to be evaluated. The TMs, acting under the direction of the COR, will be responsible for oversight of monitoring, assessing, recording, and reporting of the technical performance of Lockheed Martin on a regular basis, for their respective areas. The TMs will have primary responsibility for completing Technical Monitor Reports (TMRs), which they will use to document inspection and evaluation of the Contractor's work performance. Meetings shall be held on a periodic basis as determined by the COR and/or CO to address performance and quality control issues in an effort to foresee and avoid serious problems. TMs will periodically prepare TMRs for the Performance Evaluation Board (PEB) or others, as appropriate. TMs will recommend appropriate changes in the Award Fee plan, if necessary.

TMs will also be responsible for the day-to-day monitoring of Lockheed Martin's performance in the areas of technical performance, program management, schedule, and cost.

- c. PEB
 1. The PEB will be comprised of a Chairperson, the ERA Deputy Program Director, the CO, and any other person the PEB Chairperson appoints. The Chairperson of the PEB and other voting members shall be designated by separate memorandum and approved by the NARA ERA Program Director (PD).
 2. The PEB Chairperson is responsible for recommending the award fee earned and payable for each evaluation period, and shall review the COR's and TMs' assessments of Lockheed Martin's performance and resolve differences between the COR's/TMs' performance and quality assessments versus Lockheed Martin's perception of the same.
 3. The Chairperson may appoint non-voting members to assist the Board in performing its functions.
 4. Primary responsibilities of the Board include the following:
 - a) Conduct periodic evaluations of Lockheed Martin's performance and submit a Performance Evaluation Board Report (PEBR) to the CO covering the Board's findings and recommendations for each evaluation period, and
 - b) Consider changes in this plan and recommend those that it determines are appropriate for adoption by the CO.

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METHOD FOR DETERMINING AWARD FEE

Table 1G-1, Award Fee Determination Steps, summarizes the principal events and timeline for determining the fee earned by Lockheed Martin during the evaluations period.

Table 1G-1. Award Fee Determination Steps

Action	Schedule (Calendar days)
1. Lockheed Martin Presents to PEB	Not later than 5 days after end of period
2. TMs submit reports to PEB Chairperson	15 days after end of period
3. PEB meets and summarizes preliminary findings and its position in the PEBR	Not later than 25 days after end of period
4. PEB Chairperson submits PEBR to CO	Not later than 35 days after end of period
5. CO sends the Award Fee Determination Report (AFDR) and signed contract modification to Lockheed Martin	No later than 45 days after end of period

- a. The CO will determine the award fee earned for each evaluation period within 45 calendar days after the end of the 6-month review period for the recurring evaluation and six months after the Increment's final system delivery for the system performance evaluation. The method to be followed in monitoring, evaluating, and assessing Lockheed Martin's performance during the period, as well as for determining the award fee earned or paid, is described in the following steps.
- b. The PEB Chairperson will ensure that a TM is assigned for each Performance Area to be evaluated under the contract. TMs will be selected on the basis of their expertise relative to prescribed performance area emphasis. The PEB Chairperson may change TM assignments at any time without advance notice to Lockheed Martin.
- c. The PEB Chairperson will ensure that each TM receives the following:
 1. A copy of this Award Fee plan along with any changes, and
 2. Appropriate orientation and guidance.
- a. TMs will evaluate and assess Lockheed Martin's performance and discuss the results with Lockheed Martin personnel, as appropriate.
- b. TMs will submit their TMRs prior to program reviews, and, if required, make verbal presentations to the PEB.
- c. Lockheed Martin may request to meet with the PEB to discuss overall performance not later than five (5) working days after the end of the evaluation period. The COR, TMs, and other personnel involved in the performance evaluations may attend the meeting and participate in discussions at the request of the PEB Chairperson. After meeting with Lockheed Martin, the PEB will consider matters presented by Lockheed Martin and finalize its findings and recommendations.
- d. The PEB will consider TMRs within 15 days of the end of the award fee period. The PEB Chairperson will request and obtain performance information from the personnel normally involved

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in observing Lockheed Martin performance, as appropriate. After the end of each evaluation period, the PEB will meet to consider all the performance information available. At the meeting, the PEB will summarize its findings and recommendations for coverage in the preliminary PEER.

- e. The PEB Chairperson will prepare the PEER for the period and submit it to the ERA PD and CO for use in making the formal determination of the award fee earned. The report will include an adjectival rating and a recommended performance score with supporting documentation. Lockheed Martin will be notified of the PEB evaluation and recommended rating and score.
- f. The ERA PD will consider the recommendations of the PEB, information provided by Lockheed Martin, and any other pertinent information in determining the amount of award fee earned to be provided in the formal determination issued by the CO. The government may, at its sole discretion (but is not obligated to), roll over Award Fee from one period to the next depending upon funding type and how funding is obligated. In addition to the normal award fee determination, the CO may, with the approval of the ERA PD, additionally award an unearned award fee from the past period, up to a maximum amount equal to any unearned award fee from the past period, to reward Lockheed Martin for rectifying past performance problems. The determination of the amount of award fee earned and the basis for this determination will be stated in the Award Fee Determination Report (AFDR).
- g. The CO will notify Lockheed Martin and the PEB Chairperson of the determination.

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CHANGES IN PLAN COVERAGE

- a. **Right to Make Unilateral Changes.** Any matters covered in this plan may be changed unilaterally by the CO 30 calendar days prior to the beginning of an evaluation period by written notice to Lockheed Martin. The changes will be made in writing from the CO to Lockheed Martin, but without formal modification of the contract.
- b. **Steps to Change Award Fee Plan Coverage.** The method to be followed for changing the Award Fee plan coverage is described below and in Table 1G-2, Award Fee Plan Change Steps:
1. Personnel involved in the administration of the award fee provisions of the contract shall recommend plan changes with a view toward changing management emphasis, motivating higher performance levels, or improving the award fee determination process. Recommended changes should be sent to the PEB for consideration and drafting.
 2. Normally, 45 to 60 days prior to the end of each evaluation period, the PEB will submit the recommended changes applicable to the next evaluation period for approval by the CO.

Table 1G-2. Award Fee Plan Change Steps

Action	Schedule
1. Lockheed Martin submits recommended changes to PEB (via the CO) for the next Award Fee Period	No later than 60 days before the end of the current period.
2. PEB submits to the CO approved Lockheed Martin changes and any additional changes for the next Award Fee Period.	No later than 45 days before the end of the current period.
3. CO notifies Lockheed Martin of changes for the next Award Fee Period.	No later than 30 days before the end of the current period.

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AVAILABLE AWARD FEE POOL

The award fee portion of this contract provides for 14 recurring award fee periods and five system performance award fee periods (one after the delivery of each development option). The award fee pool allocated to each period is summarized in Table 1G-3, Available Award Fee Pool by Period. The Baseline Pool column reflects the award fee pool allocated as part of the award of the option; the Pool Change column reflects increases or decreases to the baseline as a result of changes in work scope or rollover of previously unearned fee; and the Available Pool column reflects the pool that is available for award within that evaluation period. Within each Increment, approximately 30% of the total available award fee pool will be retained to establish the System Performance Award Fee Pool that is available for award based on the assessment of system performance six months after the end of the respective Increment's delivery.

Table 1G-3. Available Award Fee Pool by Period

Period Number	Performance Period End Date	Description	Baseline Pool	Pool Change	Available Pool
1	28 Feb 06	Increment 1, Part 1	\$2,141,387	0	\$2,141,387
2	31 Aug 06	Increment 1, Part 2	\$2,948,329	0	\$2,948,329
3	28 Feb 07	Increment 1, Part 3	\$3,753,260	0	\$3,753,260
4	31 Aug 07	Increment 1, Part 4	\$1,631,865	0	\$1,631,865
Inc1 Perf	29 Feb 08	Increment 1 system performance	\$4,489,218	0	\$4,489,218
5	29 Feb 08	Increment 2, Part 1	\$3,044,193	0	\$3,044,193
6	31 Aug 08	Increment 2, Part 2	\$1,820,578	0	\$1,820,578
Inc2 Perf	28 Feb 09	Increment 2 system performance	\$2,084,902	0	\$2,084,902
7	28 Feb 09	Increment 3, Part 1	\$1,034,421	0	\$1,034,421
8	31 Aug 09	Increment 3, Part 2	\$1,371,976	0	\$1,371,976
Inc3 Perf	28 Feb 10	Increment 3 system performance	\$1,031,313	0	\$1,031,313
9	28 Feb 10	Increment 4, Part 1	\$863,674	0	\$863,674
10	31 Aug 10	Increment 4, Part 2	\$1,178,029	0	\$1,178,029
Inc4 Perf	28 Feb 11	Increment 4 system performance	\$875,016	0	\$875,016
11	28 Feb 11	Increment 5, Part 1	\$762,044	0	\$762,044
12	31 Aug 11	Increment 5, Part 2	\$980,677	0	\$980,677
Inc5 Perf	29 Feb 12	Increment 5 system performance	\$746,880	0	\$746,880
13	29 Feb 12	OM&S Option 6	\$835,021	0	\$835,021
14	31 Aug 12	OM&S Option 6	\$1,023,996	0	\$1,023,996

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PERFORMANCE EVALUATION FACTORS AND RATINGS

Lockheed Martin's performance during the first six months of Increment 1 will be evaluated in three performance factors shown in Table 1G-4, Factor Weights. The weightings of the three performance factors, applied to the period's available award fee pool as shown in Table 1G-4, determine the allocation of the available fee pool.

Table 1G-4. Factor Weights

Area No.	Factor	Factor Weight	Dollars Available
1	Performance	70%	Contractor fills in
2	Schedule	20%	Contractor fills in
3	Cost	10%	Contractor fills in

These factors will be evaluated relative to the following general criteria and as specified in Appendix A, Technical Performance Criteria Tables:

Contract/Technical Performance (Area 1)

- Technical achievement of milestones and objectives for the period.
- Quality and completeness of the product and deliverables due for the period.
- Conformance with the PWS and associated performance measurements.
- Responsiveness to technical changes and issues that arise.
- Identification and management of cost, schedule, and staffing issues.
- Quality and timeliness of program/project plans and deliverables.
- Effectiveness and timeliness of communications with the Government.
- Effectiveness and timeliness of taking corrective actions, as needed.

Schedule Performance (Area 2)

- Ability to complete work and milestones early in the schedule.
- Effectiveness and timeliness of schedule status and notification of potential schedule issues.

Cost Performance (Area 3)

- Overall effectiveness in utilizing financial resources.
- Planning and control of program costs to established budget levels to achieve cost under-runs and prevent cost over-runs.
- Adequacy and timeliness of financial reports, including estimate to complete (ETC).
- Quality and thoroughness of variance reporting.
- Quality and thoroughness of proposals in response to Engineering Change Proposals (ECPs) and BOEs.

System Performance Award Fee Pool (post delivery of each development increment)

- Performance of the system as assessed against the system performance measures in Attachment D
- Subjective assessment of the system performance projections based on the actual performance at the six month point, system performance trends, the NARA and originating agency ramp-up in

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capitalizing on the system capabilities; the assessment of the projected performance is based on the indications of the system's capability to meet the objective thresholds in Appendix D

- NARA subjective assessment of the effects of external elements beyond Lockheed Martin's controls, e.g., availability of trained archivists to perform NARA's operations and originating agency actual usage and how these external elements affect the actual usage and performance as compared to the empirical and analytical indications of potential usage
- Resolution plans and effects of resolutions to items identified in acceptance test
- In determining the fee, the TMs and the PEB will assess Lockheed Martin's performance using the performance rating system shown in Table 1G-5, Contractor Performance Ratings. The percentages shown in the table represent the portion of the maximum award fee amount that is available for award for each performance level.

Table 1G-5. Contractor Performance Ratings

Adjectival Rating	Rating Description
Outstanding	Of exceptional merit; excellence demonstrated in all areas of performance; exemplary performance in a timely, efficient, and economical manner; minor (if any) deficiencies with no adverse effect on overall performance.
Very Good	Very effective performance; excellence demonstrated in most areas of performance; fully responsive to contract; contract requirements accomplished in a timely, efficient, and economical manner for the most part; only minor deficiencies.
Good	Effective performance; excellence demonstrated in some areas of performance; fully responsive to contract requirements; reportable deficiencies, but with little identifiable affect on overall performance.
Satisfactory	Meets minimum acceptable standards; adequate results; reportable deficiencies with identifiable, but not substantial, affects on overall performance. No award fee earned.
Poor/Unsatisfactory	Does not meet minimum acceptable standards in one or more areas; remedial action required in one or more areas; deficiencies in one or more areas that adversely affect overall performance. No award fee earned.

FOIA (b)(4)

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ATTACHMENT A. TECHNICAL PERFORMANCE CRITERIA – FIRST AWARD FEE PERIOD

The following tables, tied to and organized by PWS task areas, identify the criteria for evaluating the on-going technical performance of the Lockheed Martin Team. The *Outstanding* performance criteria is and shall always be the target performance standard. Lockheed Martin shall periodically assess our performance against this criteria during the performance period and establish an escalation procedure for Senior Management action whenever it is determined that performance is not at or exceeding the *Outstanding* rating. In addition, the same criteria will be utilized by Lockheed Martin to honestly self-rate our performance in the self-assessment due at the end of the period of performance to be measured.

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1000 Program Administration

Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Program Management Leadership (Metrics presented at Program Reviews)	<p>Communications with the Program Management Office (PMO) are poor, untimely, and ineffective.</p> <p>Program reviews are typically inaccurate or superficial.</p> <p>Program planning does not adequately provide an accurate or comprehensive roadmap for the program.</p>	<p>Contractor communicates problems as they occur.</p> <p>Program reviews are minimally adequate to report current status.</p> <p>Program planning is adequate but additional information would clarify plan.</p>	<p>Contractor communicates many problems and issues early enough which allow mitigation strategies to prevent significant impact to the program. Program reviews provide complete program status and metrics.</p> <p>Program planning anticipates problems far enough in advance to prevent significant impact</p>	<p>Contractor communicates almost all problems and issues early enough to allow mitigation of all but minor impacts to the program.</p> <p>Program reviews accurately and consistently reflect program technical, cost, and schedule status, accomplishments, risks, dependencies, and plans.</p> <p>Program planning is collaborative with PMO and ensures integrated and proactive planning.</p>	<p>Proactive communication routinely prevents any surprises and allows joint resolution of problems well in advance of program impact.</p> <p>Program reviews are timely and comprehensive and provide complete program insight and future trending.</p> <p>Program planning incorporates complete understanding of PMO objectives, mission, and vision with little PMO directed rework.</p>
Risk Management Plan and Program (Risks that turn to issues, risk index score card, risk reports)	<p>Numerous program risks are not being effectively identified resulting in significant impact to the program</p>	<p>Major risks are identified and communicated to management, but some risks are not always identified or identified in a timely manner resulting in some specific project impacts.</p>	<p>All significant risks are identified and communicated to management and the Program Office. Mitigation plans are established and stated regularly at project and program reviews. Metrics are tracked and stated at program reviews.</p>	<p>A formal and effective risk management program is in place preventing unexpected impacts to the program. Metrics are used to generate proactive actions and timely corrections.</p>	<p>A joint contractor/ ERA risk management program is in place, institutionalized and highly effective and proactive. Metrics show that risks are being effectively identified in advance of impacting dates and eliminated or mitigated to acceptable levels across all WBS elements.</p>

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
The ERA Risk Register	Risk Register has not been established	Risk Register has been established but is not always stated effectively	Risk Register is maintained and stated effectively in a timely manner	Risk reports and metrics from the risk register are proactively provided on the web portal All mitigation strategies are fully understood by the program	Risk Register holds all joint risks and provides accurate and timely metrics and reports on the web portal All mitigation strategies are fully understood and implemented according to schedule.
Standard policies, processes, and procedures (Planned processes vs. actually developed, process counts and change requests tracked)	Have not been developed for critical functions of the contract	Have been developed for the critical parts of the program but some processes are still incomplete for more routine functions	All planned processes, policies, and procedures have been developed and tailored for the program	All planned processes, policies, and procedures have been developed and tailored for the program. A process improvement program has been developed. Processes are embraced by the program.	A process improvement program is in place, institutionalized, and proactively functioning to continuously improve processes from metrics, lessons learned and best practices discovered.
Process library (Count of planned processes vs. actual processes in repository and available via the portal)	Does not exist for the program	Has been developed, but is not easily available to institutionalize its use	Has been developed, populated, and made available to contract and Government employees through a shared folder	A tailored electronic process library. available to all contractor and Government personnel has been developed and made easily available through the ERA program management portal	The electronic library is expanded to include a repository for lessons learned, quality events, Software Capability Maturity Model (SW-CMM) documents, and other similar improvements to support Software Engineering Institute (SEI) certification
Program Action Item management (Action item)	Is not maintained and does not reflect all the actions assigned by the ERA PMO	Is maintained and reflects all the actions assigned by the ERA PMO	Actions are actively worked and stated according to established processes and made	Action Item metrics and tracking is actively used to manage the program to minimize incomplete	An automated online tool allows assignees and managers to status, review, and manage

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
resolution rates, status compliance, open/closed)			available via reports on the portal and/or an accessible database	or late actions that impact program performance	action items centrally via the portal.
Team and Program metrics (Variety of program and project level metrics in metric repository)	Do not address significant areas of the contract	Measure critical program activities, but is not used throughout all areas.	All functional areas have baselined initial metrics to report at the program level and functional managers are statusing and using metrics to manage and improve processes	Regular program- level metric reviews are held where program and functional metrics are reviewed and actions assigned from trends detected.	Metrics have been collaborated and agreed upon by the contractor and PMO; PMO participates in metric reviews and metrics are available on the portal.
Communications plan (Customer Satisfaction surveys, number planned vs. actual)	Does not span the program and does not address PMO needs and is not effective in communicating program plans and objectives to stakeholders	Is minimally acceptable in adequately communicating most program plans and objectives to stakeholders, but is not proactive or timely in many cases.	Communications are timely and proactive to ensure stakeholders are provided with the information they need.	Proactively communicates all program plans, milestones, and objectives through a few key conduits. Additional ad hoc educational information is being provided to stakeholders as needed. Stakeholders are generally satisfied with the level and accuracy of communications.	A formal plan and schedule for communications and education of stakeholders has been developed and information is routinely and accurately disseminated in a wide breadth of conduits to ensure comprehensive communication of program plans and objectives to all stakeholders and the public.
Program portal (Hits, satisfaction surveys, most/least popular pages, refresh frequency)	Has not been established; data is being disseminated via e-mail and share drive access only	A Team Portal has been established online with critical information available to the contractor and PMO.	Portal contains critical and administrative data and some project data is being shared via the portal. An active content management process and working group is implemented.	All program critical, administrative, and project data is being shared and maintained active via the portal. Search engine capability has been established.	Portal functionality is expanded beyond simply providing shared documents and pages. Examples include, but are not limited to, consolidated calendar, metrics dashboard,

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding action items, etc.
Information Technology (IT) infrastructure for program use (Network and system availability, help desk tracking, performance measurements)	IT infrastructure is not effectively and/or timely deployed to all work locations and is causing numerous delays and data loss. PMO does not have adequate access to program information via the IT infrastructure	A basic IT infrastructure has been established and is adequate for the critical tasks required on the program. Backups are planned and executed to prevent loss of data. The help desk is in place and effective in tracking metrics for performance.	A robust stable IT infrastructure has been established. A seamless backup and recovery process is in place with no chance of data loss. All planned software tools for the program have been implemented. Customer is provided access to the system, as required, for insight and data sharing.	All required data and data repositories for the program have been loaded with live data and adequate user interfaces are being used to actively access the data and manage the program. No major deficiencies exist in any back office system. Document compatibility has been established and/or work around is provided (i.e., convert .doc files to .pdf files).	Metrics for system performance have been established and are being tracked and met on a continuous basis. A workforce collaboration system is in place allowing online project collaboration between team members.
Data Management (CDRL delivery rates, acceptance rates, quality rates, rework %)	Most deliverable data items are poor quality and/or delivered late and are not tracked. Archive and current version documents are not available in an online repository. Organized, centralized online storage for working project documents has not been established jeopardizing ability to recreate data.	The majority of deliverable data items are delivered on time and with adequate quality. Some documents are sent back for rework. Archive and current version documents are available online. Centralized online storage is available for project working documents.	The majority of deliverable data items are delivered on time with excellent quality. Very few documents are sent back for rework. Pre-delivery collaboration with the Government for reviews and input takes place on a regular basis.	Almost all deliverable data items are delivered on-time with little rework. An online project collaboration workspace for working documents is established and being used on a regular basis by project teams to share data. Most data is intuitively easy to find and review, as needed.	A functioning document management system/process for check-in, check-out of version controlled documents is established and working effectively to manage program documents. With rare exceptions, all data is delivered on-time and requires minimal, if any, rework.

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Protection of program assets (Security incidents, briefing and compliance tracking, audit results)	Security controls and processes are not in place or are not effective and/or timely.	Security control processes and procedures are in place and being effectively monitored and audited for compliance. Security personnel effectively function as the program representative to the Computer Incident Response Team. A security plan has been established. Security investigations are conducted when needed.	Audits are routine and shown to be effective in minimizing negative security trends. Only small non-impacting discrepancies or problems are discovered. Regular analysis of program data and functions takes place to ensure proper security guidelines are adhered to. Security investigations are comprehensive and timely.	Education and briefings of personnel are routinely used to ensure security awareness and compliance of all personnel. Yearly security testing of all personnel is conducted and documented.	Security personnel are proactive and innovative in maintaining awareness of security requirements. When problems are discovered, special education and awareness programs are quickly implemented to prevent reoccurrence.
Subcontract Management (Progress against goals, subcontractor quality results, audit results)	Does not meet small business goals. Subcontractor performance is poorly managed and results in significant impact to the program plan and schedules. Quality of subcontractor work products is poor.	Meets minimum subcontracting small business goals. Problems with subcontractors are usually effectively managed and are mostly transparent to the Government. No significant schedule or plan impact occurs. Quality inspections of delivered products are executed.	Subcontracting processes, reviews, and incentives have been established to maintain and improve contractor performance. Small business goals have been exceeded by 5%. Subcontractor performance problems are managed successfully in a timely manner with minimal impact to schedules and plans.	Proactively provides information related to subcontractor cost/ schedule problems. An effective quality process is in place at the subcontractor location and results in minimal defects discovered with delivered products. Monthly Status Reviews are held with subcontractors to discuss progress, performance, and plans.	Proactively monitors, corrects, and manages all subcontractors to the cost, schedule, and technical baselines. A proactive small business outreach program is in place to exceed small business goals by 10%. Provides resolution and risk mitigation plans associated with subcontractor performance when problems do occur.
Contract Management (Change Request)	Scope/requirement changes to the program are typically not well	Scope/requirement changes are properly coordinated and	A documented contractor change control process tracks	Most contract changes are pre-coordinated and submitted in a timely	Contract changes are managed and reported in an online repository

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
tracking)	coordinated or timely. Change Requests, when submitted, required significant rework. Communication with the CO is poor and untimely.	approved by the Government prior to starting work. Those impacted by an approved change are promptly notified. Communication with the CO is accomplished, as needed.	and ensures consistency, proper coordination, and standardization of change requests.	manner to prevent significant impact to the program. Communication with the CO is proactive, effective, and timely to prevent surprises and misunderstandings.	to ensure historical and electronic tracking of change requests. Reports, as needed, are available on the portal.
Quality Management (Corrective action Request tracking, Audits scheduled, Audit results, defects found, ISO9001 and Capability Maturity Model Integrated (CMMI) compliance)	An effective quality management program and plan is not in place resulting in significant quality problems with product and processes that significantly impact the program.	An ISO 9001 compliant quality management system is in place and executing. Audits are conducted and widely reported for key processes and products. Quality risks are identified and raised to management to take action. A corrective action system is in place. A quality management plan is developed and used. A clearly defined independent reporting chain is established for the QA function.	Inspection and peer review processes are in place and being followed for most deliverables and work products. Quality metrics are developed, reported, and reviewed with management. Action plans are developed and tracked to correct trends. Quality representation is present on all product Integrated Product Teams (IPTs) and critical program reviews.	Quality representatives proactively suggest and track improvements to processes they audit. Quality is rarely an issue with program deliverables. QA coordination and interaction with Government QA is frequent and collaborative. Most corrective actions are resolved in a timely manner.	A Capability Maturity Model Integrated (CMMI) compliant quality management system is in place. An online corrective action system is available via the portal to improve correction status and reporting. QA representatives from Lockheed Martin and the ERA Program Management Office (PMO) meet monthly to share issues and status.
Supply Chain Management (Audit results, inventory defects, Bill of Material defects, license utilization)	Contractor and/or Government hardware and software assets are not effectively controlled resulting in instances of loss and damage as well as	A Bill of Materials is developed and version controlled. Effective storage and control of assets prevents loss, damage, and inventory/version	Property and Bill of Material processes, forms, and control procedures are documented and in place, effectively preventing most	The Bill of Material is kept current and managed online in the configuration management tool. Problems with inventory are very rare.	The Bill of Material is linked and analyzed electronically to the architecture and deployment plans to ensure impacts of changes are properly

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
	inventory and version control problems that significantly impact cost, schedule, or technical performance.	problems. Information on inventory surplus is coordinated. A property control person has been designated for the program.	problems with inventory. Audits and inventories are scheduled and conducted. Software licenses and media are physically controlled and managed via a check-in, check-out process.	Reports are available to all personnel via the portal. Software and hardware inventory probes are conducted over the network to ensure compliance with the Bill of Material and licensing.	coordinated.

ERA Architecture and Evolution

Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Architecture Development (Increment 1) (Models developed, life cycle and Total Ownership Cost (TOC) tracking, change request tracking, % of architecture developed)	Architecture for Increment 1 not well defined or integrated risking non-compliance with the overall ERA architecture modeling. Lifecycle costs for Increment 1 Architecture are incomplete and/or inaccurate and lack performance measures for the increment. No plan or process for technology refresh exists. As a result, Preliminary Design Reviews and Critical Design Reviews were delayed and/or required extensive rework.	A comprehensive and technically viable Architecture has been developed and allocated for Increment 1 that is compliant with the ERA architecture and roadmap. Modeling and lifecycle TOC have been developed. Performance measurement allocations have been developed. Technology validation and refresh analysis has been conducted for compliance with evolution planning. ConOps and models updated as needed for Increment 1.	Effective and frequent Government, system engineering, and subject matter expert coordination and input for the Increment architecture occurred continuously throughout the process. Any architecture issues were resolved without significantly impacting design reviews. Ongoing collaboration with research and industry sources for technology refresh is routine.	Selected Increment architecture and allocation of performance measures and lifecycle costs represents significant understanding and validation of ERA requirements, priorities, and processes and required only minimal Government support. Cost as an Independent Variable (CAIV) principles were employed to ensure Increment 1 architecture represents the best value solution.	Innovative solutions were collaborated, influenced, analyzed, and developed, if indicated, that reduced cost, schedule, and technical risk for the Increment 1 Architecture. The Systems Engineering Management Plan has been updated to reflect lessons learned from the increment design reviews. Analyses of changes were thorough and timely, avoiding any significant unplanned cost or schedule issues.

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ERA System Engineering Integration and Test

Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Systems Engineering SW-CMM metrics, technical measurement tracking, change request tracking, allocation traceability, compliance audit results)	Contractor lacks standard engineering processes, tools, and metrics. Poor coordination and analysis of designs result in continuous rework and re-planning for Increment 1. Technical measurements are not identified.	Systems Engineering enforces standard and tailored hardware and software engineering and development processes/planning for Increment 1. Project risks are identified and mitigation plans are in place for critical risks. Design and performance requirements are adequately allocated and approved for Increment 1. Technical measurements have been identified. Systems Engineering is represented at all Increment 1 Integrated Product Teams (IPTs).	Innovative Systems Engineering approaches and collaboration resolved/avoided problems and/or reduced cost, scheduled, or technical risk or Lifecycle Total Ownership Cost for Increment 1. All Technical measurements are tracked and reported to management. Common engineering tools are established and in use. Mitigation plans are in place for all identified risks. The design and performance requirement set is accurate and comprehensive.	Engineering metrics are developed and being used to manage project performance and status. Engineering tools are integrated where beneficial and cost effective. The System Engineering Management Plan (SEMP) is updated for lessons learned. Technical measurement metrics are used to manage and improve project execution.	Action Plans for TPMs/KPPs and other SE metrics are established based on negative trends developed and results are monitored.
CM (Audit results, Problem Tracking Report (PTR) tracking, Change Requests (CRs), Configuration Status Accounting	Baselines are out of date and obsolete. No effective CM control is causing rework and schedule delays. Individual tasks are continuously finding discrepancies that have to be resolved before moving forward. No	Program CM processes are in place. Baseline repository exists and is in use. A problem tracking report system is in place and being used.	Project CM control through the baseline tool is in place and institutionalized and strictly enforced. Personnel are trained in CM tool usage. Status accounting reports are routinely produced and posted on the portal.	CM metrics are developed and tracked to manage the CM processes. Results of audits and discrepancy reports are actively used to improve CM processes and baseline integrity. A defined process for software	Software Development and Configuration Management (CM) processes used for Increment 1 are fully compliant with SW-CMMI. Rigid change identification and control of baselines is developed and

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
(CSA) accuracy, baseline accuracy)	audits are performed on a regular basis.		Functional and Physical Configuration audits are conducted. PTR metrics are tracked and identify potential problems that can jeopardize milestones.	build control is developed and strictly enforced.	maintained preventing any significant CM related problems. Configuration audits rarely, if ever, find any discrepancies with expected vs. actual baselines.
Requirements Management (Change requests, changes, adds, moves, deletes, audit results)	System Requirements have not been adequately identified and/or allocated to Increment 1 resulting in a failure to satisfy customer requirements. No requirements repository is established to document traceability. External interfaces have not been adequately identified, increasing the risk of integration to unacceptable levels.	Baseline requirements have been adequately identified, developed, and allocated to Increment 1. Traceability from source to design components has been established in a requirements repository. All requirements are testable and verifiable and required external interfaces have been identified and defined to the level that enables successful integration and design reviews.	The requirements change process for Increment 1 is integrated with the program CM system. Increment baselines and changes are kept current. Reports are made available, as needed. A requirements verification matrix has been implemented. Requirement reviews and approvals are timely enough to prevent impact to schedules. A requirement management tool is in place and personnel are trained.	Increment 1 requirements metrics are established and trended to manage and improve requirements processes. Metrics and standard requirements reports are always available to the PMO online. Ad hoc reports are available as needed in a timely manner.	An end-to-end requirements management tool provides complete and up-to-date insight to baseline requirements and all pending changes. Changes are managed within the tool for up-to-date status during the entire change process. The tool supports easy access and ad hoc user reporting in real time.
System Design	System design and documentation is not analyzed and updated for impacts and changes driven by Increment 1.	Increment 1 design is integrated with and meets minimum system and interface requirements.	System design is adequately represented at all design reviews and Increment 1 Integrated Product Teams (IPTs). Design Tool is in place	System Design engineers ensure system design standards and specifications for flexibility, scalability, bandwidth, reliability, availability, and other	System design lessons learned from Increment 1 design reviews is incorporated into the process improvements for future increments. Design standards for

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good and institutionalized.	Very Good critical system design criteria are fully integrated within the Increment 1 design.	Outstanding ERA have been developed and documented.
Integration and Test	TBD for next award fee period				
Acceptance Test Support	TBD for next award fee period				
Organizational Change Management (OCM)					
Leadership	Lack of plans or activities that precipitate active and visible leadership involvement in ERA decision making	Minimal amount of leadership activities to engage leadership in ERA decisions, but is not proactive or timely.	Well developed leadership activities to ensure leadership is consistently involved in ERA decision making and validation	Proactively develops and promotes leadership engagement in ERA decision making and promotes leadership involvement in advocating ERA with NARA staff	A formal strategy and plans to encourage leadership involvement in decision-making and advocacy of ERA among NARA staff and external stakeholders

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Community Outreach/communications	Does not span the program and is not effective in communicating program plans and objectives to stakeholders external to NARA	Is minimally acceptable in adequately communicating most program plans and objectives to stakeholders external to NARA, but is not proactive or timely in many cases.	Communications are timely and proactive to ensure stakeholders within and external to NARA are provided with the information they need.	Proactively communicates all program plans, milestones, and objectives through a few key conduits. Additional ad hoc educational information is being provided to stakeholders external to NARA as needed.	A formal plan and schedule for communications and education of stakeholders has been developed. Information is routinely and accurately disseminated in a number of conduits to provide comprehensive communication of program plans and objectives to all stakeholders. Internal and external stakeholder involvement in validation of ERA system. Stakeholders are generally satisfied with the level and accuracy of communications
Organization Design (applicable to latter Award Fee periods)	Does not identify or address organization design implications of ERA.	Minimally identifies organization design implications of ERA. No recommendations made to address organizational design implications.	Organizational design implications fully identified and future organizational structure design points developed.	Organizational design points fully vetted with NARA leadership and necessary policy changes identified and recommended	Future organizational design structure with accompanying policy and procedure recommendations vetted by NARA leadership
Human Capital Management/Workforce Transition	ERA impacts on workforce not identified or addressed.	ERA impacts on workforce identified. Minimal activities to address workforce	ERA impacts on workforce are identified and addressed through job and competency	Proactively define jobs and competencies that align with the new organization model.	New jobs and competencies aligned with the new organization model.

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
(applicable to latter Award Fee periods)		implications.	definition activities.		Workforce Transition Plan in place to assist NARA employees transition to new jobs or functions.
Training (applicable to latter Award Fee periods)	Does not incorporate all system transactions or new policies and procedures needed to be learned by ERA users	Incorporates system navigation training only and is not timely or proactive	Incorporates system navigation training, as well as training on new policies and procedures.	Proactive system and policies and procedures training. Additional ad hoc or educational workshops conducted as needed.	A formal training plan (including curriculum) by job position. System and policies and procedures training is executed according to the training plan. Multiple training vehicles used to reach an audience with diverse training needs.

ERA Solution Development

Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
System Development (Allocations, rework rates, compliance rates, % of reuse/Customer Off The Shelf (COTS), ownership costs, quality audit results)	Increment 1 fails to meet minimal requirements and/or requires rework that severely impacts schedule and cost. System Design documentation is poor requiring considerable rework.	Increment 1 design meets minimum system and interface requirements. Critical risks have been identified and mitigated. Allocated requirements are easily traceable to design components. Design reviews are conducted as scheduled but some rework is required. Specialty	Increment 1 design meets requirements within TOC and performance requirements with no significant impact to cost and schedule. Design reviews are collaborative and comprehensive and result in little rework. Standard and consistent design processes are	Increment 1 design shows innovation and meets or exceeds requirements. Design shows significant understanding of design requirements for scalability, bandwidth, and flexibility resulting in some lowered lifecycle costs. Identified solutions were effective, resulting	Increment 1 design implements innovative and state-of-the-art solutions based on comprehensive technology research and collaboration with vendors and research groups. Design significantly lowers the cost of ownership and significantly raises service to customers.

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
		(security, human factors, etc.) engineering factors have been considered and incorporated in the design. Design is compliant with program standards. System design documentation provides clear and comprehensive descriptions of the proposed design. Release management is effective.	utilized to produce the design. Risks have been identified and mitigation plans established. Change requests are processed in a timely manner and are tightly controlled. Design documentation is fully collaborated with the customer to ensure acceptance at design reviews. Management is proactive in controlling the project.	in savings of time, money, manpower, or improvements in service. Release managers actively utilize metrics to manage and improve performance. Code reuse and COTS software have been considered and integrated where appropriate.	Lessons learned are recorded and applied to future increment design efforts.

ERA System Deployment

Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Deployment Management	There is little or no insight to deployment planning or status provided to NARA. There is no documented planning started for the first deployment. No metrics have been developed to track task performance.	A deployment and transition plan has been developed and peer reviewed. Dependencies have been identified. Critical risks to the first deployment are identified. Training material has been developed. A project IPT has been established and is effectively planning and executing the first deployment. Site survey took place on schedule.	All risks have been identified and have effective mitigation plans. Status of dependencies is being tracked. Metrics have been defined to measure task performance. Facility planning is in progress. Training requirements have been identified. Deployment status and information is routinely presented at program reviews.	Metrics are being used to improve performance when negative trends are noted. The deployment and transition plan has been submitted ahead of schedule. Training material has been developed. Effective communications with deployment sites is taking place. Site survey for first deployment is detailed, comprehensive, accurate, and well-	Lessons learned from activities are routinely captured used to improve future deployments. Lockheed Martin risk mitigations have avoided cost and schedule impacts. Proactive and regular communications are occurring with deployment sites. All problems are communicated in a collaborative and timely

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Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
				documented.	
Deploy ERA Systems	TBD until applicable performance period				
Retrofit/ Expansion	TBD until applicable performance period				

System Operation and Support

Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Systems Operations & Support Management	There is little or no insight to Operations and Support planning or status provided to NARA. There is no documented planning started for the first installation and operations and maintenance instance.	The Operations and Support Plan has been developed and peer reviewed. Critical operational risks have all been identified and have established mitigation plans that are being actively worked. A maintenance and management infrastructure has been developed and staffing requirements identified.	All operations and maintenance risks have been identified and have effective mitigation plans. Training requirements have been identified. A preventive maintenance program has been planned. An effective CM control process has been developed for the coming installation and support environment. A Security Plan for the first instance location has been drafted.	Metrics have been developed to track Operations and Support task performance when it begins. Operations and Support status and information are routinely briefed to Stakeholders. Collaborative communications is taking place with site personnel. An Operations and Support IPT is formed and is represented on other ERA IPTs to ensure support issues are coordinated early in design and deployment.	Lessons learned are routinely captured and used to improve operations and support services. Proactive security risk assessments have been conducted to identify security deficiencies prior to installation.

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ATTACHMENT B. SCHEDULE PERFORMANCE CRITERIA

Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Integrated Schedule Management (Schedule churn, status compliance, late starts and finish, re-plans required)	Is not current, not updated regularly, or does not reflect significant program activities. Is not used to actively manage the program.	Is maintained current by all project managers to show progress and plans. Managers use the Integrated Schedule in day-to-day management of the program. Schedulers analyze schedules and provide analysis of problems and trends to management	Is integrated with the EVM system. Critical path is developed and maintained current and negative changes are immediately reported to the PMO. All internal dependencies are identified and tracked. Current status is reported at all scheduled program reviews.	Is available through the ERA program management portal. Meets most milestones in the Integrated Schedule. When rescheduling is required, contingency plans are generated and provided in ample time to mitigate risks to the program. Schedule changes do not adversely impact the Government.	Meets all critical milestones in the Integrated Schedule. Shows clear knowledge, understanding, and management of the critical path. All external dependencies are identified and tracked to ensure minimal impact to the schedule.
Performance to Schedule (as measured by SPI)	Program SPI for period is less than .90	Program SPI for period is greater than .90	Program SPI for period is greater than .95	Program SPI for period is greater than .97	Program SPI for period is greater than .98

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ATTACHMENT C. COST PERFORMANCE CRITERIA

Performance Aspect	Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
Earned Value Management (EVM) and	Has not been established and/or maintained per EIA Standard 748A and does not give enough insight to manage the program financial and schedule performance effectively	At the Integrated Baseline Review (IBR), all budgets are allocated, and EVM processes are developed and in use. Cost Account Managers (CAMs) have established and spread their budgets and validated that budgets are adequate to meet contract performance requirements. Cost reporting is timely with few errors and provides accurate insight to contract performance.	At IBR, CAMs have already been well-trained in EVM and variance reporting. Cost reporting, with rare exceptions, is accurate. Issues are resolved in a timely manner.	EVM budgets and schedules are baselined and tracked prior to IBR to minimize the time that EVM and schedule reporting is not in use. Lessons learned and action items are effectively used to prevent future errors and process problems.	Online tools are established that improve financial information, accessibility, accuracy, and help streamline the control, Estimate to Complete (ETC), insight, and variance reporting processes for both the contractor and Government.
Cost Performance (as measured by CPI)	Program CPI for period is less than .90	Program CPI for period is .90 or higher	Program CPI for each month is .95 or higher	Program CPI for period is .975 or higher	Program CPI for period is .99 or higher

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ATTACHMENT D. INCREMENT 1 SYSTEM PERFORMANCE OBJECTIVES

Owning CWBS	KPP/TPM Summary Description	Award Fee Considerations, segmentations, and government participation	Threshold				
			Poor/Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
4100	Record types that can be archived at each of three service levels (absolute number, percentage of record types identified as needing to be archived, and percentage weighted by the number of records within each record type)	Award fee addresses percent of record types that can be archived at preservation level planned for 2007 (as documented in system evolution plan)	<40%	40%	50%	60%	70%
4100	Records that have been archived but whose format is now due to be transformed to new persistent format (expressed as percentage of records)	Empirical data not available at IOC + six months because insufficient records and record types will have been ingested and placed under ERA management	Cannot evaluate definitively at IOC + six months				
4100	Percentage of electronic records that are accessioned via processes outside of ERA as a percentage of total electronic records accessioned.	Award fee considers effect of NARA staffing vis-à-vis performance model Considers only those records whose accession initiates post IOC Dependent on NARA Workforce Transformation effectiveness	>20%	20%	10%	5%	0%

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Owning CWBS	KPP/TPM Summary Description	Award Fee Considerations, segmentations, and government participation	Threshold				
			Poor/Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
4100	Backlog of records to be ingested into ERA, i.e., records that are waiting ingest and completion of descriptive data (backlog at start of ERA contract plus new receipts).	Goal to be established by mutual agreement during Increment 1 Release 1 CDR	TBD prior to CDR	TBD prior to CDR	TBD prior to CDR	TBD prior to CDR	TBD prior to CDR
4100	Median time to accession record data post record receipt.	Includes only records received post IOC Considers NARA staffing vis-à-vis performance model	110 days	95-110 days	80-95 days	65-80 days	50-65 days
3300	System performance feedback (pre- and post-deployment).	Defined using scale of 1 to 10 (ten being optimal) Excludes responses to NARA research help desk. Requires NARA concurrence on questionnaire content	<2.5	2.5 – 4.0	4.0 – 6.0	6.0 – 7.5	>7.5
4100	Timeliness of the records scheduling efforts (from submittal of the schedule request to NARA approval) – mean number of business days	NARA has trained archivists staff that meets performance model Excludes public comment period. Addresses only Schedules submitted via ERA Must include analytical projections since six months is insufficient time to collect substantive actual performance data	Determine criteria by mutual agreement prior to Release 1 CDR. Lockheed Martin needs access to historical performance data from NARA to refine; however, the performance threshold has been a 10% reduction in the process time with each increment, based on ERA capabilities, NARA staff proficiency with ERA increases, originating agency usage, and benefits of eRegulation.gov and eDockets.				

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Owning CWBS	KPP/TPM Summary Description	Award Fee Considerations, segmentations, and government participation	Threshold				
			Poor/Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
4100	Percentage of SF 115s submitted via ERA rather than on paper or other means;	Excludes agencies that have not obtained ERA accounts (NARA Outreach dependency) Includes only schedules submitted post IOC	<25%	25 – 40%	40 – 60%	60 – 75% %	>75%
4300	Calendar days (median) of the review and redaction time.	Review and Redaction, though supported by Increment 1, is not sufficiently implemented in Increment 1 see measurable effects within 6 months of IOC.	Cannot evaluate definitively at IOC + six months				
3300	Indications of the number of concurrent Archivists, Preservers, Access Reviewers, and Researchers supported by ERA.	Measured in relationship to the system performance Model of required numbers. Adjusted by NARA to consider availability of archivist personnel	<90%	90%	100%	105%	110%
3300	Indications of the system availability to Archivists, Preservers, Access Reviewers, and Researchers	LM will perform planned system maintenance outside normal business hours. Assumes NARA staff needs access during business hours (e.g., 0600 – 2100 ET)	<85%	85%	90%	96%	98%
4300	Indications of the system response time for Researchers	It is not expected that there will be sufficient Researchers using ERA at IOC + 6 months to assess dissemination results	Not evaluatable at IOC + six months				

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Owning CWBS	KPP/TPM Summary Description	Award Fee Considerations, segmentations, and government participation	Threshold				
			Poor/Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
4300	Median dissemination time from request to delivery of record.	It is not expected that there will be sufficient Researchers using ERA at IOC + 6 months to assess dissemination results	Cannot evaluate definitively at IOC + six months				
4500	Indications of the bandwidth availability to meet normal and 95% confidence level surge demands.	Excludes NARA-Net performance except to the extent that Lockheed Martin has defined the necessary capacity and NARA has provided the defined capacity	Bandwidth availability does not meet the baselined performance model needs in manner that affects archivist performance	Bandwidth is available to meet system model	Bandwidth is available to meet system model and actual usage demands; reductions in bandwidth below model do not affect archivist performance	Bandwidth is available to meet system model, actual usage and planned growth over future six months	Bandwidth is available to meet performance needs and can be adjusted to improve operational efficiency
4200	Indications of the number of days of available storage capacity, to meet the expected ingest, preservation, and mediated response requests.		Storage availability does not meet the baselined performance model needs in manner that affects archivist performance	Storage is available to meet system model of planned ingest rates	Storage is available to meet system model or planned ingest rates and actual usage demands	Storage is available to meet system model of planned ingest rates, actual usage and planned growth over future six months	Storage is available to meet performance needs and can be adjusted to improve operational efficiency

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Owning CWBS	KPP/TPM Summary Description	Award Fee Considerations, segmentations, and government participation	Threshold				
			Poor/Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
4200	Indications of the cache margin and allocation of near and deep storage.	Since there will not be significant researcher demand on the system until Archivist staff has ingested records, this will be a qualitative and analytical assessment of the expected performance effectiveness and efficiency	Cache allocation, technology, or implementation adversely impacts performance	System performance is not precluded by availability or allocation of cache or by cache technologies and implementation	Cache allocation, technology and implementation support effective and responsive system usage	Cache functions to enhance system response times	Cache functions to enhance performance and <i>can</i> be reallocated to balance cost and performance (although in this performance period no such balancing may actually be required)

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Owning CWBS	KPP/TPM Summary Description	Award Fee Considerations, segmentations, and government participation	Threshold				
			Poor/Unsatisfactory	Satisfactory	Good	Very Good	Outstanding
2000	Discounted marginal cost of next GB of storage (i.e., the discounted future life cycle cost for the deployed system divided by the current storage plus one GB); stratify marginal cost by classified, SBU and FRC; archive and FRC, and total enterprise	At six months post IOC, there will still be insufficient records ingested over which to distribute the fixed costs of the storage. Requires a qualitative assessment as to the progress toward achieving the targeted storage costs Requires that NARA has staff consistent with performance model. Dependent on initial characterization of data and consensus on planned sequencing of data ingest and NARA activities remains consistent with plan. Includes only archiving via ERA and not support to other electronic archiving systems	Cannot perform analyses and/or the support costs. Will not achieve future targets	Managerial costs. Computations can be performed and supported with objective analysis of empirical and predictive data.	Analyses indicate that the system can achieve targets for 2007 marginal costs	Analyses indicate that the system can achieve targets for 2008 marginal costs without delivery of Increment 2	Analyses indicate that the system can achieve targets for 2008 marginal costs prior to delivery of Increment 2

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APPENDIX 2 – PMS

ERA-1 PERCENTAGE OF SCHEDULED ARCHIVAL ELECTRONIC RECORDS (ERS)
ACCESSIONED AT THE SCHEDULED TIME

PGS & SOO Text

Purpose: This target metric is a measure of NARA's success in accessioning electronic records.

	Measure	Definition
A	Total number of electronic records scheduled to be accessioned	
B	Number of electronic records accessioned (Actual)	
C	Percent of electronic records that were accessioned at the scheduled time	$C = \frac{B}{A} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
1	Percentage of scheduled archival electronic records accessioned by NARA at the scheduled time [NARA Strategic Long-Range Performance Target 2.2]	40%	60%	80%	85%	88%	92%	95%

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
1	HI	HI		MD/HI			

Contractor Participation

A - ERA Contractor performance includes

- Transition into ERA control (management) of existing schedules for electronic records
 - Report of schedules (and estimates related electronic records) that do not achieve successful transition to ERA
- Creation within ERA of new schedules for electronic records
- Reports to provide accounting (estimations) of electronic records that are scheduled to be accessioned by ERA

B - ERA Contractor performance includes

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- Reports to provide accounting of
 - Electronic records submitted within schedule parameters
 - Electronic records submitted outside of schedule parameters
 - Electronic records submitted but do not conform to the transfer agreement(s)
 - Electronic records submitted and successfully accessioned
 - Electronic records submitted requiring manual intervention to reach accession
 - Electronic records submitted for accessioning without deterministic schedule information
- Metrics on system performance (durations, backlogs) from submission through accession for automated and manual intervention required operations

NARA/Other Government Entity Participation

A - NARA/Other Government Entity performance includes

- Availability of legacy schedules for transition to ERA
- Support of schedule transition to ERA
- Support to create new schedules via ERA, through the approval process

B - NARA/Other Government Entity performance includes

- Timely delivery of electronic records according to schedule expectations
- Coordination of transfer mechanism(s) for delivery of records for accessioning (e.g. Transferring Entity system external interface conformance, media conformance, data structure conformance)
- Support for issue resolution during records ingest through to accessioning

Quantification

A1 – Estimated number of electronic records scheduled to be accessioned, within an ERA managed scheduling service

A2 – Estimated number of electronic records scheduled to be accessioned, that did not achieve successful transition to an ERA managed scheduling service

B1 - Electronic records submitted and accessioned successfully according schedule parameters ("on time") as managed by ERA scheduling services, and in conformance with their transfer agreement(s)

B2 - Electronic records submitted successfully that do not conform to schedule parameters as managed by ERA scheduling services

B3 - Electronic records submitted according schedule parameters as managed by ERA scheduling services, but do not conform to their transfer agreement(s)

B4 - Electronic records submitted and accessioned successfully according schedule parameters as managed by ERA scheduling services, and in conformance with their transfer agreement(s), requiring manual intervention

B5 - Electronic records submitted for accessioning without deterministic schedule information

Available Calculations:

Success rate for ERA managed scheduled records

$$C1 = B1 / A1$$

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Off-cycle Processing Impact factor for ERA managed scheduled records

$$C2 = B2 / A1$$

Transfer Agreement Issues Rate for ERA managed scheduled records

$$C3 = B3/A1$$

Rate of Manual Intervention in successful accessions for ERA managed scheduled records

$$C4 = B4 / A1$$

Unscheduled Electronic Records submissions rate

$$C5 = B5 / (A1 + A2)$$

$$C6 = (B1 + B2 + B3 + B5) / (A1 + A2)$$

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ERA-2 PERCENTAGE OF ELECTRONIC HOLDINGS MANAGED AT THE PLANNED PRESERVATION AND ACCESS LEVEL

PGS & SOO Text

Purpose: This target metric is a measure of NARA's ability to preserve electronic records effectively.

	Measure	Definition
A	Total number of electronic records holdings	
B	Number of electronic records holdings managed at the planned Preservation and Access Level	
C	Percent of electronic records holdings managed at the appropriate level identified in their associated Preservation and Access Plan	$C = \frac{B}{A} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
2	Percentage of archival electronic holdings managed at the planned Preservation and Access Level [NARA Strategic Long-Range Performance Target 2.3]	40%	60%	80%	85%	88%	92%	95%

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
2		HI	HI	MD			

Contractor Participation

A - ERA Contractor performance includes

- Reports to provide accounting of accessioned electronic records that have reached archival storage within ERA control at the basic level (e.g. original formats)

B - ERA Contractor performance includes

- Reports to provide accounting of

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- Accessioned electronic records managed at the planned level according to their Preservation and Service Plan.
- Accessioned electronic records not managed at their planned level pending actions outside the control or influence of ERA (e.g. lack of approved Persistent Object Format)

NARA/Other Government Entity Participation

A - NARA/Other Government Entity performance includes

- Availability of non-ERA electronic records holdings for transition to ERA

B - NARA/Other Government Entity performance includes

- Agreement on Preservation and Service Plan aspects beyond "Basic"
- Support for and approval of Persistent Object Format definitions.
- Availability of resources to evaluate executed transformations

Quantification

A1 - accessioned electronic records that have reached archival storage within ERA control at the basic level (e.g. original formats)

B1 - Accessioned electronic records managed at the planned level according to their Preservation and Service Plan

B2 - Accessioned electronic records not managed at their planned level pending actions outside the control or influence of ERA (e.g. lack of approved Persistent Object Format)

Available Calculations:

Archival electronic holdings managed at the planned Preservation and Access Level within ERA

$$C1 = B1 / A1$$

Backlog of archival electronic holdings reaching their managed at the planned Preservation and Access Level within ERA, pending actions outside the control or influence of ERA (e.g. lack of approved Persistent Object Format)

$$C2 = B2 / A1$$



ERA-3 PERCENTAGE OF CUSTOMERS SATISFIED WITH NARA SCHEDULING AND APPRAISAL SERVICES

PGS & SOO Text

Purpose: This target metric is a measure of the effectiveness of changes to the records scheduling and appraisal process as it relates to customer satisfaction.

	Measure	Definition
A	Total number of customers	
B	Number of customers that are satisfied with NARA scheduling and appraisal services	
C	Percent of Customer Satisfaction	$C = \frac{B}{A} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
3	Percentage of Federal Agencies satisfied with NARA scheduling and appraisal services [NARA Strategic Long-Range Performance Target 1.3]	50%	60%	95%	95%	95%	95%	95%

[Definitions:

- *Customer:* anyone who uses ERA services. Customer categories are defined by the Office of Management and Budget (OMB) in the Government Paperwork Elimination Act (GPEA) guidance. There are four (4) categories used by NARA, excluding internal NARA services.
 - Internal: internal Federal Government work, including interagency work
 - Business: NARA services provided to for-profit businesses
 - Citizen: NARA services provided to private citizens or individuals
 - Government: NARA services provided to local or state governments or non-profit institutions.]

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ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
3		HI					

Contractor Participation

A - ERA Contractor performance includes

- Reports to provide
 - Accounting of customers that use ERA services for scheduling and/or appraisal.
 - Summary level accounting of the level of usage of ERA services by categories (e.g.: NARA vs external, by Agency, by orders of magnitude of records managed, etc.)

B - ERA Contractor performance includes

- Facilitation and collection of survey data to evaluate customer satisfaction levels with ERA service provision for scheduling and appraisal independent of NARA policy and procedures.
- Facilitation and collection of survey data to evaluate customer satisfaction levels with NARA policy and procedures for scheduling and appraisal, independent of ERA service provision.
- Provision for feedback mechanism for customer improvement suggestions
- Reports to provide metrics on execution of and backlog for scheduling and appraisal tasks within ERA.

NARA/Other Government Entity Participation

A/B - NARA/Other Government Entity performance includes

- Establishment of relevant satisfaction levels of same customer base for pre-ERA scheduling and appraisal services.

Quantification

A1a – Internal customers that use ERA services for scheduling and/or appraisal

A1a# - Category of internal customers that use ERA services for scheduling and/or appraisal (categories TBD)

A1b – Business customers that use ERA services for scheduling and/or appraisal

A1c – Citizen customers that use ERA services for scheduling and/or appraisal

A1d – Government (State/Local) customers that use ERA services for scheduling and/or appraisal

A2# (a/b/c/d) – customers (of type) responding to survey, that also use ERA services for scheduling and/or appraisal

B1# (a/b/c/d) – Customers satisfied with ERA services for scheduling and appraisal independent of NARA policy / process

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B2# (a/b/c/d) - Customers satisfied with NARA policy / process for scheduling and appraisal independent of ERA services

Available Calculations:

Customer satisfaction rate with ERA services for scheduling and appraisal independent of NARA policy / process

$$C1\# = B1\# / A2\# (\# \rightarrow \text{one of a/b/c/d})$$

Customer satisfaction rate with NARA policy / process for scheduling and appraisal independent of ERA services

$$C2\# = B2\# / A2\# (\# \rightarrow \text{one of a/b/c/d})$$

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ERA-4 PERCENTAGE OF CUSTOMERS SATISFIED WITH ERA SERVICES

PGS & SOO Text

Purpose: This indicator metric is a measure of the percentage of customers that are satisfied with using ERA services (specifically the ERA system's performance (including availability, capacity, ease of use, etc.).

Definitions:

- *Customer:* anyone who uses ERA services. Customer categories are defined by the Office of Management and Budget (OMB) in the Government Paperwork Elimination Act (GPEA) guidance. There are four (4) categories used by NARA, excluding internal NARA services.
 - Internal: internal Federal Government work, including interagency work
 - Business: NARA services provided to for-profit businesses
 - Citizen: NARA services provided to private citizens or individuals
 - Government: NARA services provided to local or state governments or non-profit institutions.

	Measure	Definition
A	Total number of customers using ERA services	
B	Number of customers that are satisfied using ERA services	
C	Percent of customers satisfied using ERA services	$C = \frac{B}{A} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
4	Percentage of customers satisfied with ERA services [Related to NARA Strategic Long-Range Performance Target 2.3]	Not applicable	55%	75%	80%	85%	90%	95%

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
4	✓	✓	✓	✓	✓	✓	✓

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Contractor Participation

A - ERA Contractor performance includes

- Reports to provide
 - Accounting of customers that use ERA services for selected primary services used by each customer group
 - Summary level accounting of the level of usage of ERA services by categories (e.g.: NARA vs external, by Agency, by orders of magnitude of records managed, etc.)

B - ERA Contractor performance includes

- Facilitation and collection of survey data to evaluate customer satisfaction levels with selected ERA service provision independent of NARA policy and procedures.
- Facilitation and collection of survey data to evaluate customer satisfaction levels with NARA policy and procedures, independent of ERA service provision.
- Provision for feedback mechanism for customer improvement suggestions
- Reports to provide metrics on execution of and backlog for selected primary service tasks within ERA.

NARA/Other Government Entity Participation

A/B - NARA/Other Government Entity performance includes

- Establishment of relevant satisfaction levels of same customer base for pre-ERA services.

Quantification

A1#-TBD (a/b/c/d) - Customers (of type) that use ERA selected (TBD) service

A2#-TBD (a/b/c/d) - Customers (of type) responding to survey, that also use ERA selected (TBD) service

B1#-TBD (a/b/c/d) - Customers satisfied with selected ERA services for TBD independent of NARA policy / process

B2#-TBD (a/b/c/d) - Customers satisfied with NARA policy / process for TBD independent of ERA services

Available Calculations:

Customer satisfaction rate with ERA services for TBD independent of NARA policy / process

$$C1\#-TBD = B1\#-TBD / A2\#-TBD (\# \rightarrow \text{one of a/b/c/d})$$

Customer satisfaction rate with NARA policy / process for TBD independent of ERA services

$$C2\#-TBD = B2\#-TBD / A2\# -TBD (\# \rightarrow \text{one of a/b/c/d})$$

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ERA-5 PERCENTAGE OF ELECTRONIC RECORDS HOLDINGS AVAILABLE ONLINE

PGS & SOO Text

Purpose: To measure the efficiency of NARA to make electronic records holdings available online. This includes access to restricted assets by authorized users.

	Measure	Definition
A	Number of electronic records holdings that are available online	
B	Total number of electronic records holdings	
C	Percent of electronic records holdings available online	$C = \frac{A}{B} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
5	Percentage of electronic records open and available online [Related to NARA Strategic Long-Range Performance Target 2.3]	5%	10%	15%	25%	40%	60%	85%

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
5				MD	HI		

Contractor Participation

A - ERA Contractor performance includes

- Reports to provide accounting of electronic records that can be accessed through Dissemination services by users authorized to access said records, broken down by access restriction categories
 - Accessible directly by identifiers and/or hierarchical descriptors
 - Accessible directly through search of metadata/reference information

B - ERA Contractor performance includes

- Reports to provide accounting of electronic records that have been accessioned into Archival Storage, broken down by access restriction categories.

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NARA/Other Government Entity Participation

A/B - NARA/Other Government Entity performance includes

- Provision of resources to generate/approve electronic records descriptions.

Quantification

A1# - Count of electronic records that can be accessed through Dissemination services by users authorized to access said records (# = access restriction category 1 to n) directly by identifiers and/or hierarchical descriptors

A2# - Count of electronic records that can be accessed through Dissemination services by users authorized to access said records (# = access restriction category 1 to n) directly through search of metadata/reference information

B1# - Count of electronic records that have been accessioned into Archival Storage (# = access restriction category 1 to n)

Available Calculations:

Rate of electronic records accessible directly by identifiers and/or hierarchical descriptors

$$C1\# = A1\# / B1\# \text{ (# = one access restriction category 1 to n)}$$

Rate of electronic records accessible directly through search of metadata/reference information

$$C2\# = A2\# / B1\# \text{ (# = one access restriction category 1 to n)}$$

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ERA-6 MEDIAN TIME TO COMPLETE REVIEW AND REDACTION OF ACCESS RESTRICTED ERS

PGS & SOO Text

Purpose: This target metric is a measure of the time it takes NARA to perform and complete a review and redaction of access restricted electronic records and make them available to the public.

	Measure	Definition
A	Date that the request for an access restricted electronic record was made	
B	Completion date for the review, redaction, and accessibility of an access restricted electronic record	
C	Median number of calendar days from the date an access restricted electronic record is requested to the time it has been reviewed, redacted, and made accessible to the public	

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
6	Median time to complete review and redaction of access restricted electronic records [Related to NARA Strategic Long-Range Performance Goals 3.4, 3.5, 3.6]	Establish baseline	25 days	15 days	13 days	11 days	9 days	7 days

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
6		HI		LO	LO		

Contractor Participation

C - ERA Contractor performance includes

- Reports to provide accounting of durations of steps performed after an electronic records access request has been initiated, broken down by access restriction categories
 - Days from access request receipt to initiation of electronic records review
 - Days from initiation of electronic records review to closure of review, excluding days awaiting equity holder review.
 - Days from initiation of redaction request to redaction completion.

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- Days from redaction completion to provisioning/dissemination of redacted electronic record(s)
- Reports to provide accounting of backlog of access review cases at each major process step awaiting user action/intervention, broken down by access restriction categories
- Reports to account for the quantities of access review requests by submission method (e.g. paper, email, online)
- Reports to account for the quantities of electronic records reviewed for each request submitted.

NARA/Other Government Entity Participation

C - NARA/Other Government Entity performance includes

- Provision of resources to perform access reviews for electronic records, both NARA and associated equity holder agencies.
- Provision of resources to approve release of redacted forms of electronic records.

Quantification

A_n – Day of receipt of access request 'n' for electronic record(s)

B_n - Completion date per access request 'n' for the review, redaction, and accessibility of access restricted electronic record(s)

D_n – Duration in Days from request for equity holder review until completion of equity holder review, per access request 'n'.

Available Calculations:

C1# - Mean number of days for completion of access review cases (# = one access restriction category 1 to m, most restrictive takes precedence) less equity holder review time.

$$\bar{C}\# = \frac{\sum_n (B_n - A_n - D_n)_n}{n}$$

C2# - Median number of days for completion of access review cases (# = one access restriction category 1 to m, most restrictive takes precedence) less equity holder review time.

$$C_{\text{median}}\# = (B_i - A_i - D_i)$$

where $i = n/2$,

all calculated values of C_{median} are sorted by duration and

= one access restriction category 1 to m, most restrictive takes precedence)

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ERA-7 PERCENTAGE OF HOLDINGS FOR WHICH DESCRIPTIVE INFORMATION IS AVAILABLE

PGS & SOO Text

Purpose: This target metric is a measure of NARA's efficiency in providing descriptive information for holdings and making the holdings available for access.

	Measure	Definition
A	Number of holdings in NARA with descriptive information	
B	Total number of holdings available in NARA	
C	Percent of holdings for which descriptive information is available	$C = \frac{A}{B} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
7	Percentage of holdings for which descriptive information is available [NARA Strategic Long-Range Performance Target 3.3]	60%	70%	80%	85%	88%	92%	95%

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
7		HI			HI	MD/LO	

Contractor Participation

A - ERA Contractor performance includes

- Reports to provide accounting of electronic and non-electronic records that can be identified through Dissemination services via search of descriptive (metadata/reference) information by users authorized to access said descriptive information, broken down by access restriction categories

B - ERA Contractor performance includes

- Reports to provide accounting of electronic records that can be identified within Archival Storage directly by identifiers and/or hierarchical descriptors by users authorized to access said records, broken down by access restriction categories

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- Reports to provide accounting of non-electronic records that have had reference/location information provided to ERA.

C - ERA Contractor performance includes

- Percent of holdings (electronic and non-electronic records) for which descriptive information is available within ERA, broken down by access restriction categories

NARA/Other Government Entity Participation

A - NARA/Other Government Entity performance includes

- Reports to provide accounting of electronic and non-electronic records (holdings) outside of ERA control for which descriptive (metadata/reference) information exists but has not been provided to ERA, broken down by access restriction categories

B - NARA/Other Government Entity performance includes

- Reports to provide accounting of electronic and non-electronic records (holdings) outside of ERA control for which location/reference (presence) information exists but has not been provided to ERA, broken down by access restriction categories

Quantification

A1# - Count of electronic and non-electronic records that can be accessed through Dissemination services by users authorized to access said records (# = access restriction category 1 to n) directly through search of metadata/reference information

A2# - Count of electronic and non-electronic records (holdings) outside of ERA control for which descriptive (metadata/reference) information exists but has not been provided to ERA (# = access restriction category 1 to n)

B1# - Count of electronic records that have been accessioned into Archival Storage (# = access restriction category 1 to n)

B2# - Count of non-electronic records that have had reference/location information provided to ERA (# = access restriction category 1 to n)

B3# - Count of electronic and non-electronic records (holdings) outside of ERA control for which location/reference (presence) information exists but has not been provided to ERA (# = access restriction category 1 to n)

Available Calculations:

Rate of electronic and non-electronic records accessible directly through search of metadata/reference information within ERA

$$C1\# = A1\# / (B1\# + B2\#) \quad (\# = \text{one access restriction category 1 to n})$$

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ERA-8 PERCENTAGE OF ELECTRONIC RECORDS HOLDINGS OPEN AND ACCESSIBLE ONLINE

PGS & SOO Text

Purpose: To measure the efficiency of NARA to make electronic records holdings open and accessible online to the public using a standard access method for the Record Types and Data Types as specified in the Preservation and Access Level.

	Measure	Definition
A	Number of electronic records holdings that are open and accessible online	
B	Total number of electronic records holdings	
C	Percent of electronic records holdings that are open and accessible online	$C = \frac{A}{B} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
8	Percentage of electronic records holdings available online [Related to NARA Strategic Long-Range Performance Target 3.6]	0%	5%	10%	20%	35%	55%	80%

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
8				MD	HI		

Contractor Participation

A - ERA Contractor performance includes

- Reports to provide accounting of electronic records that can be accessed through Dissemination services by public access level users, through standard online access methods (e.g. world wide web)
 - Accessible directly by identifiers and/or hierarchical descriptors
 - Accessible directly through search of metadata/reference information

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B - ERA Contractor performance includes

- Reports to provide accounting of electronic records that have been accessioned into Archival Storage, broken down by access restriction categories.

NARA/Other Government Entity Participation

A - NARA/Other Government Entity performance includes

- Provision of resources to generate/approve electronic records descriptions.
- Provision of resources to approve release of redacted forms of electronic records.

Quantification

A1 - Count of electronic records that can be accessed through Dissemination services within ERA by public access level users directly through search of identifiers and/or hierarchical descriptors

A2 - Count of electronic records that can be accessed through Dissemination services within ERA by public access level users directly through search of metadata/reference information

B1# - Count of electronic records that have been accessioned into Archival Storage (# = access restriction category 1 to n)

Available Calculations:

Rate of electronic records accessible directly through search of identifiers and/or hierarchical descriptors within ERA

$$C1 = A1 / \Sigma(B1.1...B2.n)$$

Rate of electronic records accessible directly through search of metadata/reference information within ERA

$$C2 = A2 / \Sigma(B1.1...B2.n)$$

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ERA-9 PERCENTAGE OF RECORDS SCHEDULE ITEMS SUBMITTED AND APPROVED ELECTRONICALLY

PGS & SOO Text

Purpose: This target metric is a measure of NARA's efficiency with respect to their processing capability of electronic records.

	Measure	Definition
A	Number of records schedules items submitted and approved electronically (Actual)	
B	Total number of record schedules items submitted for approval	
C	Percentage of records schedule items submitted and approved electronically	$C = \frac{A}{B} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
9	Percentage of records schedule items submitted and approved electronically [NARA Strategic Long-Range Performance Target 1.3]	0%	20%	30%	50%	75%	85%	95%

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	IS&C	ERA Mgt
9	HI	HI					

Contractor Participation

A/B - ERA Contractor performance includes

- Reports to provide accounting of records schedule items
 - that have been submitted for approval through ERA
 - that have achieved approved status within ERA
 - that have been rejected/returned from ERA without approval
 - that back-logged awaiting review or other manual intervention within ERA

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NARA/Other Government Entity Participation

A - NARA/Other Government Entity performance includes

- Provision of resources to review/approve records schedule items.

Quantification

A1# - Number of records schedules items submitted and approved electronically (# = access restriction category 1 to n)

A2# - Number of records schedules items submitted and rejected electronically (# = access restriction category 1 to n)

A3# - Number of records schedules items submitted and are pending review (# = access restriction category 1 to n)

B1# - Total number of record schedules items submitted for approval (# = access restriction category 1 to n)

Available Calculations:

Rate of records schedule items submitted and approved electronically

$$C1\# = A1\# / B1\# \quad (\# = \text{one access restriction category 1 to n})$$

Rate of records schedule items submitted and rejected electronically

$$C2\# = A2\# / B1\# \quad (\# = \text{one access restriction category 1 to n})$$

Backlog Rate of records schedule items submitted electronically

$$C2\# = A3\# / B1\# \quad (\# = \text{one access restriction category 1 to n})$$

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ERA-10 MEDIAN TIME FROM TRANSFER OF ARCHIVAL ERS TO NARA UNTIL THEY ARE AVAILABLE

PGS & SOO Text

Purpose: This target metric is a measure of the time it takes NARA to process electronic records starting from the time of transfer until they are available for access.

	Measure	Definition
A	Date electronic records were transferred	
B	Date electronic records are ready for access	
C	Median number of calendar days from the date the electronic records are transferred to NARA to the day the electronic records are available for access	

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
10	Median time from the transfer of archival electronic records to NARA until they are available for access [NARA Strategic Long-Range Performance Target 2.4]	110 days	75 days	35 days	30 days	25 days	20 days	15 days

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
10							

Contractor Participation

C - ERA Contractor performance includes

- Reports to provide accounting of durations of steps performed after an electronic record is transferred into ERA until it is available, broken down by access restriction categories
 - Days from transfer (SIP) receipt to original entry (of AIP) to Archival Storage
 - Days from transfer (SIP) receipt to addition of reference entry to catalog
 - Days from transfer (SIP) receipt to Archival Storage entry of electronic record version at its specified Preservation and Service Plan level (other than "basic")
- Reports to provide accounting of backlog of access review cases at each major process step awaiting user action/intervention, broken down by access restriction categories
 - Including items backlogged for virus/mal-ware eradication

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NARA/Other Government Entity Participation

C - NARA/Other Government Entity performance includes

- Provision of resources to generate/approve electronic records descriptions.
- Agreement on Preservation and Service Plan aspects beyond "Basic"
- Support for and approval of Persistent Object Format definitions.
- Availability of resources to evaluate executed transformations

Quantification

A_n# – Date of receipt of SIP 'n' of electronic record(s) (# = access restriction category 1 to m)

B1_n# –Date of transfer (of AIP) to archival storage of electronic record(s) in SIP 'n' at the "basic" Preservation and Service Plan level (# = access restriction category 1 to m).

B2_n# –Date of reference entry addition to catalog for electronic record(s) from SIP 'n', at the "basic" Preservation and Service Plan level (# = access restriction category 1 to m).

Available Calculations:

C1# - Mean number of days from the transfer of archival electronic records to ERA until they are available in archival storage at the "basic" Preservation and Service Plan level (# = one access restriction category 1 to m, most restrictive takes precedence).

$$\bar{C}1\# = \frac{\sum_n^1 (B1_n\# - A_n\#)_n}{n}$$

C2# - Mean number of days from the transfer of archival electronic records to ERA until they are available in the catalog at the "basic" Preservation and Service Plan level (# = one access restriction category 1 to m, most restrictive takes precedence).

$$\bar{C}2\# = \frac{\sum_n^1 (B2_n\# - A_n\#)_n}{n}$$

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ERA-11 NUMBER OF CUSTOMERS USING ERA SERVICES

PGS & SOO Text

Purpose: This indicator metric is a measure of the number of customers using ERA services

	Measure	Definition
A	Total number of hits by customers using ERA services	

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
11	Number of customers using ERA services [Related to NARA Strategic Long-Range Performance Target 2 3]	650,000	800,000	1,200,000	1,500,000	1,875,000	2,343,750	2,929,688

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
11							

Contractor Participation

A - ERA Contractor performance includes

- Reports to provide accounting of hits to ERA by customers, broken down
 - By service
 - By access restriction
 - By customer type
 - By distinct visits to ERA

NARA/Other Government Entity Participation

Quantification

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ERA-12 PERCENTAGE OF ARCHIVAL ERS PRESERVED IN A PERSISTENT FORMAT

PGS & SOO Text

Purpose: This target metric is a measure of NARA's success in preserving electronic records holdings.

	Measure	Definition
A	Total number of electronic records holdings	
B	Number of those electronic records holdings preserved (Actual)	
C	Percent of archival electronic records holdings preserved in a persistent format	$C = \frac{B}{A} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
12	Percentage of archival electronic records preserved in a persistent format [Related to NARA Strategic Long-Range Performance Target 2.3]	80% ⁽¹⁾	5%	10%	15%	20%	25%	30%

(1) Represents 80% of a very small volume. In 2007, a large initial volume is expected which will dramatically reduce the percentage of persistently formatted records.

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
12			HI	HI			

Contractor Participation

A - ERA Contractor performance includes

- Reports to provide accounting of accessioned electronic records that have reached archival storage within ERA control at the basic level (e.g. original formats)

B - ERA Contractor performance includes

- Reports to provide accounting of
 - Accessioned electronic records managed at the planned level of "enhanced" according to their Preservation and Service Plan.

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- Accessioned electronic records managed at the planned level of "optimal" according to their Preservation and Service Plan.
- Accessioned electronic records not managed at their planned level pending actions outside the control or influence of ERA (e.g. lack of approved Persistent Object Format)

NARA/Other Government Entity Participation

B - NARA/Other Government Entity performance includes

- Agreement on Preservation and Service Plan aspects beyond "Basic"
- Support for and approval of Persistent Object Format definitions.
- Availability of resources to evaluate executed transformations

Quantification

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ERA-13 PER MEGABYTE COST FOR PRESERVING ERS

PGS & SOO Text

Purpose: This target is a measure of the cost of electronic records preservation. The expected outcome is that the Electronic Records Archives (ERA) economically preserves archival electronic records for future generations, i.e., the cost of preserving archival electronic records decreases each year.

	Measure	Definition
A	Total number of megabytes managed	
B	Total cost of electronic records management	
C	Per megabyte cost	$C = \frac{B}{A} \times 100$

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
13	Total archival electronic records management costs per gigabyte [NARA Strategic Long-Range Performance Target 2.5]	\$14.34	Decrease by 10%	Decrease by 10%	Decrease by 5%	Decrease by 5%	Decrease by 5%	Decrease by 5%

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
13		MD		HI		MD/LO	

Contractor Participation

A - ERA Contractor performance includes

- Reports to provide accounting of the stored size of accessioned electronic records as well as all subsequent versions & copies that have reached archival storage within ERA control, broken down by
 - Site
 - Access Restriction Level
 - Media type classification (tape, disk, etc)

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B - ERA Contractor performance includes (by access restriction level)

- Cost of new media procured and installed by site, by type, annualized
- Cost of replacement media procured and installed, by site, by type, annualized
- Cost of maintenance support for media systems, by site, by type, annualized
- Cost of ERA support operations staff for media support and maintenance, estimated, by site, by type, annualized

NARA/Other Government Entity Participation

B NARA/Other Government Entity performance includes

- Agreement on cost basis for storage of electronic records.

Quantification

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ERA-14 ELECTRONIC RECORDS RECALL PERCENTAGE**PGS & SOO Text**

Purpose: To measure the ability to recall relevant electronic records during the search process. A benchmark test will have to be conducted and then repeated on a periodic basis. The periodicity will be determined by NARA.

	Measure	Definition
A	Electronic Records Recall Percentage	$A = \frac{B}{C} \times 100$
B	Number of relevant electronic records retrieved	
C	Number of relevant electronic records	

#	Measurement Indicator	Estimated Baseline	2007	2008	2009	2010	2011	2012
14	Electronic Records Recall Percentage [Related to NARA Strategic Long-Range Performance Target 3.1]	40%	Increase by 5%					

ERA System Allocation

ERA #	Ingest	Records Mgt	Preservation	Archival Storage	Dissemination	LS&C	ERA Mgt
14				MD	HI		

Contractor Participation

A/B/C - ERA Contractor performance includes

- Execution of benchmark test to be conducted and repeated (by access restriction level) to enumerate
 - Number of relevant records retrieved (actual vs expected)
 - Number of relevant records identified but not retrievable (e.g. without manual intervention such as access review)
 - Number of relevant records not identified

NARA/Other Government Entity Participation

A/B/C - NARA/Other Government Entity performance includes

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Appendix 1G

Performance Based Contract Award
Fee Plan

May 16, 2005

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- Definition of benchmark test to be conducted and repeated
- Definition of periodicity of benchmark test execution
- Definition of performance window expectations
- Definition of access restriction level expectations for test execution.

Quantification

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