

# **CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS)**

**DEPARTMENT OF THE NAVY**



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# **CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS)**

## **INTRODUCTION**

The Federal Acquisition Regulation (FAR) requires that past performance information (PPI) be collected (FAR Part 42) and used in source selection evaluations (FAR Part 15). The CPARS process establishes procedures for the collection and use of PPI for the business sector contracts listed in Table 1. CPARS generated PPI will be one of many tools used to communicate contractor strengths and weaknesses to source selection officials and contracting officers.

All CPARS information is treated as Source Selection Information in accordance with FAR 3.104. CPARS have the unique characteristic of always being predecisional in nature. They will always be source selection information because they will be in constant use to support ongoing source selections. Primary distribution of CPARS among activities will be made through use of the Navy's on-line CPARS Automated Information System (AIS) ([www.cpars.navy.mil](http://www.cpars.navy.mil)) and transfer of CPARS from one activity CPAR focal point to another will be the secondary method. Access to the CPARS AIS and other PPI will be restricted to those individuals with an official need to know.

This revision of the CPARS policy guide contains the following significant changes. The guide has been revised to:

- Incorporate the mandatory use of the CPARS Automated Information System, a web-enabled application that can be accessed at [www.cpars.navy.mil](http://www.cpars.navy.mil);
- Assign Contracting Activities the responsibility to register eligible contracts in CPARS AIS within thirty days of contract award.
- Clarify the role of focal points in authorizing access to the CPARS AIS.
- Use the term "assessing official" to describe the role of the individual previously identified as the "program manager or equivalent individual".
- Change the requirement for review of completed CPARS by the Reviewing Official. The DOD Guide to Collection and Use of Past Performance Information of May 1999 only requires Reviewing Official action when the assessing official and contractor do not agree on proposed ratings. There is no need for Reviewing Official assessment when the contractor agrees with the assessment by the assessing official.
- Update the definition of Business Sectors (Attachment 1) to agree with definitions contained in the DOD Guide to Collection and Use of Past Performance Information of May 1999.

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# CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS)

This document sets policy, assigns responsibilities, and provides procedures for systematically assessing contractor performance. Collecting past performance information applicable to these contract efforts is referred to as the Contractor Performance Assessment Reporting System (CPARS). The form for assessing (i.e., documenting) contractor past performance is referred to as a Contractor Performance Assessment Report (CPAR).

## SECTION A – POLICY

### 1. Purpose

- 1.1 The primary purpose of the CPARS is to ensure that data on contractor performance is current and available for use in source selections. Performance assessments will be used as an aid in awarding contracts and/or task orders to contractors that consistently provide quality, on-time products and services that conform to contractual requirements. CPARS can be used to effectively communicate contractor strengths and weaknesses to source selection officials. During the source selection process, the offeror should be notified of relevant past performance data derived from CPARS that requires clarification or could lead to a negative rating. Information derived from the Navy CPARS may also be used by Senior DON and contractor officials for other management purposes consistent with DOD guidance and policy. Individual CPARs will not be used for any purpose other than as stated in this paragraph; however, summary data may be used as outlined in paragraph 1.5.
- 1.2 The CPARS assesses a contractor's performance and provides a record, both positive and negative, on a given contract during a specific period of time. Each assessment *must be based on objective facts* and be supportable by program<sup>1</sup> and contract management data, such as cost performance reports, customer comments, quality reviews, technical interchange meetings, financial solvency assessments, construction/production management reviews, contractor operations reviews, functional performance evaluations, and earned contract incentives, etc. Subjective assessments concerning the cause or ramifications of the contractor's performance may be provided; however, speculation or conjecture shall not be included. The attachments to this document contain the specific areas to be evaluated for the identified business sectors.
- 1.3 The value of CPARS to a future source selection team is inextricably linked to the care the assessing official (program manager *or equivalent individual* responsible for program, project, or task/job order execution), takes in preparing a quality narrative to accompany the CPAR ratings. It is of the utmost importance that the assessing official<sup>2</sup> makes a dedicated effort to thoroughly describe the circumstances surrounding a rating.

<sup>1</sup>. Throughout this document, whenever "program" is used, it means the program, project, or task/job order for which the procurement was made.

<sup>2</sup> Throughout this document, whenever "assessing official" is used, it means the program manager or *equivalent individual* responsible for the execution of the program, project, task order or job order.

- 1.4 The CPARS process is designed with a series of checks and balances to facilitate the objective and consistent evaluation of contractor performance. Both government and contractor program management perspectives are captured on the CPAR form and together make a complete CPAR. The assessment is reviewed by a level of management above the assessing official when there are significant differences between the assessing official and the contractor assessment (see paragraph 4.5) to ensure consistency with other evaluations throughout the activity as well as other program assessments. CPARs are not subject to the “Disputes” clause, nor are they subject to appeal beyond the procedures described in this document for the specific contract under which they are processed.
- 1.5 While the CPAR will not be used for any other purpose than stated in paragraph 1.1, summary data from the CPARS database or from the reports themselves may be used to measure the status of industry performance, and support continuous process improvement, provided that the data used do not reveal individual contract or contractor performance in any form.

## **2. Applicability and Scope**

- 2.1 Past performance information (PPI) must be collected on contracts meeting the “Business Sector” definitions defined in Attachment 1. A CPAR must be completed on every business sector contract meeting the thresholds in Table 1.
- 2.2 When multiple orders are placed against a single contract and the sum of the orders exceeds the thresholds established in Table 1, the assessing official may elect to prepare a single CPAR that includes all orders vice preparing separate CPARs for each order. If a single order exceeds the threshold, the assessing official may prepare a separate CPAR for that order, or may include that order in a consolidated CPAR for that contract. If orders are placed against contracts let by other agencies, coordination must be effected with that agency to determine who will complete the CPAR. In the case of GSA contracts, ordering agencies will be responsible for completing CPARs since the ordering agency is best positioned to evaluate contractor performance. For those contracts where a provisioning line is established, the evaluation should include an assessment of that effort in Block 18 for “Other Areas”.
- 2.3 CPARs will also be prepared on contracts for joint ventures. When the joint venture has a unique CAGE code, a single CPAR will be prepared for the joint venture using that CAGE code. If the joint venture does not have a unique CAGE code, separate CPARS, containing identical narrative, will be prepared for each participating contractor and will reference the fact that the evaluation is based on performance under a joint venture.
- 2.4 CPARs on classified contracts will be processed in accordance with program security requirements. Copies of classified CPARs will be maintained and distributed in accordance with agency procedures. Classified CPARs will not be entered into the CPARS AIS.
- 2.5 CPARs will be accomplished on the applicable first tier subcontractor on contracts awarded to the Small Business Administration under the 8(a) program.

<b><u>BUSINESS SECTOR</u></b>	<b><u>DOLLAR THRESHOLD</u></b> <sup>1</sup>	<b><u>REVIEWING OFFICIAL</u></b> <sup>2</sup>
<b>Systems</b> (includes new development and major modifications)	≥\$5,000,000	One level above the program manager. <sup>3</sup>
<b>Ship Repair and Overhaul</b>	≥\$500,000	One level above the assessing official.
<b>Services</b>	≥\$1,000,000	One level above the assessing official.
<b>Operations Support</b>	≥\$5,000,000 <sup>4</sup>	One level above the assessing official.
<b>Information Technology</b> <sup>5</sup>	≥\$1,000,000	One level above the assessing official

<sup>1</sup> The contract thresholds for CPARS collection apply to the "as-modified" face value of contracts; that is, if a contract's original face value was less than the applicable threshold, but subsequently the contract was modified and the "new" face value is greater than the threshold, then a performance assessment (or assessments) is required to be made, starting with the first anniversary that the contract's face value exceeded the threshold. If the contract threshold is expected to exceed the collection threshold by exercise of option, modification or order, it may be advisable to initiate the PPI collection process prior to the value of the contract exceeding the threshold.

<sup>2</sup> Only required if there is a disagreement between the assessing official and the contractor on the assessment.

<sup>3</sup> (Or equivalent individual) responsible for program, project, or task/job order execution (see paragraph 1.3).

<sup>4</sup> For contracts under the \$5,000,000 threshold, buying activities should continue to accumulate contractor performance data from existing management information systems that already capture data on timeliness of delivery and quality of product or service. (Examples of such performance information collection systems include "Red/Yellow/Green" and "Automated Best Value Method.")

<sup>5</sup> The word contract as used in this document includes Blanket Purchase Agreements (BPAs) issued under FAR 8.4 and task orders.

**TABLE 1 - BUSINESS SECTOR, DOLLAR THRESHOLD,  
AND REVIEWING OFFICIAL**

- 2.6 CPARS has been identified as a paperless acquisition initiative by the Program Executive Office - Acquisition Related Business Systems (PEO-ARBS). A Navy-wide CPARS Automated Information System has been established for automated processing of CPARS using a web-based application. The use of the CPARS AIS is mandatory as it ensures that CPARS will be entered into the Navy CPARS database to provide a centralized data repository of past performance information. The web site is located at [www.cpars.navy.mil](http://www.cpars.navy.mil). The application has been developed to support the detailed processing procedures in Attachments 2 through 4 with enhancements such as look-up tables for Commercial And Government Entity (CAGE) codes, Federal Supply Classification (FSC) codes, and Standard Industrial Classification (SIC) codes and future addition of e-mail notification of in-process CPARS to required action points.

## **SECTION B – RESPONSIBILITIES ASSIGNED**

### **3. Responsibilities**

Systems Command (SYSCOM) Commanders, Program Executive Officers (PEOs), Direct Reporting Program Managers (DRPMs), Headquarters Marine Corps, Commander Military Sealift Command, and other Heads of Contracting Activities, are responsible for overseeing the implementation of this document for the business sectors, and for the overall implementation of the CPARS process in their respective organizations.

### **4. Contracting Activity Responsibilities. The Contracting Activity will:**

- 4.1 Establish procedures to implement CPARS. These procedures will include training requirements for focal points, assessing officials, reviewing officials, and contractors, to ensure procedure for monitoring the timely completion of reports, report integrity (i.e., quality of reports), and overall CPAR system consistency are in place. Compliance with submittal requirements by Dollar Value Threshold and Business Sector should be monitored by comparison of contract award history information maintained by other computer systems, i.e. Standard Procurement System (SPS) or Procurement Management Reporting System (PMRS) with CPARS actually submitted.
- 4.1.1 Register all new contracts meeting the thresholds identified in Table 1 in the DON CPARS AIS within 30 days after contract award with the information for blocks 1-14 of the CPARS form. Registering the contract will establish the record and facilitate subsequent CPARS reporting.
- 4.2 Establish a CPAR Focal Point. The activity focal point is responsible for the collection, distribution, and control of CPARs. The focal point will be designated by completing a Focal Point Access Request Form located at the AIS web site. This CPAR focal point will assist the assessing official in implementing CPARS by providing training and other administrative assistance to ensure that reports are timely and of *high integrity*.
- 4.3 Utilize CPARS for source selection.

- 4.4 Ensure timely completion of reports by assessing officials (see paragraph 1.3). The assessing official is responsible for evaluating contractor performance. The assessing official has overall responsibility for execution and achievement of program goals.
- 4.5 Ensure timely review of CPARs by reviewing officials whenever there are disagreements between the assessing official and contractor concerning proposed CPAR ratings. The reviewing official provides the check-and-balance needed to ensure report integrity, especially when there are significant differences between the assessing official and the contractor (see paragraph 7.8).

## **SECTION C – CPAR PROCEDURES**

### **5 CPARS Automated Information System (AIS)**

- 5.1 Automation of collection and retrieval of Past Performance Information (PPI) is critical towards reducing the impact on limited resources and for sharing PPI across the services. PEO-ARBS has authorized the development of a centrally funded CPARS AIS for use by all DoN activities. The CPARS AIS is a paperless environment. The CPARS AIS will have connectivity with the DOD PPI warehouse so that PPI can be shared across Services. With the CPARS AIS, CPARS are prepared, submitted, and retrieved on an on-line, password protected, secure web site located at <http://www.cpars.navy.mil>. CPARS is a web-enabled application that collects and manages the DoN CPARS database. A network of CPARS focal points controls CPARS application access. The focal points provide access to authorized individuals, including assessing officials, contractors, and government reviewing officials to prepare automated CPAR forms and view completed forms. Access to completed CPARS for source selection is controlled by warranted Procuring Contracting Officers (PCOs) or other designated officials.
- 5.2 The DoN CPARS web site contains the following features.
  - 5.2.1 The "production" CPAR system.
  - 5.2.2 The "practice" CPAR system. The practice system is a mirror image of the functionality of the production system using a separate database of simulated CPAR records. The practice system allows users to gain familiarity with the mechanics of the AIS without actually entering live evaluation data.
  - 5.2.3 A "requirements" page that describes hardware and software required, security access levels, security features, how to obtain a user account and technical service support, and lists Frequently Asked Questions with answers on automation and DoN policy.
  - 5.2.4 Link to the DoN CPARS guide and the DoD PPI Guide.
  - 5.2.5 Link to the automated CPARS procedures manual.
  - 5.2.6 Link to CPARS Computer Based Training.
  - 5.2.7 Access Request form for a Focal Point.



5.2.8 Access Request form for a Source Selection Official.

5.2.9 Software Release history.

5.2.10 DoN automated metrics (updated quarterly).

### 5.3 CPARS AIS process

5.3.1 Data entry - Full automation (Paperless). The CPARS process follows a defined workflow in which access levels are assigned to individual participants on a contract by contract basis based on the portion of the workflow for which they are responsible. The CPARS AIS supports complete processing of CPAR reports in an on-line environment.

5.3.2 Data Entry - Partial Automation. The Focal Points may transcribe a CPAR from a paper form, or one completed utilizing other electronic means, by completing Blocks 1-25. This feature allows focal points to enter completed CPARs into the AIS database in those limited instances when a CPAR report is completed off-line (e.g. contractor does not have access to the CPARS AIS).

5.3.3 Data Retrieval - Automation. PCOs may view any completed CPAR and may authorize automated access to other Source Selection Board members, for certain CPARs for a specified duration.

## 6. Frequency of Reporting

6.1 Initial Reports. An initial CPAR is required for new contracts meeting the criteria of paragraph 2 above, and which have a period of performance greater than 365 days. The initial CPAR must reflect evaluation of at least the first 180 days of performance under the contract, and may include up to the first 365 days of performance. For contracts with a period of performance of less than 365 days, see "Final Reports".

6.2 Intermediate Reports. Intermediate CPARs are required every 12 months throughout the entire period of performance of the contract. An intermediate CPAR is limited to contractor performance occurring after the preceding normal cycle CPAR. To improve efficiency in preparing the CPAR, it is recommended that the CPAR be completed together with other reviews (e.g., award fee determinations, major program events, or program milestones). Activities may, through local procedures, establish a specific submittal date for all intermediate CPARs, provided they are completed for every 12 month evaluation period.

### 6.3 Out-of-Cycle Reports

6.3.1 An Out-of-Cycle CPAR may be required when there is a significant change in performance that alters the assessment in one or more evaluation area(s). When a significant change in performance has occurred, the contractor may request an updated (new) assessment or the assessing official may unilaterally determine to prepare an updated (new) evaluation and process an Out-of-Cycle (new) CPAR. The determination as to whether or not to update an evaluation will be made solely by the assessing official. The Out-of-Cycle CPAR *that*

*assesses a significant change in performance* must be sent to the contractor for comment and signature.

- 6.3.2 Prior to an assessing official departing (or contract being transferred to another organizational element within the contracting activity), the assessing official should complete an informational CPAR if at least four months have elapsed since the last CPAR was completed. This informational form need not be processed through the contractor and CPAR reviewing official; rather, it should be passed to the succeeding assessing official for background information for completing the next CPAR. Under no circumstances will an *informational* CPAR be finalized in the CPARS AIS
- 6.3.3 Generally, no more than two CPARs per year should be completed on a contract. Out-of-cycle CPARs do not alter the annual reporting requirement. For example, if the normal CPAR period of performance ends on 31 October and an out-of-cycle CPAR is completed which covers a performance period that ends on 1 May, the next intermediate CPAR report is still required to cover the period of performance from 1 November to 31 October of that same year. This period of performance overlap is only permitted when an out-of-cycle CPAR report has been prepared.
- 6.4 **Final Report.** A final CPAR will be completed upon contract completion, transfer of program management responsibility outside the original buying activity, delivery of the final major end item on contract, or completion of the period of performance. Final Reports are to be prepared on all contracts meeting the thresholds established in Table 1 with a period of performance of less than 365 days. The final CPAR does not include cumulative information, but is limited to the period of contractor performance occurring after the preceding CPAR.
- 6.5 **Addendum Assessments.** Addendum assessment reports may be prepared, after the final past performance evaluation, to record contractor's performance relative to contract close-out, warranty performance and other administrative requirements (e.g. final indirect cost proposals, technical data, etc.).

## **7. Preparing and Processing Reports**

- 7.1 The assessing official (see paragraph 1.3) responsible for overall program execution is responsible for preparing (see Attachments for instructions on preparing report), reviewing, signing, and processing the CPAR. Normal UserID/password authorization access in the CPARS AIS and its requirement for 128-bit encryption is equivalent to signature. When an assessment by a reviewing official is required, the CPAR should be completed and signed by the reviewing official not later than 120 days after the end of the evaluation period.

### **7.2 Completion of CPAR**

- 7.2.1 The assessing official (see paragraph 1.3) responsible for the contract being reviewed prepares the documentation and assessment. This assessment should be based on multi-functional input from specialists familiar with the contractor's performance. Team leaders should ensure user input is provided via the program office Integrated Product Teams (IPTs), as appropriate. The assessing official should also request input from other applicable organizations as part of the multi-functional input.

- 7.2.2 Supporting narrative rationales for any performance ratings assigned are mandatory to enable the user to establish that performance under a previous contract will be relevant to a future contract. The narratives are critical to any PPI assessment and necessary to establish that the ratings are credible and justifiable. These rationales need not be lengthy, but if there were performance successes or problems, they should include a description of the problems or successes experienced; an assessment of whether the problems were caused by the contractor or the government, or other factors; and how well the contractor worked with the government to resolve problems, including problems with subcontractors.
- 7.2.3 Support contractors may provide data entry assistance for CPARs at the Contract Data Entry Clerk and the Assessing Official Representative access levels, provided that any necessary disclosure agreements have been executed. At no time may support contractors contribute to CPAR development in the form of ratings and comments.
- 7.3 Narrative comments are limited to 16,000 characters. Narrative comments should be concise and are limited by the CPARS AIS.
- 7.4 Contractors will be given an opportunity to review and comment on the assessment. Since communication and feedback regarding contractor performance are always encouraged, the assessing official may consider allowing a pre-assessment briefing by the contractor to discuss the contractor's performance during the evaluation period. These pre-assessment discussions must be structured around firm contract requirements and events that are deemed to be critical during the upcoming reporting period. Assessing officials are encouraged to conduct face-to-face meetings with the contractor during the evaluation process. Participation by representatives from the Contracting Office is strongly encouraged for all meetings.
- 7.5 CPAR Review and Approval Process
- 7.5.1 The assessing official shall notify the contractor being evaluated when a CPAR is ready for contractor review in the CPARS AIS [See FAC 97-12]. Local processes may require review by the activity CPAR focal point and/or reviewing official prior to sending the CPAR to the contractor. Hand delivery (with receipt) of paper copies of CPARS, in conjunction with face-to-face discussions is also authorized. Certified mail or other methods of ensuring receipt are also acceptable. Meetings with contractor management to discuss CPAR ratings are recommended and may be pre-arranged by the Government or at the request of the contractor (see paragraph 7.5.2.6). If hand delivery or mail is the method of transmittal, a transmittal letter must accompany the CPAR.
- 7.5.2 *Transmittal Letter.* The transmittal letter, signed by the assessing official or the contracting officer, shall provide the following guidance to the contractor (local processes will stipulate the levels of review and transmittal):
- 7.5.2.1 Protect the CPAR as "*Source Selection Information - See FAR 3.104.*" After review, transmit the CPAR back to the originating office marked and handled as "source selection information." Request return of the CPAR by certified mail or some other controlled method.
- 7.5.2.2 Strictly control access to the CPAR while in the contractor's organization.

- 7.5.2.3 Ensure the CPAR is never released to persons or entities outside the contractor's control.
- 7.5.2.4 Prohibit the use of or reference to CPAR data for advertising, promotional material, pre-award surveys, responsibility determinations, production readiness reviews, or other similar purposes.
- 7.5.2.5 Advise the contractor that comments are optional but are due to the originating office within 30 calendar days after receipt. The contractor may provide comments in response to the assessment, or sign and return the assessment without comment. If the contractor elects not to provide comments, he or she should acknowledge receipt of the CPAR electronically or by signing/dating Block 23 of the form and return the CPAR to the originating office. Comments should be focused on the assessing official's narrative and provide views on causes and ramifications of the assessed performance. Contractor comments are subject to the same limitations set out in paragraph 7.3.
- 7.5.2.6 Advise that if the contractor desires a meeting to discuss the CPAR, it must be requested, in writing, no later than 7 calendar days from the receipt of the CPAR. This meeting will be held during the contractor's 30-day review period.
- 7.5.2.7 Advise that a copy of the completed CPAR is available to the contractor via the CPARS AIS or the Chief Executive Officer (CEO), Chief Operating Officer (COO), or President of the corporate entity can request a copy of the CPAR, in writing on company letterhead.
- 7.5.3 If the contractor does not complete blocks 22-23 in the AIS or return the hardcopy CPAR within the allotted 30 days, the assessing official may then finalize the CPAR. Block 22 should be annotated: "The report was delivered/received by the contractor on (date). The contractor neither signed nor offered comment in response to this assessment."
- 7.5.4 The CPAR is complete if the contractor agrees with the assessment and so annotates in Block 22. No further review is required.
- 7.5.5 If the contractor desires higher level review and after receiving and reviewing the contractor's comments on the CPAR, the assessing official may revise the assessment, including the narrative. The assessing official will notify the contractor of any revisions made to a report as a result of the contractor's comments. Such a revised report will not be sent to the contractor for further comment. The contractor will have access to both the original and revised reports in the CPARS AIS.
- 7.5.5.1 Revised CPARS should be noted "Revision to CPAR for period (insert period covered by report)," followed by the program title and phase of acquisition. Completely revise Block 18 and 19 to reflect the current ratings and explain only the revised ratings in Block 20. The assessing official (see paragraph 1.3) *shall* then finalize Blocks 1-21. All revised CPARS must be forwarded to the reviewing official for final review.
- 7.6 The CPAR will be sent to the reviewing official if there is disagreement on ratings between the assessing official and the contractor or if the assessing official chooses to revise the assessment

as a result of the contractor's comments. In this case, the assessing official will provide the reviewing official with an explanation of that decision.

- 7.7 To facilitate future CPAR preparation, the assessing official may retain CPAR copies and working papers associated with CPAR evaluations. However, all retained CPAR copies and working papers must be marked "Source Selection Information - See FAR 3.104" and handled accordingly.
- 7.8 The reviewing official's (see paragraph 2.1 and Table 1) comments on the CPAR will acknowledge consideration and reconciliation, if possible, of any significant discrepancies between the assessing official's evaluation and the contractor's comments. When the reviewing official signs the CPAR, it will be considered complete.

## **8. CPAR Focal Points**

- 8.1 Focal points are the individuals who are responsible for distributing CPARS information as well as tracking CPARS reports and their due dates throughout the CPAR process, including monitoring the status of late reports. While focal points are specifically not responsible for the timely submission or content of CPARS reports, they can be a ready command resource for information regarding input and retrieval of CPARS information.
- 8.2 Access to entering CPARS data will be controlled via the CPAR focal points. CPARS focal points will authorize access to the CPARS AIS for contracts under their cognizance based on functions authorized individuals need to perform during the CPARS completion process.
- 8.3 CPAR focal points at each activity will be responsible for tracking and suspending CPARS as they become due. Notice will be provided; however, this does not relieve the assessing officials of the responsibility for processing reports in a timely manner.
- 8.4 The CPAR focal point at each activity is responsible for monitoring the status of late reports. Local processes should be established for the focal point to notify the activity Commander or PEO, if applicable, of reports more than 30 days overdue.

## **9. CPAR Markings and Protection**

- 9.1 The assessing official (see paragraph 1.3) is responsible for ensuring that CPARS are appropriately marked and handled. All CPAR forms, attachments and working papers must be marked "SOURCE SELECTION INFORMATION - SEE FAR 3.104" in accordance with service procedures. CPARS have the unique characteristics of always being predecisional in nature. They will always be source selection information because they will be in constant use to support ongoing source selections. This predecisional nature of CPARS is a basis for requiring that all CPAR data be protected from disclosure to unauthorized personnel.

CPARS may also contain information that is proprietary to the contractor. Information contained on the CPAR such as trade secrets, and confidential commercial or financial data, obtained from the contractor in confidence, must also be protected from unauthorized disclosure. Additionally, CPARS may contain valuable government-generated commercial information that will be used in the award of government contracts. Such commercially

valuable information must be protected from unauthorized disclosure. Based on the confidential nature of the CPARs, the following guidance applies to protection both internal and external to the government.

**9.2.1 Internal Government Protection**

9.2.1.1 CPARs must be treated as source selection information at all times. Information contained in the CPAR must be protected in the same manner as information contained in completed source selection files.

9.2.1.2 CPAR data will not be used to support pre-award surveys, debarment proceedings or other internal government reviews.

**9.2.2 External Government Protection**

9.2.2.1 Due to the sensitive and confidential nature of CPARs, disclosure of finalized CPAR data to contractors other than the contractor that is the subject of the report, or other entities outside the government, is not authorized. A contractor will be granted access to its CPARs maintained in the CPARS AIS.

9.2.2.2 On those occasions when a Freedom of Information Act (FOIA) request is received for CPAR records, the unit FOIA office must refer the request to the CPAR focal point for coordination.

**10. Use of CPARS in Source Selection.** CPARs provide an assessment of the ongoing performance of contractors. Each report consists of a narrative evaluation by the assessing official, the contractor's comments, if any, relative to the assessment and the reviewing official's acknowledged consideration and reconciliation of significant discrepancies between the assessing official's evaluation and the contractor's comments. CPARs may be retrieved by source selection officials using the CPARS AIS. Access for source selection purposes is granted by the PCO. PCOs are granted access to the CPARS AIS by NAVSEALOGCENDET Portsmouth. However, CPARs are only one source of past performance information. Details on use of Contractor Past Performance Information in source selection is contained in an ASN (RDA) memorandum dated 13 March 1998. The memorandum is found on the ABM ONLINE web site located at URL [www.abm.rda.hq.navy.mil/abm98\\_17.html](http://www.abm.rda.hq.navy.mil/abm98_17.html).

**11. Forms Prescribed.** See Attachments or [www.cpars.navy.mil](http://www.cpars.navy.mil). For contracts that contain supplies or services from more than one business sector, use the form that represents the preponderance of the dollar value of the contract requirements.

**12. References:**

12.1 Department of Defense (DoD) Guide to Collection and Use of Past Performance Information. May 1999

12.2 USD (AT) Memorandum dated 20 November 1997, "Collection of Past Performance Information in the Department of Defense"

12.3 USD (AT) DP Memorandum dated 29 January 1999, "Class Deviation -- Past Performance"

12.4 ASN (RD&A) Memorandum dated 2 February 1998, "Implementation of Contractor Performance Assessment Reporting System (CPARS)"

12.5 ASN (RD&A) Memorandum dated 13 March 1998 Use of Contractor Past Performance Information in Source Selection

12.6 ABM On-line ([www.abm.rda.hq.navy.mil](http://www.abm.rda.hq.navy.mil))

#### Attachments

1. Business Sectors
2. Form and Instructions for Completing a Systems CPAR
3. Form and Instructions for Completing a Ship Repair and Overhaul CPAR
4. Form and Instructions for Completing a Services, Information Technology, or Operations Support CPAR
5. Major Command Points of Contact

# ATTACHMENT 1

## BUSINESS SECTORS

(DoD's Business Sectors are Categorized as Key or Unique)

### Key Business Sectors



**Systems** - Generally, this sector includes products that require a significant amount of new engineering development work. Includes major modification/upgrade efforts for existing systems, as well as acquisition of new systems, such as aircraft, ships, etc. Also includes program budget account code 6.4-funded projects. More specifically—

**Aircraft:** Includes fixed and rotary wing aircraft, and their subsystems (propulsion, electronics, communications, ordnance, etc.)

**Shipbuilding:** Includes ship design and construction, ship conversion, small craft (e.g., rigid inflatable boats) and associated contractor-furnished equipment, as well as ship overhaul and repair.

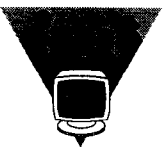
**Space:** Includes all satellites (communications, early warning, etc.), all launch vehicles, strategic ballistic missiles, and all associated subsystems, including guidance and control.

**Ordnance:** Includes all artillery systems (except non-Precision Guided Munitions (PGM) projectiles), tactical missiles (air-to-air, air-to-ground, surface-to-air, and surface-to-surface) and their associated launchers, and all PGM weapons and submunitions, such as the Joint Direct Attack Missile, the Sensor-Fused Weapon and the “Brilliant Antitank” weapon.

**Ground Vehicles:** Includes all tracked combat vehicles (e.g., tanks and armored personnel carriers), wheeled vehicles (e.g., trucks, trailers, specialty vehicles), and construction and material handling equipment requiring significant new engineering development. Does not include commercial equipment typically acquired from existing multiple award “schedule” contracts (e.g., staff cars, base fire trucks, etc.)

**Training Systems:** Generally, includes computer-based (or embedded) virtual and synthetic environments and systems of moderate to high complexity capable of providing training for air, sea, and land based weapons, platforms, and support systems readiness. Does not include operation and maintenance support services beyond the scope of the initial training system acquisition, or basic and applied research in these areas.

**Other Systems:** Includes technologies and products that, when incorporated into other systems such as aircraft and ships, are often categorized as subsystems. However, many of these products are often acquired as systems in their own right, either as “stand-alone” acquisitions or as the object major modification/upgrade efforts for ships, aircraft, etc. Examples of other systems include Command, Control, Communication, Computer and Intelligence (C4I) systems, airborne and shipborne tactical computer systems, electrical power and hydraulic systems, radar and sonar systems, fire control systems, electronic warfare systems, and propulsion systems (turbine engines—aviation and maritime, diesel engine power installations—maritime and combat vehicle). Does not include tactical voice radios with commercial equivalents, personal Global Positioning System (GPS) receivers, non-voice communication systems with commercial equivalents (See Operations Support and Information Technology sectors).



**Services** - Generally, this sector includes all contracted services except those which are an integral part of a systems contract or related to “Science & Technology,” “Construction & Architect--Engineering Services,” “Information Technology,” and “Health Care.” Services are further defined below:

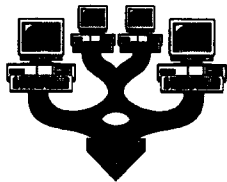


**Professional/Technical & Management Support Services:** Includes all consultant services—those related to scientific, health care services, and technical matters (e.g., engineering, computer software engineering and development), as well as those related to organizational structure, human relations, etc. Includes office administrative support services (e.g., operation of duplication centers, temporary secretarial support, etc.). Does not include any basic or applied research that will result in new or original works, concepts or applications, but does include contract advice on the feasibility of such research, as well as evaluation of research results.

**Repair & Overhaul:** Services related to the physical repair and overhaul of aircraft, ground vehicles, etc., and any associated subsystems or components. Includes condition evaluations of individual items received for repair or overhaul, but does not include evaluations of the feasibility or the benefits of the overall project. Does not include Ship Repair and Overhaul that is included in the Shipbuilding sector.

**Installation Services:** Includes services for grounds maintenance (grass cutting, shrubbery maintenance or replacement, etc.). Includes services related to cleaning, painting, and making minor repairs to buildings and utilities services, etc. Includes contracted security and guard services. Includes installation and maintenance of fencing. It also includes minor electrical repairs (e.g., replacing outlets, changing light bulbs, etc.), minor road surface repairs (patching cracks, filling in potholes, etc.), relocation of individual telephone lines and connections, snow removal. (See “Construction for the installation services covered by that sector.”)

**Transportation and Transportation-Related Services:** Includes services related to transportation by all the land, water, and air routes, and transportation efforts which support movement of U.S. forces and their supplies during peacetime training, conflict, or war. Consists of those military and commercial efforts, services and systems organic to, contracted for, or controlled by the DoD.



**Information Technology** - This sector includes any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission or reception of data or information. Generally, includes all computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. Does not include any military-unique C4I systems and components included under Systems,

such as JTIDS, Aegis, etc. More specifically-

**Software:** A set of computer programs, procedures, and associated documentation concerned with the operations of a data processing system; e.g., compilers, library routines, manuals and circuit diagrams. Information that may provide instructions for computers; data for documentation; and voice, video, and music for entertainment and education.

**Hardware:** Physical equipment as opposed to programs, procedures, rules and associated documentation. In automation, the physical equipment or devices forming a computer and peripheral components.

**Telecommunications Equipment or Services:** Circuits or equipment used to support the electromagnetic and/or optical dissemination, transmission, or reception of information via voice, data, video, integrated telecommunications transmission, wire, or radio. The equipment or service must be a complete component capable of standing alone. This includes the following type of items; telephones, multiplexers, a telephone switching system, circuit termination equipment, radio transmitter or receiver, a modem, card cage with the number and type of modem cards installed, etc. This does not include the following type of items: a chip, circuit card, equipment rack, power cord, a microphone, headset, etc.



**Operations Support** - Generally, this sector includes spares and repair parts for existing systems. Also includes products that require a lesser amount of engineering development work than “Systems,” or that can be acquired “build-to-print,” “non-developmental,” or commercial off the shelf. More specifically—

**Mechanical:** Includes transmissions (automotive and aviation), landing gear, bearings, and parts/components related to various engines (turbine wheels, impellers, fuel management and injection systems, etc.)

**Structural:** Includes forgings; castings; armor (depleted uranium, ceramic, and steel alloys); and steel, aluminum, and composite structural components. Does not include "bare" airframes, ships, or combat vehicles (i.e., without engines and electronics).

**Electronics:** Includes parts and components related to digitization, guidance and control, communications, and electro-optical and optical systems. Includes individual resistors, capacitors, circuit cards, etc., as well as "modules" such as radio-frequency receivers and transmitters. Includes tactical voice radios, personal Global Positioning System receivers, etc.

**Electrical:** Includes electric motors, thermal batteries, auxiliary power units, and associated spares and component parts.

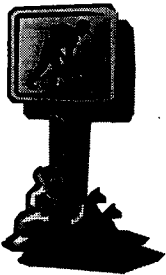
**Ammunition:** Includes all small arms ammunition and non-Precision Guided Munitions artillery rounds.

**Troop Support:** Includes all food and subsistence items. Includes all clothing and textile-related items, including uniforms, tentage, personal ballistic protective gear, life preservation devices, etc. Includes all medical supplies and equipment, including medicines and diagnostic equipment (X-ray machines, etc.). Does not include any recreational or morale/welfare items.

**Base Supplies:** Includes all consumables and personal property items needed to maintain installations, bases, ports, etc. Includes small tools and cleaning and preservation equipment and supplies (paints, brushes, cleaning solvents, etc.). Does not include any grounds maintenance, construction, security, or other types of services.

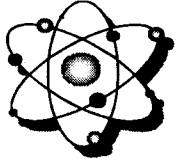
**Fuels:** Includes all bulk fuels, lubricants, and natural gas, coal, storage, and other commodities and related support services.

## **Unique Business Sectors (CPARS not applicable)**



**Architect - Engineering Services:** Professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed or approved by a person licensed, registered, or certified to provide such services. These services include, research, planning, development, design, construction, alteration, or repair of real property. Incidental services include studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications (drawings, specifications and other data for and preliminary to the construction), value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manual, and other related services. (Use Architect-Engineer Contract Administration Support System (ACASS) for past performance collection.)

**Construction:** Construction, alteration, or repair (including dredging, excavating, and painting) of buildings, structures, or other real property. The terms "buildings, structures, or other real property" includes but are not limited to improvements of all types, such as bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, cemeteries, pumping stations, railways, airport facilities, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, canals, and channels. Construction does not include the manufacture, production, furnishing, construction, alteration, repair, processing, or assembling of vessels, aircraft, or other kinds of personal property. Design-Build: Combining design and construction in a single contract with one contractor. (Use Construction Contractor Appraisal Support System (CCASS) for past performance collection.)



**Science and Technology** - Includes all contracted basic research and some applied research. Includes construction of "proof-of-principle" working prototypes. Includes projects funded by program budget accounts 6.1 (Basic Research), 6.2 (Exploratory Development), and 6.3 (Advanced Technology Development), but does not include projects funded by 6.4 accounts or similarly oriented appropriations. (Those projects are covered by the Systems sector).

For the Science and Technology sector, PPI shall be collected only at the time of the particular acquisition. No dollar threshold or the requirement to maintain an automated data base has been established for this category. Collection of science and technology PPI shall be limited to relevant information as determined by the Source Selection team. Requests for PPI shall be tailored to each procurement during the source selection process, with emphasis placed on the expertise of key personnel.

## **ATTACHMENT 2**

### **FORM AND INSTRUCTIONS FOR COMPLETING A SYSTEMS CPAR**

# ATTACHMENT 2

## SYSTEMS CPAR FORM

FOR OFFICIAL USE ONLY (When Filled In)

CONTRACTOR PERFORMANCE ASSESSMENT REPORT (CPAR) -										SYSTEMS			
(Source Selection Sensitive Information)(See FAR 3.104)													
1. NAME/ADDRESS OF CONTRACTOR (Division)				2. <div style="display: flex; justify-content: space-between;"><div></div>INITIAL<div></div></div>		INTER-MEDIATE		FINAL REPORT		ADDENDUM			
				3. PERIOD OF PERFORMANCE BEING ASSESSED									
CAGE CODE		DUNS+4 NUMBER		4a. CONTRACT NUMBER				4b. DOD BUSINESS SECTOR & SUB-SECTOR					
FSC OR SERVICE CODE		SIC CODE		5. CONTRACTING OFFICE (ORGANIZATION AND CODE)									
6. LOCATION OF CONTRACT PERFORMANCE (If not in item 1)				7a. CONTRACTING OFFICER				7b. PHONE NUMBER					
				8. CONTRACT AWARD DATE				9. CONTRACT COMPLETION DATE					
				10. CONTRACT PERCENT COMPLETE/DELIVERY ORDER STATUS									
				11. AWARDED VALUE				12. CURRENT CONTRACT DOLLAR VALUE					
				13. <div style="display: flex; justify-content: space-between;"><div></div>COMPETITIVE<div></div></div>		NON-COMPETITIVE							
14. CONTRACT TYPE													
FFP		FPI		FPR		CPFF		CPIF		CPAF		MIXED	OTHER
15. KEY SUBCONTRACTORS AND DESCRIPTION OF EFFORT PERFORMED													
16. PROGRAM TITLE AND PHASE OF ACQUISITION (If applicable)													
17. CONTRACT EFFORT DESCRIPTION (Highlight key components, technologies and requirements; key milestone events and major modifications to contract during this period.)													
18. EVALUATE THE FOLLOWING AREAS			PAST COLOR	RED	YELLOW	GREEN	PURPLE	BLUE	N/A				
a. TECHNICAL (QUALITY OF PRODUCT)													
(1) PRODUCT PERFORMANCE													
(2) SYSTEMS ENGINEERING													
(3) SOFTWARE ENGINEERING													
(4) LOGISTIC SUPPORT/SUSTAINMENT													
(5) PRODUCT ASSURANCE													
(6) OTHER TECHNICAL PERFORMANCE													
b. SCHEDULE													
c. COST CONTROL													
d. MANAGEMENT													
(1) MANAGEMENT RESPONSIVENESS													
(2) SUBCONTRACT MANAGEMENT													
(3) PROGRAM MANAGEMENT & OTHER MANAGEMENT													
e. OTHER AREAS													
(1)													
(2)													

FOR OFFICIAL USE ONLY (When Filled In)

# ATTACHMENT 2

## SYSTEMS CPAR FORM (continued)

FOR OFFICIAL USE ONLY (When Filled In)

19. VARIANCE (Contract to date)	CURRENT	COMPLETION
COST VARIANCE (%)		
SCHEDULE VARIANCE (%)		
20. ASSESSING OFFICIAL (i.e., PROGRAM MANAGER EQUIVALENT INDIVIDUAL RESPONSIBLE FOR PROGRAM, PROJECT, OR TASK/JOB ORDER EXECUTION) NARRATIVE (SEE PARA. 1.3)		
21. TYPE NAME AND TITLE OF ASSESSING OFFICIAL (SEE PARA. 1.3)	ORGANIZATION AND CODE	PHONE NUMBER
SIGNATURE	DATE	
22. CONTRACTOR COMMENTS (Contractor's Option)		
23. TYPE NAME AND TITLE OF CONTRACTOR REPRESENTATIVE	PHONE NUMBER	
SIGNATURE	DATE	
24. REVIEW BY REVIEWING OFFICIAL (Comments Optional)		
25. TYPE NAME AND TITLE OF REVIEWING OFFICIAL	ORGANIZATION AND CODE	PHONE NUMBER
SIGNATURE	DATE	

FOR OFFICIAL USE ONLY (When Filled In)

# ATTACHMENT 2

## INSTRUCTIONS FOR COMPLETING A SYSTEMS CPAR FORM

A1.1 The Systems Business Sub-Sectors are: Shipbuilding, Aircraft, Space, Ordnance, Training Systems, Ground Vehicles, or Other Systems.

A1.2 **Block 1 - Name/Address of Contractor.** State the name and address of the division or subsidiary of the contractor that is performing the contract. Identify the parent corporation (no address required). Identify the contractor's Commercial and Government Entity (CAGE) code<sup>1</sup>, Data Universal Numbering System DUNS+4 number,<sup>2</sup> Federal Supply Classification (FSC) or Service Code<sup>3</sup>, and Standard Industry Classification (SIC) Code<sup>4</sup>.

<sup>1</sup> CAGE Code: Unique five character company identification number issued by the Defense Logistics Service Center (DLSC) to identify DoD contractors. It is automatically assigned and validated in the registration process.

<sup>2</sup> DUNS: Unique nine character company identification number issued by Dun & Bradstreet Corporation. DUNS+4 is a four character suffix assigned by the trading partner to identify a division or affiliate.

<sup>3</sup> FSC or Service Code: The 4-character federal supply classification or service code that describes the contract effort. To find the code, look in Section I of the Department of Defense (DoD) Procurement Coding Manual (MN02). There are three categories of codes to choose from. In some cases, use a 4-character code from a list of 4-character codes; in other cases, construct a code using the instructions in the Manual. If more than one category or code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

<sup>4</sup> SIC Code: These codes are in the OMB Standard Industrial Classification Manual. If more than one code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

A1.3 **Block 2 - Type Report.** Indicate whether, in accordance with section C, paragraph 6, the CPAR is an initial, intermediate, or final report. If this is an out-of-cycle report, check "intermediate". If this is a report to record contractor performance relative to contract close-out or other administrative requirements, check "Addendum."

A1.4 **Block 3 - Period of Performance Being Assessed.** State the period of performance covered by the report (dates must be in MM/DD/YY format). In no instance should a period of evaluation include previously reported effort (i.e., CPARs are not cumulative or overlapping). CPAR assessments for "intermediate" reports should only cover a 12 month period of performance; therefore, the report should not reflect a period of performance greater than 12 months. Exceptions to this rule for special circumstances, such as a period of performance that ends one month before contract completion, must be approved by the CPAR focal point. The CPAR focal point has the authority to approve extensions when special circumstances arise.

- A1.5 **Block 4a - Contract Number.** Self-explanatory.  
**Block 4b - DoD Business Sector and Sub-Sector.** Identify the DoD Systems business sector and sub-sector: Aircraft, Shipbuilding, Space, Ordnance, Ground Vehicles, Training Systems, or Other Systems.
- A1.6 **Block 5 - Contracting Office (Organization and Code).** Self-explanatory.
- A1.7 **Block 6 - Location of Contract Performance.** Self-explanatory.
- A1.8 **Block 7a - Contracting Officer.** Self-explanatory.  
**Block 7b. - Phone Number.** Self-explanatory.
- A1.9 **Block 8 - Contract Award Date.** Self-explanatory.
- A1.10 **Block 9 - Contract Completion Date.** Self-explanatory.
- A1.11 **Block 10 - Contract Percent Complete/Delivery Order Status.** State the current percent of the contract that is complete. If cost performance reports (CPR) or cost/schedule status reports (C/SSR) data is available, calculate percent complete by dividing cumulative budgeted cost of work performed (BCWP) by contract budget base (CBB) (less management reserve) and multiplying by 100. CBB is the sum or negotiated cost plus estimated cost of authorized undefinitized work. If not indicated elsewhere, include the cutoff date for the CPR or C/SSR used. If CPR or C/SSR data is not available, estimate percent complete by dividing the number of months elapsed by total number of months in contract period of performance and multiplying by 100. In the event an indefinite delivery (ID) contract is utilized, divide the dollars obligated through the end of the reporting period by the dollar value listed in Block 12 and multiply by 100.
- A1.12 **Block 11 - Awarded Value.** Total value of contract including unexercised options and orders. (For IDIQ contracts, enter total estimated value of unexercised options and orders).
- A1.13 **Block 12 - Current Contract Dollar Value.** State the current funded amount including options of the contract as of the report date.
- A1.14 **Block 13 - Basis of Award.** Identify the basis of award by placing an "X" in the appropriate box.
- A1.15 **Block 14 - Contract Type.** Identify the contract type. For mixed contract types, check the predominate contract type and identify the other contract type in the "mixed" block.
- A1.16 **Block 15 - Key Subcontractors and Description of Effort Performed.** Identify subcontractors performing either a critical aspect of the contracted effort or more than 25 percent of the dollar value of the effort. Provide a description of the effort being performed.



**A1.17 Block 16 - Program Title and Phase of Acquisition.** Provide a short descriptive narrative of the program. Spell out all abbreviations. Identify overall program phase and production lot (for example, concept development, engineering and manufacturing development, low-rate initial production, or full-rate production (Lot 1)). Identify milestone phases, if applicable.

**A1.18 Block 17 - Contract Effort Description.** Provide a complete description of the contract effort that identifies key technologies, components, subsystems, and requirements. This section is of critical importance to future performance risk assessment groups (PRAGs) and source selection authorities. The description should be detailed enough to assist a future PRAG in determining the relevancy of this program to their source selection. Also, keep in mind that users of this information may not understand program jargon. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort. For intermediate CPARs, a brief description of key milestone events that occurred in the review period may be beneficial (e.g., critical design review (CDR), functional configuration audit (FCA)), as well as, major contract modifications during the period. For task/delivery order contracts, state the number of tasks issued during the period, tasks completed during the period, and tasks that remain active. For contracts that include multiple functional disciplines or activities, separate them into categories to: (1) reflect the full scope of the contract, and (2) allow grouping of similar work efforts within the categories to avoid unnecessary segregation of essentially similar specialties or activities. Each category or area should be separately numbered, titled and described within Block 17 to facilitate cross-referencing with the evaluation of the contractor's performance within each category in Blocks 18 and 19.

**A1.19 Block 18 - Evaluation Areas.** Evaluate each area based on the following criteria:

**A1.19.1** Each area assessment must be based on objective data that will be provided in Block 20. Facts to support specific areas of evaluation must be requested from the contracting officer and other government specialists familiar with the contractor's performance on the contract under review. Such specialists may, for example, be from engineering, manufacturing, quality, logistics (including provisioning), contract administration services, maintenance, security, data, etc.

**A1.19.2** The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the contractor's performance. For example, if a contractor meets an extremely tight schedule, a blue (exceptional) may be appropriate, or meeting a tight schedule with few delinquencies, a green (satisfactory) with a plus sign assessment may be given in recognition of the inherent schedule risk. When a contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the Block 18 ratings.

**A1.19.3** The CPAR is designed to assess prime contractor performance. However, in those evaluation areas where subcontractor actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor actions in Block 20.

**A1.19.4** Many of the evaluation areas in Block 18 represent groupings of diverse elements. The assessing official should consider each element and use the area rating to highlight significant issues. In addition, the assessing official should clearly focus on the contractor's "results", as they may be appropriate for the period being assessed, in determining the overall area rating.

A1.19.5 Evaluate all areas which pertain to the contract under evaluation, unless they are not applicable--"N/A".

A1.19.6 When performance has changed from one period to another such that a change in color results, the narrative in Block 20 must address each change.

A1.19.7 The assessing official should use customary industry quantitative measures where they are applicable if the contract is for commercial products.

A1.19.8 Rating will be in accordance with the definitions described below in Figure A1.1, "Evaluation Ratings."

**A1.20 Block 18a - Technical (Quality of Product).** This element is comprised of an overall rating and six sub-elements. Activity critical to successfully complying with contract requirements must be assessed within one or more of these sub-elements. The overall rating at the element level is the assessing official's integrated evaluation as to what most accurately depicts the contractor's technical performance or progress toward meeting requirements. *This assessment is not a roll-up of the sub-element assessments.*

**A1.20.1 Block 18a(1) - Product Performance.** Assess the achieved product performance relative to performance parameters required by the contract.

**A1.20.2 Block 18a(2) - Systems Engineering.** Assess the contractor's effort to transform operational needs and requirements into an integrated system design solution.

Areas of focus should be: the planning and control of technical program tasks, the quality and adequacy of the engineering support provided throughout all phases of contract execution, the integration of the engineering specialties, management of interfaces, and the management of a totally integrated effort of all engineering concerns to meet cost, technical performance, and schedule objectives. System engineering activities ensure that integration of these engineering concerns is addressed up-front and early in the design/development process. The assessment should cover these disciplines: systems architecture, design, manufacturing, integration and support, configuration control, documentation, test and evaluation. The assessment for test and evaluation should consider success/problems/failure in developing test and evaluation objectives; planning (ground/air/sea) test, simulations and/or demonstrations; in accomplishing those objectives and on the timeliness of coordination and feedback of the test results (simulations/demonstrations) into the design and/or manufacturing process. Other activities include: producibility engineering, logistics support analysis, supportability considerations (maintenance personnel/skills availability or work-hour constraints, operating and cost constraints, allowable downtime, turn-around-time to service/maintain the system, standardization requirements) survivability, human factors, reliability, quality, maintainability, availability, inspectability, etc. Although some of these activities will be specifically addressed in other elements/sub-elements (such as product assurance), the focus of the assessment of systems engineering is on the integration of those specific disciplines/activities. The assessment of systems engineering needs to remain flexible to allow the evaluator to account for *program unique technical* concerns and to allow for the changing systems engineering environment as a program moves through the program phases, e.g., Engineering and Manufacturing Development, Production.

**Dark Blue (Exceptional).** Performance meets contractual requirements and exceeds many to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.

*Note: To justify an Exceptional rating, you should identify multiple significant events in each category and state how it was a benefit to the GOVERNMENT. However, a singular benefit could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should have been NO significant weaknesses identified.*

**Purple (Very Good).** Performance meets contractual requirements and exceeds some to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.

*Note: To justify a Very Good rating, you should identify a significant event in each category and state how it was a benefit to the GOVERNMENT. Also there should have been no significant weaknesses identified.*

**Green (Satisfactory).** Performance meets contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.

*Note: To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract. Also there should have been NO significant weaknesses identified.*

**Yellow (Marginal).** Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.

*Note: To justify Marginal performance, you should identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. A Marginal rating should be supported by referencing the management tool that notified the contractor of the contractual deficiency (e.g. Management, Quality, Safety, or Environmental Deficiency Report or letter).*

**Red (Unsatisfactory).** Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains a serious problem(s) for which the contractor's corrective actions appear or were ineffective.

*Note: To justify an Unsatisfactory rating, you should identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. However, a singular problem could be of such serious magnitude that it alone constitutes an unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the management tools used to notify the contractor of the contractual deficiencies (e.g. Management, Quality, Safety, or Environmental Deficiency Reports, or letters).*

NOTE 1: Plus or minus signs may be used to indicate an improving (+) or worsening (-) trend insufficient to change the assessment status.

NOTE 2: N/A (not applicable) should be used if the ratings are not going to be applied to a particular area for evaluation.

**Figure A1.1. Evaluation Ratings.**

**A1.20.3 Block 18a(3) - Software Engineering.** Assess the contractor's success in meeting contract requirements for software development, modification, or maintenance. Results from Software Capability Evaluations (SCEs) [using the Software Engineering Institute (SEI) Capability Maturity Model (CMM) as a means of measurement], Software Development Capability Evaluations (SDCEs), or similar software assessments may be used as a source of information to support this evaluation.

Consider the amount and quality of software development resources devoted to support the contract effort.

**A1.20.4 Block 18a(4) - Logistic Support/Sustainment.** Assess the success of the contractor's performance in accomplishing logistics planning.

For example, maintenance planning; manpower and personnel; supply support; support equipment; technical provisioning data; training and support; computer resources support; facilities; packaging, handling, storage and transportation; and design interface; and the contractor's performance of logistics support analysis activities and the contractor's ability to successfully support fielded equipment. When the contract requires technical/engineering data deliverables, the cognizant cataloging/standardization activity comments should be solicited.

**A1.20.5 Block 18a(5) - Product Assurance.** Assess how successfully the contractor meets program quality objectives; e.g., producibility, reliability, maintainability, inspectability, testability, and system safety, and controls the overall manufacturing process.

The program manager must be flexible in how contractor success is measured; e.g., data from design test/operational testing successes, field reliability and maintainability and failure reports, user comments and acceptance rates, improved subcontractor and vendor quality, and scrap and rework rates. These quantitative indicators may be useful later, for example, in source selection evaluations, in demonstrating continuous improvement, quality and reliability leadership that reflects progress in total quality management. Assess the contractor's control of the overall manufacturing process to include material control, shop floor planning and control, status and control, factory floor optimization, factory design, and factory performance.

**A1.20.6 Block 18a(6) - Other Technical Performance.** Assess all the other technical activity critical to successful contract performance. Identify any additional assessment aspects that are unique to the contract or that cannot be captured in another sub-element.

**A1.21 Block 18b - Schedule.** Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, administrative requirements, etc.

Assess the contractor's adherence to the required delivery schedule by assessing the contractor's efforts during the assessment period that contribute to or effect the schedule variance. Also, address significance of scheduled events (e.g., design reviews), discuss causes, and assess the effectiveness of contractor corrective actions.

**A1.22 Block 18c - Cost Control (Not required for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment).** Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost.

Is the contractor experiencing cost growth or underrun? If so, discuss the causes and contractor-proposed solutions for the cost overruns. For contracts where task or contract sizing is based upon

contractor provided person-hour estimates, the relationship of these estimates to ultimate task cost should be assessed. In addition, the extent to which the contractor demonstrates a sense of cost responsibility, through the efficient use of resources in each work effort should be assessed.

**A1.23 Block 18d - Management.** This element is comprised of an overall rating and three sub-elements. Activity critical to successfully executing the contract must be assessed within one or more of the sub-elements. This overall rating at the element level is the assessing official's integrated assessment as to what most accurately depicts the contractor's performance in managing the contracted effort. *It is not a roll-up of the sub-element assessments.*

**A1.23.1 Block 18d(1) - Management Responsiveness.** Assess the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals (especially responses to change orders, engineering change proposals (ECPs), or other undefinitized contract actions), the contractor's history of reasonable and cooperative behavior, effective business relations, and customer satisfaction.

Consider the contractor's responsiveness to the program needs during the period covered by the report.

**A1.23.2 Block 18d(2) - Subcontract Management.** Assess the contractor's success with timely award and management of subcontracts, including whether the contractor met small/small disadvantaged and women-owned business participation goals.

Identify the percentage of the contract work that was represented by subcontracted efforts, and assess the prime contractor's effort devoted to managing subcontracts and whether subcontractors were an integral part of the contractor's team. Consider efforts taken to ensure early identification of subcontract problems and the timely application of corporate resources to preclude subcontract problems from impacting overall prime contractor performance.

**A1.23.3 Block 18d(3) - Program Management and Other Management.** Assess the extent to which the contractor discharges its responsibility for integration and coordination of all activity needed to execute the contract; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by contract; communicates appropriate information to affected program elements in a timely manner. Assess the contractor's risk management practices, especially the ability to identify risks and formulate and implement risk mitigation plans. If applicable, identify any other areas that are unique to the contract, or that cannot be captured elsewhere under the Management element.

Integration and coordination of activities should reflect those required by the Integrated Master Plan/Schedule. Also consider the adequacy of the contractor's mechanisms for tracking contract compliance, recording changes to planning documentation and management of cost and schedule control system, and internal controls, as well as the contractor's performance relative to management of data collection, recording, and distribution as required by the contract.

**A1.24 Block 18e - Other Areas.** Specify additional evaluation areas that are unique to the contract, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use Block 20.

A1.24.1 If the contract contains an award fee provision, enter "award fee" in the "Other Areas" block (18e). Use the columns, beginning with the "Past Color" column, to record the award fee percentages earned. Subsequent columns should be used if there was more than one award fee earned during the period covered by the CPAR (as reflected in Block 3). For example, if two award fees were earned during the period covered by report and the contractor earned 80% on both, the Block 18e entry under "Past Color" would read: "1--80%" and under "Red" the entry would read: "2--80%." In addition, the assessing official *should* translate the award fee earned to color ratings, which could prove more useful for using past performance to assess future performance risk in upcoming source selections. In this instance, the Block 18e entry could read: "1--Green" or "1--80%-Green." If award fee information is included in the CPAR, use Block 20 to provide a description for each award fee listed in Block 18e. Include the scope of the award fee by describing the extent to which it covers the total range of contract performance activities, or is restricted to certain elements of the contract.

A1.24.2 If any other type of contract incentive is included in the contract (excluding contract shareline incentives on fixed price or cost-type contracts), it should be reported in a manner similar to the procedures described above for award fee. Enter "Incentive" in Block 18e.

A1.24.3 Use Block 18e in those instances where the assessing official believes strongly, either positively or negatively, regarding an aspect of the contractor's performance, but cannot fit that aspect into any of the other blocks on the form. As an example, this block may be used to address security issues, provide an assessment of provisioning line items or other areas deemed appropriate.

**A1.25 Block 19 - Variance (Contract to Date).** If CPR or C/SSR data are available, identify the current percent cost variance to date, the government's estimated completion cost variance (percent), and the cumulative schedule variance (percent). Indicate the cutoff date for the CPR or C/SSR used.

A1.25.1 Compute current cost variance percentage by dividing cumulative cost variance to date (column 11 of the CPR, column 6 of the C/SSR) by the Budgeted Cost of Work Performed (BCWP) and multiplying by 100.

A1.25.2 Compute completion cost variance percentage by dividing the Contract Budget Baseline (CBB) less the government's estimate at completion (EAC) by CBB and multiplying by 100. The calculation is  $[(CBB - EAC)/CBB] \times 100$ . The CBB must be the current budget base against which the contractor is performing (including formally established over target baselines (OTB)). If an OTB has been established since the last CPAR, a brief description in Block 20 of the nature and magnitude of the baseline adjustment must be provided. Subsequent CPARs must evaluate cost performance in terms of the revised baseline and reference the CPAR that described the baseline adjustment. For example, "The contract baseline was formally adjusted on (date); see CPAR for (period covered by report) for an explanation."

A1.25.3 Compute cumulative schedule variance percentage by dividing the Budgeted Cost of Work Performed (BCWP) less budgeted cost of work scheduled (BCWS) by BCWS and multiplying by 100. The calculation is  $[(BCWP - BCWS)/BCWS] \times 100$ . If the schedule variance exceeds 15 percent (positive or negative), briefly discuss in Block 20 the significance of this variance for the contract effort.

**A1.26 Block 20 - Assessing Official (i.e., Program Manager or Equivalent Individual Responsible For Program, Project, or Task/Job Order Execution) Narrative (See Para. 1.3).** A short, factual narrative statement is required for all assessments regardless of color rating (e.g., even "green" ratings require narrative support). Cross-reference the comments in Block 20 to their corresponding evaluation area in Block 18 or 19. Each narrative statement in support of the area assessment must contain objective data. An exceptional cost performance assessment could, for example, cite the current underrun dollar value and estimate at completion. A marginal engineering

design/support assessment could, for example, be supported by information concerning personnel changes. Key engineers familiar with the effort may have been replaced by less experienced engineers. Sources of data include operational test and evaluation results; technical interchange meetings; production readiness reviews; earned contract incentives; or award fee evaluations.

**A1.26.1** The final entry in this block will be a statement by the evaluator in the following form: "Given what I know today about the contractor's ability to execute what he promised in his proposal, I (definitely would not, probably would not, might or might not, probably would or definitely would) award to him today given that I had a choice". Block 20 comments may be up to 16,000 characters in the CPARS AIS..

**A1.27 Block 21 – Assessing Official Signature (See Para. 1.3).** The assessing official "signs and dates" the form prior to making it available to the contractor for review. (See Section C, paragraph 7.5 for guidance on sending the CPAR to the contractor for review and comment.)

**A1.28 Block 22 - Contractor Comments.** At the option of the contractor.

**A1.29 Block 23 - Contractor Representative Signature.** Self-explanatory.

**A1.30 Block 24 - Reviewing Official Comments.** The reviewing official must acknowledge consideration of any significant discrepancies between the PM assessment and the contractor's comments.

**A1.31 Block 25 - Reviewing Official Signature.** Self-explanatory. (See section C, paragraph 7.8 and Table 1 for guidance as to who may act as the reviewing official.)

## **ATTACHMENT 3**

### **FORM AND INSTRUCTIONS FOR COMPLETING A SHIP REPAIR AND OVERHAUL CPAR**



# ATTACHMENT 3

## SHIP REPAIR AND OVERHAUL CPAR FORM

FOR OFFICIAL USE ONLY (When Filled In)

### CONTRACTOR PERFORMANCE ASSESSMENT REPORT (CPAR) - SHIP REPAIR & OVERHAUL

(Source Selection Sensitive Information)(See FAR 3.104)

1. NAME/ADDRESS OF CONTRACTOR (Division)				2.		INTERMEDIATE		FINAL REPORT		ADDENDUM							
				3. PERIOD OF PERFORMANCE BEING ASSESSED													
CAGE CODE				DUNS+4 NUMBER				4a. CONTRACT NUMBER				4b. DOD BUSINESS SECTOR & SUB-SECTOR					
FSC OR SERVICE CODE				SIC CODE				5. CONTRACTING OFFICE (ORGANIZATION AND CODE)									
6. LOCATION OF CONTRACT PERFORMANCE (If not in item 1)								7a. CONTRACTING OFFICER				7b. PHONE NUMBER					
								8. CONTRACT AWARD DATE				9. CONTRACT COMPLETION DATE					
								10. CONTRACT PERCENT COMPLETE/DELIVERY ORDER STATUS									
								11. AWARDED VALUE				12. CURRENT CONTRACT DOLLAR VALUE					
								13.				COMPETITIVE				NON-COMPETITIVE	
14. CONTRACT TYPE																	
FFP		FPI		FPR		CPFF		CPIF		CPAF		MIXED		OTHER			
15. KEY SUBCONTRACTORS AND DESCRIPTION OF EFFORT PERFORMED																	
16. TYPE OF AVAILABILITY																	
DSRA		SRA		DPMA		PMA		ROH		MTA							
DPIA		PIA		RAV		TAV		OTHER (Please specify)									
17. CONTRACT EFFORT DESCRIPTION (Highlight key components, technologies and requirements; key milestone events and major modifications to contract during this period.)																	
18. EVALUATE THE FOLLOWING AREAS				PAST COLOR		RED		YELLOW		GREEN		PURPLE		BLUE		N/A	
a. TECHNICAL (QUALITY OF PRODUCT)																	
(1) PRODUCT PERFORMANCE																	
(2) SYSTEMS ENGINEERING (Optional)																	
(3) SOFTWARE ENGINEERING (Optional)																	
(4) LOGISTIC SUPPORT/SUSTAINMENT (Optional)																	
(5) PRODUCT ASSURANCE (Optional)																	
(6) OTHER TECHNICAL PERFORMANCE (Optional)																	
b. SCHEDULE																	
c. COST CONTROL																	
d. MANAGEMENT																	
(1) MANAGEMENT RESPONSIVENESS																	
(2) SUBCONTRACT MANAGEMENT (Optional)																	
(3) PROGRAM MANAGEMENT & OTHER MANAGEMENT (Optional)																	
e. OTHER AREAS																	
(1)																	
(2)																	

FOR OFFICIAL USE ONLY (When Filled In)

# ATTACHMENT 3

## SHIP REPAIR AND OVERHAUL CPAR FORM (continued)

FOR OFFICIAL USE ONLY (When Filled In)

19. VARIANCE (Contract to date)		CURRENT	COMPLETION
COST VARIANCE (%)			
SCHEDULE VARIANCE (%)			
ASSESSING OFFICIAL (PROGRAM MANAGER OR EQUIVALENT INDIVIDUAL RESPONSIBLE FOR PROGRAM, PROJECT, OR TASK/JOB ORDER EXECUTION) (SEE PARA. 1.3) OR ADMINISTRATIVE CONTRACTING OFFICER (ACO) NARRATIVE			
21. TYPE NAME AND TITLE OF ASSESSING OFFICIAL (SEE PARA. 1.3) OR ACO		ORGANIZATION AND CODE	PHONE NUMBER
SIGNATURE		DATE	
22. CONTRACTOR COMMENTS (Contractor's Option)			
23. TYPE NAME AND TITLE OF CONTRACTOR REPRESENTATIVE		PHONE NUMBER	
SIGNATURE		DATE	
24. REVIEW BY REVIEWING OFFICIAL (Comments Optional)			
25. TYPE NAME AND TITLE OF REVIEWING OFFICIAL		ORGANIZATION AND CODE	PHONE NUMBER
SIGNATURE		DATE	

FOR OFFICIAL USE ONLY (When Filled In)

# ATTACHMENT 3

## INSTRUCTIONS FOR COMPLETING A SHIP REPAIR AND OVERHAUL CPAR FORM

**A1.2 Block 1 - Name/Address of Contractor.** State the name and address of the division or subsidiary of the contractor performing the contract. Identify the parent corporation (no address required). Identify the contractor's Commercial and Government Entity (CAGE) code<sup>1</sup>, Data Universal Numbering System DUNS+4 number,<sup>2</sup> Federal Supply Classification (FSC) or Service Code<sup>3</sup>, and Standard Industry Classification (SIC) Code<sup>4</sup>.

<sup>1</sup> CAGE Code: Unique five character company identification number issued by the Defense Logistics Service Center (DLSC) to identify DoD contractors. It is automatically assigned and validated in the registration process.

<sup>2</sup> DUNS: Unique nine character company identification number issued by Dun & Bradstreet Corporation. DUNS+4 is a four character suffix assigned by the trading partner to identify a division or affiliate.

<sup>3</sup> FSC or Service Code: Enter the 4-character federal supply classification or service code that describes the contract effort. To find the code, look in Section I of the Department of Defense (DoD) Procurement Coding Manual (MN02). There are three categories of codes to choose from. In some cases, use a 4-character code from a list of 4-character codes; in other cases, construct a code using the instructions in the Manual. If more than one category or code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

<sup>4</sup> SIC Code: These codes are in the OMB Standard Industrial Classification Manual. If more than one code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

**A1.3 Block 2 - Type Report.** Indicate, in accordance with Section C paragraph 6, that the CPAR is a final report. If the period of performance exceeds 12 months and a report is required prior to the final report, check "Intermediate." If an out-of-cycle report is required, check "Intermediate." If this is a report to record contractor performance relative to contract close-out or other administrative requirements, check "Addendum."

**A1.4 Block 3 - Period of Performance Being Assessed.** State the period of performance covered by the report (dates must be in MM/DD/YY format).

**A1.5 Block 4a - Contract Number.** Self-explanatory.

**Block 4b - DoD Business Sector & Sub-Sector.** Systems is the business sector, Shipbuilding is the sub-sector, and Ship Repair and Overhaul is the sub-sector of Shipbuilding.

**A1.6 Block 5 - Contracting Office (Organization and Code).** Self-explanatory.

**A1.7 Block 6 - Location of Contract Performance.** Self-explanatory.

**A1.8 Block 7a - Contracting Officer.** Self-explanatory.

**Block 7b - Phone Number.** Self-explanatory.

**A1.9 Block 8 - Contract Award Date.** Self-explanatory.

**A1.10 Block 9 - Contract Completion Date.** Self-explanatory.

**A1.11 Block 10 - Contract Percent Complete/Delivery Order Status.** State the current percent of the contract that is complete.

**A1.12 Block 11 - Awarded Value.** Total value of contract including unexercised options and orders. (For IDIQ contracts, enter total estimated value of unexercised options and orders).

**A1.13 Block 12 - Current Contract Dollar Value.** State the current funded amount including options of the contract as of the report date.

**A1.14 Block 13 - Basis of Award.** Identify the basis of award by placing an "X" in the appropriate box.

**A1.15 Block 14 - Contract Type.** Identify the contract type. For mixed contract types, check the predominate contract type and identify the other contract type in the "mixed" block.

**A1.16 Block 15 - Key Subcontractors and Effort Performed.** Identify subcontractors performing either a critical aspect of the contracted effort or more than 25 percent of the dollar value of the effort. Provide a description of the effort being performed.

**A1.16 Block 16 -Type of Availability.** Provide a description of the type of repair availability being performed; e.g. DSRA, SRA, DPMA, PMA, ROH, DPIA, PIA, RAV, TAV, MTA, etc.

**A1.18 Block 17 - Contract Effort Description.** Provide a complete description of the work package under contract that identifies key repairs, alterations, systems, components, subsystems, and any other pertinent technical requirements. This section is of critical importance to future performance risk assessment groups (PRAGs) and source selection authorities. The description should be detailed enough to assist a future PRAG in determining the relevancy of this contractual effort to their source selection. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort.

**A1.19 Block 18 - Evaluation Areas.** Evaluate each area based on the following criteria:

**A1.19.1** Each area assessment must be based on objective data that will be provided in Block 20. Facts to support specific areas of evaluation must be requested from the contracting officer and other government specialists familiar with the contractor's performance on the contract under review.

**A1.19.2** The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the contractor's performance. For example, if a contractor meets an extremely tight schedule, an exceptional rating may be appropriate, or meeting a tight schedule with few delinquencies, a satisfactory rating with a plus sign assessment may be given in recognition of the inherent schedule risk. When a contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the Block 18 ratings.

A1.19.3 The CPAR is designed to assess prime contractor performance. However, in those evaluation areas where subcontractor actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor actions in Block 20.

A1.19.4 Many of the evaluation areas in Block 18 represent groupings of diverse elements. The assessing official (see para. 1.3) or Administrative Contracting Officer (ACO) should consider each element and use the area rating to highlight significant issues. In addition, the assessing official or ACO should clearly focus on the contractor's "results," as they may be appropriate for the period being assessed, in determining the overall area rating.

A1.19.5 Evaluate all five areas which pertain to ship repair contracts under evaluation, unless they're not applicable-N/A.

A1.19.6 When performance has changed from one period to another such that a change in rating results, the narrative in Block 20 must address each change.

A1.19.7 The assessing official (see para. 1.3) or ACO should use customary industry quantitative measures where they are applicable.

A1.19.8 Ratings will be in accordance with the definitions described below in A1.1, "Evaluation Ratings."

**A1.20 Block 18a - Technical (Quality of Product).** This element is comprised of an overall rating and six sub-elements. Activity critical to successfully complying with contract requirements must be assessed within one or more of these sub-elements. The overall rating at the element level is the assessing official's integrated assessment as to what most accurately depicts the contractor's technical performance or progress toward meeting requirements. *This assessment is not a roll-up of the sub-element assessments.*

**A1.20.1 Block 18a(1) - Product Performance.** Assess the achieved product performance relative to performance parameters required by the contract.

For example, the extent to which the contractor is meeting the solicitation's requirements, including but not limited to satisfactorily completing the work package, adhering to the specifications, complying with the contract data requirement lists and any special contract clauses.

**Dark Blue (Exceptional).** Performance meets contractual requirements and exceeds many to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.

*Note: To justify an **Exceptional** rating, you should identify multiple significant events in each category and state how it was a benefit to the GOVERNMENT. However, a singular benefit could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should have been NO significant weaknesses identified.*

**Purple (Very Good).** Performance meets contractual requirements and exceeds some to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.

*Note: To justify a **Very Good** rating, you should identify a significant event in each category and state how it was a benefit to the GOVERNMENT. Also there should have been no significant weaknesses identified.*

**Green (Satisfactory).** Performance meets contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.

*Note: To justify a **Satisfactory** rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract. Also there should have been NO significant weaknesses identified.*

**Yellow (Marginal).** Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.

*Note: To justify **Marginal** performance, you should identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. A **Marginal** rating should be supported by referencing the management tool that notified the contractor of the contractual deficiency (e.g. Management, Quality, Safety, or Environmental Deficiency Report or letter).*

**Red (Unsatisfactory).** Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains a serious problem(s) for which the contractor's corrective actions appear or were ineffective.

*Note: To justify an **Unsatisfactory** rating, you should be able to identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. However, a singular problem could be of such serious magnitude that it alone constitutes an unsatisfactory rating. An **Unsatisfactory** rating should be supported by referencing the management tools used to notify the contractor of the contractual deficiencies (e.g. Management, Quality, Safety or Environmental Deficiency Reports, or letters).*

NOTE 1: Plus or minus signs may be used to indicate an improving (+) or worsening (-) trend insufficient to change the assessment status.

NOTE 2: N/A (not applicable) should be used if the ratings are not going to be applied to a particular area for evaluation.

**Figure A1.1. Evaluation Ratings.**

**A1.20.2 Block 18a(2) - Systems Engineering (optional).** Assess the contractor's effort to transform operational needs and requirements into an integrated system design solution.

Areas of focus should be: the planning and control of technical program tasks, the quality and adequacy of the engineering support provided throughout all phases of contract execution, the integration of the engineering specialties, management of interfaces, and the management of a totally integrated effort of all engineering concerns to meet cost, technical performance, and schedule objectives. System engineering activities ensure that integration of these engineering concerns is addressed up-front and early in the design/development process. The assessment should cover these disciplines: systems architecture, design, manufacturing, integration and support, configuration control, documentation, test and evaluation. The assessment for test and evaluation should consider success/problems/failure in developing test and evaluation objectives; planning (ground/air/sea) test, simulations and/or demonstrations; in accomplishing those objectives and on the timeliness of coordination and feedback of the test results (simulations/demonstrations) into the design and/or manufacturing process. Other activities include: producibility engineering, logistics support analysis, supportability considerations (maintenance personnel/skills availability or work-hour constraints, operating and cost constraints, allowable downtime, turn-around-time to service/maintain the system, standardization requirements) survivability, human factors, reliability, quality, maintainability, availability, inspectability, etc. Although some of these activities will be specifically addressed in other elements/sub-elements (such as product assurance), the focus of the assessment of systems engineering is on the integration of those specific disciplines/activities. The assessment of systems engineering needs to remain flexible to allow the evaluator to account for *program unique technical* concerns and to allow for the changing systems engineering environment as a program moves through the program phases, e.g., Engineering and Manufacturing Development, Production.

**A1.20.3 Block 18a(3) - Software Engineering (optional).** Assess the contractor's success in meeting contract requirements for software development, modification, or maintenance. Results from Software Capability Evaluations (SCEs) [using the Software Engineering Institute (SEI's) Capability Maturity Model (CMM) as a means of measurement], Software Development Capability Evaluations (SDCEs), or similar software assessments may be used as a source of information to support this evaluation.

**A1.20.4 Block 18a(4) - Logistic Support/Sustainment (optional).** Assess the success of the contractor's performance in accomplishing logistics planning.

For example, maintenance planning; manpower and personnel; supply support; support equipment; technical provisioning data; training and support; computer resources support; facilities; packaging, handling, storage and transportation; and design interface; and the contractor's performance of logistics support analysis activities and the contractor's ability to successfully support fielded equipment. When the contract requires technical/engineering data deliverables, the cognizant cataloging/standardization activity comments should be solicited.

**A1.20.5 Block 18a(5) - Product Assurance (optional).** Assess how successfully the contractor meets program quality objectives; e.g., producibility, reliability, maintainability, inspectability, testability, and system safety, and controls the overall manufacturing process.

The assessing official must be flexible in how contractor success is measured; e.g., data from design test/operational testing successes, field reliability and maintainability and failure reports, user comments and acceptance rates, improved subcontractor and vendor quality, and scrap and rework rates. These quantitative indicators may be useful later, for example, in source selection evaluations, in demonstrating continuous improvement, quality and reliability leadership that

reflects progress in total quality management. Assess the contractor's control of the overall production process to include material control, shop planning and control, and statusing.

**A1.20.6 Block 18a(6) - Other Technical Performance (optional).** Assess all the other technical activity critical to successful contract performance. Identify any additional assessment aspects that are unique to the contract or that cannot be captured in another sub-element.

**A1.21 Block 18b - Schedule.** Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, administrative requirements, etc.

Assess the contractor's adherence to the contract schedule by evaluating the contractor's efforts during the availability's contractual performance period. Assess the contractor's adherence to the required delivery schedule by assessing the contractor's efforts during the assessment period that contribute to or effect the schedule variance. Also, address significance of scheduled events, discuss causes, and assess the effectiveness of contractor corrective actions. The associated narrative explanation in Block 16 should address significance of scheduled events, discuss causes, and evaluate effectiveness of contractor corrective actions.

**A1.22 Block 18c - Cost Control (Not required for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment).** Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost.

Is the contractor experiencing cost growth or underrun? If so, discuss the causes and contractor-proposed solutions for the cost overruns. For contracts where task or contract sizing is based upon contractor provided person-hour estimates, the relationship of these estimates to ultimate task cost should be assessed. In addition, the extent to which the contractor demonstrates a sense of cost responsibility, through the efficient use of resources in each work effort, should be assessed.

**A1.23 Block 18d - Management.** This element is comprised of an overall rating and three sub-elements. Activity critical to successfully executing the contract must be assessed within one or more of the sub-elements. This overall rating at the element level is the assessing official's integrated assessment as to what most accurately depicts the contractor's performance in managing the contracted effort. *It is not a roll-up of the sub-element assessments.*

**A1.23.1 Block 18d(1) - Management Responsiveness.** Assess the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals (especially responses to change orders, engineering change proposals (ECPs), or other undefinitized contract actions), the contractor's history of reasonable and cooperative behavior, effective business relations, and customer satisfaction.

Consider the adequacy of the contractor's responsiveness to the customer's (i.e., program) needs during the availability's contractual performance period.

**A1.23.2 Block 18d(2) - Subcontract Management (optional).** Assess the contractor's success with timely award and management of subcontracts, including whether the contractor met small/small disadvantaged and women-owned business participation goals.

Identify the percentage of the contract work that was represented by subcontracted efforts, and assess the prime contractor's effort devoted to managing subcontracts and whether subcontractors were an integral part of the contractor's team. Consider efforts taken to ensure early identification



of subcontract problems and the timely application of corporate resources to preclude subcontract problems from impacting overall prime contractor performance.

**A1.23.3 Block 18d(3) - Program Management and Other Management (optional).** Assess the extent to which the contractor discharges its responsibility for integration and coordination of all activity needed to execute the contract ; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by contract; communicates appropriate information to affected program elements in a timely manner. Assess the contractor's risk management practices, especially the ability to identify risks and formulate and implement risk mitigation plans. If applicable, identify any other areas that are unique to the contract, or that cannot be captured elsewhere under the Management element.

Integration and coordination of activities should reflect those required by the Integrated Master Plan/Schedule. Also consider the adequacy of the contractor's mechanisms for tracking contract compliance, recording changes to planning documentation and management of cost and schedule control system, and internal controls, as well as the contractor's performance relative to management of data collection, recording, and distribution as required by the contract.

**A1.24 Block 18e - Other Areas.** Specify additional evaluation areas that are unique to the contract, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use Block 20.

**A1.24.1** If the contract contains an award fee provision, enter "award fee" in the "Other" block (18e). Use the columns, beginning with the "Past Color" column, to record the award fee percentages earned. Subsequent columns should be used if there was more than one award fee earned during the period covered by the CPAR (as reflected in Block 3). For example, if two award fees were earned during the period covered by the report and the contractor earned 80% on both, the Block 18e entry under "Past Color" would read: "1--80%" and under "Red" the entry would read: "2--80%." In addition, the assessing official *should* translate the award fee earned to color ratings, which could prove more useful for using past performance to assess future performance risk in upcoming source selections. In this instance, the Block 18e entry could read: "1--Green" or "1--80%--Green." If award fee information is included in the CPAR, use Block 20 to provide a description for each award fee listed in Block 18e. Include the scope of the award fee by describing the extent to which it covers the total range of contract performance activities, or is restricted to certain elements of the contract.

**A1.24.2** If any other type of contract incentive is included in the contract (excluding contract shareline incentives on fixed price or cost-type contracts), it should be reported in a manner similar to the procedures described above for award fee.

**A1.24.3** Use Block 18e in those instances where the assessing official believes strongly, either positively or negatively, regarding an aspect of the contractor's performance, but cannot fit that aspect into any of the other blocks on the form. As an example, this block may be used to address security issues, provide an assessment of provisioning line items or other areas decreed appropriate.

**A1.25 Block 19 - Variance (contract to date)**

**A1.25.1** Compute completion cost variance percentage by relating Award Price and Final Price. If no variance, so state.

A1.25.2 Compute schedule variance percentage by computing actual duration and scheduled duration. If no variance, so state.

**A1.26 Block 20 - Assessing official (Program Manager or Equivalent Individual Responsible For Program, Project, or Task/Job Order Execution) (See Para. 1.3) or Administrative Contracting Officer (ACO) Narrative.** A short, factual narrative statement is required for all assessments regardless of color rating (e.g., even “green” ratings require narrative support). Cross-reference the comments in Block 20 to their corresponding evaluation area in Block 18 and 19. Each narrative statement in support of the area assessment must contain objective data. An exceptional cost performance assessment could, for example, cite the current underrun dollar value and estimate at completion.

A1.26.1 The final entry in this block will be a statement by the evaluator in the following form: “Given what I know today about the contractor’s ability to execute what he/she promised in his/her proposal, I (definitely would not, probably would not, might or might not, probably would or definitely would) award to him/her today given that I had a choice.”

**A1.27 Block 21 - Assessing Official (See Para. 1.3) or Administrative Contracting Officer (ACO) Signature.** The assessing official/ACO “signs and dates” the form prior to making it available to the contractor for review. (See Section C, paragraph 7.5 for guidance on sending the CPAR to the contractor for review and comment.)

**A1.28 Block 22 - Contractor Comments.** At the option of the contractor.

**A1.29 Block 23 - Contractor Representative Signature.** Self-explanatory.

**A1.30 Block 24 - Reviewing Official Comments.** The reviewing official must acknowledge consideration of any significant discrepancies between the assessing official (see Para. 1.3) or ACO assessment and the contractor’s comments.

**A1.31 Block 25 - Reviewing Official Signature.** Self-explanatory. (See Section C, paragraph 7.8 and Table 1 for guidance as to who may act as the reviewing official.)

## **ATTACHMENT 4**

### **FORM AND INSTRUCTIONS FOR COMPLETING A SERVICES, INFORMATION TECHNOLOGY, OR OPERATIONS SUPPORT CPAR**

# ATTACHMENT 4

## SERVICES, INFORMATION TECHNOLOGY, AND OPERATIONS SUPPORT CPAR FORM

FOR OFFICIAL USE ONLY (When Filled In)

CONTRACTOR PERFORMANCE ASSESSMENT REPORT (CPAR) -										SERVICES INFORMATION TECHNOLOGY OPERATIONS SUPPORT				
<i>(Source Selection Sensitive Information)(See FAR 3.104)</i>														
1. NAME/ADDRESS OF CONTRACTOR (Division)					2. <input type="checkbox"/> INITIAL		<input type="checkbox"/> INTER-MEDIATE		<input type="checkbox"/> FINAL REPORT		<input type="checkbox"/> ADDENDUM			
					3. PERIOD OF PERFORMANCE BEING ASSESSED									
CAGE CODE			DUNS+4 NUMBER		4a. CONTRACT AND ORDER NUMBER				4b. DoD BUSINESS SECTOR & SUB-SECTOR					
FSC OR SERVICE CODE			SIC Code		5. CONTRACTING OFFICE (ORGANIZATION AND CODE)									
6. LOCATION OF CONTRACT PERFORMANCE (If not in item 1)					7a. CONTRACTING OFFICER				7b. PHONE NUMBER					
					8. CONTRACT AWARD DATE				9. CONTRACT COMPLETION DATE					
					10. N/A									
					11. AWARDED VALUE				12. CURRENT CONTRACT DOLLAR VALUE					
					13. <input type="checkbox"/>		<input type="checkbox"/> COMPETITIVE			<input type="checkbox"/>		<input type="checkbox"/> NON-COMPETITIVE		
14. CONTRACT TYPE														
<input type="checkbox"/>	<input type="checkbox"/> FFP	<input type="checkbox"/>	<input type="checkbox"/> FPI	<input type="checkbox"/>	<input type="checkbox"/> FPR	<input type="checkbox"/>	<input type="checkbox"/> CPFF	<input type="checkbox"/>	<input type="checkbox"/> CPIF	<input type="checkbox"/>	<input type="checkbox"/> CPAF	<input type="checkbox"/>	<input type="checkbox"/> MIXED	<input type="checkbox"/> OTHER
15. KEY SUBCONTRACTORS AND DESCRIPTION OF EFFORT PERFORMED														
16. PROGRAM TITLE AND PHASE OF ACQUISITION (If applicable)														
17. CONTRACT EFFORT DESCRIPTION (Highlight key components, technologies and requirements; key milestone events and major modifications to contract during this period.)														
					CURRENT RATING									
18. EVALUATE THE FOLLOWING AREAS					PAST Rating	Unsatisfactory	Marginal	Satisfactory	Very Good	Exceptional	N/A			
a. QUALITY OF PRODUCT OR SERVICE														
b. SCHEDULE														
c. COST CONTROL														
d. BUSINESS RELATIONS														
e. MANAGEMENT OF KEY PERSONNEL *														
f. OTHER AREAS														
(1)														
(2)														

FOR OFFICIAL USE ONLY (When Filled In)

\* Not applicable to Operations Support

# ATTACHMENT 4

## SERVICES, INFORMATION TECHNOLOGY, AND OPERATIONS SUPPORT CPAR FORM (continued)

FOR OFFICIAL USE ONLY (When Filled In)

19. N/A			
20. ASSESSING OFFICIAL (PROGRAM MANAGER OR EQUIVALENT INDIVIDUAL RESPONSIBLE FOR PROGRAM, PROJECT, OR TASK/JOB ORDER EXECUTION) NARRATIVE (SEE PARA. 1.3)			
21. TYPE NAME AND TITLE OF ASSESSING OFFICIAL (SEE PARA. 1.3)		ORGANIZATION & CODE	PHONE NUMBER
SIGNATURE		DATE	
22. CONTRACTOR COMMENTS (Contractor's Option)			
23. TYPE NAME AND TITLE OF CONTRACTOR REPRESENTATIVE		PHONE NUMBER	
SIGNATURE		DATE	
24. REVIEW BY REVIEWING OFFICIAL (Comments Optional)			
25. TYPE NAME AND TITLE OF REVIEWING OFFICIAL		ORGANIZATION AND CODE	PHONE NUMBER
SIGNATURE		DATE	

FOR OFFICIAL USE ONLY (When Filled In)

# ATTACHMENT 4

## INSTRUCTIONS FOR COMPLETING A SERVICES, INFORMATION TECHNOLOGY, OR OPERATIONS SUPPORT CPAR FORM

**A1.1 A1.2 Block 1 - Name/Address of Contractor.** State the name and address of the division or subsidiary of the contractor performing the contract. Identify the parent corporation (no address required). Identify the contractor's Commercial and Government Entity (CAGE) code<sup>1</sup>, Data Universal Numbering System DUNS+4 number,<sup>2</sup> Federal Supply Classification (FSC) or Service Code<sup>3</sup>, and Standard Industry Classification (SIC) Code<sup>4</sup>.

<sup>1</sup> CAGE Code: Unique five character company identification number issued by the Defense Logistics Service Center (DLSC) to identify DoD contractors. It is automatically assigned and validated in the registration process.

<sup>2</sup> DUNS: Unique nine character company identification number issued by Dun & Bradstreet Corporation. DUNS+4 is a four character suffix assigned by the trading partner to identify a division or affiliate.

<sup>3</sup> FSC or Service Code: The 4-character federal supply classification or service code that describes the contract effort. To find the code, look in Section I of the Department of Defense (DoD) Procurement Coding Manual (MN02). There are three categories of codes to choose from. In some cases, use a 4-character code from a list of 4-character codes; in other cases, construct a code using the instructions in the Manual. If more than one category or code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

<sup>4</sup> SIC Code: These codes are in the OMB Standard Industrial Classification Manual. If more than one code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

**A1.3 Block 2 - Type Report.** Indicate whether, in accordance with section C, paragraph 6, the CPAR is an initial, intermediate, or final report. If this is an out-of-cycle report, check "intermediate". If this is a report to record contractor performance relative to contract close-out or other administrative requirements, check "Addendum."

**A1.4 Block 3 - Period of Performance Being Assessed.** State the period of performance covered by the report (dates must be in MM/DD/YY format). In no instance should a period of evaluation include previously reported effort (i.e., CPARs are not cumulative or overlapping). CPAR assessments for "intermediate" reports should only cover a 12 month period of performance; therefore, the report should not reflect a period of performance greater than 12 months. Exceptions to this rule for special circumstances, such as a period of performance that ends one month before contract completion, must be approved by the CPAR focal point. The CPAR focal point has the authority to approve extensions when special circumstances arise.

**A1.5 Block 4a - Contract and Order Number.** Self-explanatory. If an order is issued under a Basic Ordering Agreement (BOA) state BOA number and order number under the BOA.

**A1.5.1 Block 4b – DoD Business Sector and Sub-Sector.** The Services sub-sectors are: Professional/Technical and Management Support Services, Repair and Overhaul (excludes ship repair and overhaul), Installation Services and DoD Transportation System Services. The Information Technology sub-sectors are: Software, Hardware, and Telecommunications Equipment or Services. The Operations Support sub-sectors are: Mechanical, Structural, Electronics, Electrical, Ammunition, Troop Support, and Base Supplies.

**A1.6 Block 5 - Contracting Office (Organization and Code).** Self-explanatory.

**A1.7 Block 6 - Location of Contract Performance.** Self-explanatory.

**A1.8 Block 7a - Contracting Officer.** Self-explanatory.

**Block 7b - Phone Number.** Self-explanatory.

**A1.9 Block 8 - Contract Award Date.** Self-explanatory.

**A1.10 Block 9 - Contract Completion Date.** Self-explanatory.

**A1.11 Block 10 - N/A.** Not applicable.

**A1.12 Block 11 - Awarded Value.** Total value of contract including unexercised options and orders.

**A1.13 Block 12 – Current Contract Dollar Value.** State the current funded amount including options of the contract as of the report date, inclusive of modifications. For incentive contracts, state the target price or total estimated amount. For IDIQ contracts the current contract dollar value will be the awarded value plus (+) the value of delivery orders and modifications. Under a Basic Ordering Agreement, this would be the total value of all orders issued as of the report date.

**A1.14 Block 13 - Basis of Award.** Identify the basis of award by placing an "X" in the appropriate box.

**A1.15 Block 14 - Contract Type.** Identify the contract type. For mixed contract types, check the predominate contract type and identify the other contract type in the "mixed" block.

**A1.16 Block 15 - Key Subcontractors and Description of Effort Performed** Identify the subcontractors and provide a short description of the effort that they are performing. If possible, include the amount of subcontract costs of the total contract effort. Discussion of the prime contractor's management of the subcontractor should be included in Block 18d - Business Relations. State whether the contractor met small/small disadvantaged and women-owned business participation goals.

**A1.17 Block 16 - Program Title and Phase of Acquisition.** Provide a short descriptive narrative of the program. Spell out all abbreviations. Identify the type of services (for example, professional services, maintenance, installation or information technology services).

**A1.18 Block 17 - Contract Effort Description.** Provide a description of the contract effort that identifies the key requirements and/or type of effort. This section is of critical importance to future source selections. The description should be detailed enough so that it can be used in determining the relevancy of this program to future source selections. Also, keep in mind that users of this information may not understand program jargon. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort. For task/delivery order contracts, state the number of orders issued during the period.

**A1.19 Block 18 - Evaluation Areas.** Evaluate each area based on the following criteria:

A1.19.1. Each area assessment must be based on objective data that will be provided in Block 20. Facts to support specific areas of evaluation must be requested from the contracting officer and other government specialists familiar with the contractor's performance on the contract under review. Such specialists may, for example include the Contracting Officer's Representative (COR) for the program and may also, be from engineering, manufacturing, quality, logistics (including provisioning), contract administration services, maintenance, security, data, etc.

A1.19.2 The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the contractor's performance. When a contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the Block 18 ratings.

A1.19.3 The CPAR is designed to assess prime contractor performance. However, in those evaluation areas where subcontractor actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor actions in Block 20.

A1.19.4 Evaluate all areas which pertain to the contract under evaluation, unless they are not applicable--"N/A".

A1.19.5 When performance has changed from one period to another such that a change in rating results, the narrative in Block 20 must address each change.

A1.19.6 The assessing official (see para. 1.3) should use customary industry quantitative measures where they are applicable if the contract is for commercial products.

A1.19.7 Ratings will be in accordance with the definitions described below in Figure A1.1.

**A1.20 Block 18a - Quality of Product or Service.** Assess the contractor's conformance to contract requirements, specifications and standards of good workmanship (e.g., commonly accepted technical, professional, environmental, or safety and health standards).

For example: Are reports/data accurate? Does the product or service provided meet the specifications of the contract? Does the contractor's work measure up to commonly accepted technical or professional standards? Assess the degree of Government technical direction required to solve problems that arise during performance.

For Operations Support: Assess how successfully the contractor meets program quality objectives such as producibility, reliability, maintainability and inspectability. The assessing official (see para. 1.3) must be flexible in how contractor success is measured; e.g. using data from field reliability and maintainability and failure reports, user comments and acceptance rates, and scrap and rework rates. These quantitative



**Dark Blue (Exceptional).** Performance meets contractual requirements and exceeds many to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.

*Note: To justify an Exceptional rating, you should identify multiple significant events in each category and state how it was a benefit to the GOVERNMENT. However a singular event could be of such magnitude that it alone constitutes an Exceptional rating. Also there should have been NO significant weaknesses identified.*

**Purple (Very Good).** Performance meets contractual requirements and exceeds some to the Government's benefit. The contractual performance of the element or sub-element being assessed was accomplished with some minor problems for which corrective actions taken by the contractor were effective.

*Note: To justify a Very Good rating, you should identify a significant event in each category and state how it was a benefit to the GOVERNMENT. Also there should have been NO significant weaknesses identified.*

**Green (Satisfactory).** Performance meets contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.

*Note: To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract. Also there should have been NO significant weaknesses identified.*

**Yellow (Marginal).** Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being assessed reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.

*Note: To justify Marginal performance, you should identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. A Marginal rating should be supported by referencing the management tool that notified the contractor of the contractual deficiency (e.g. Management, Quality, Safety or Environmental Deficiency Report or letter).*

**Red (Unsatisfactory).** Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element being assessed contains serious problem(s) for which the contractor's corrective actions appear or were ineffective.

*Note: To justify an Unsatisfactory rating, you should identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted the GOVERNMENT. However, a singular problem could be of such serious magnitude that it alone constitutes an unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the management tools used to notify the contractor of the contractual deficiencies (e.g. Management, Quality, Safety or Environmental Deficiency Reports, or letters).*

NOTE 1: N/A (not applicable) should be used if the ratings are not going to be applied to a particular area for evaluation.

**Figure A1.1. Evaluation Ratings.**

indicators may be useful later, for example, in source selection evaluations, in demonstrating continuous improvement, quality and reliability leadership that reflects progress in total quality management. Assess the contractor's control of the overall production process to include material control, shop planning and control, and statusing.

**A1.21 Block 18b - Schedule.** Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, and administrative requirements (e.g., efforts that contribute to or effect the schedule variance).

This assessment of the contractor's adherence to the required delivery schedule should include the contractor's efforts during the assessment period that contribute to or effect the schedule variance. This element applies to contract closeout activities as well as contract performance. Instances of adverse actions such as the assessment of liquidated damages, or issuance of Cure Notices, Show Cause Notices, and Delinquency Notices are indicators of problems which may have resulted in variance to the contract schedule and should therefore be noted in the evaluation.

**A1.22 Block 18c - Cost Control.** (Not required for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment)). Assess the contractor's effectiveness in forecasting, managing, and controlling contract cost.

For example, does the contractor keep within the total estimated cost (what is the relationship of the negotiated costs and budgeted costs to actuals)? Did the contractor do anything innovative that resulted in cost savings? Were billings current, accurate and complete? Are the contractor's budgetary internal controls adequate?

**A1.23 Block 18d - Business Relations.** Assess the integration and coordination of all activity needed to execute the contract, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor's history of reasonable and cooperative behavior, customer satisfaction, timely award and management of subcontracts, and whether the contractor met small/small disadvantaged and women-owned business participation goals.

Is the contractor oriented toward the customer? Is interaction between the contractor and the government satisfactory, or does it need improvement? Timely award and management of subcontractors should include subcontract costs and problem resolution. Also, in making the assessment, include the adequacy of the contractor's accounting, billing, and estimating systems; and the contractor's management of Government Property (GFP), if a substantial amount of GFP has been provided to the contractor under the contract.

**A1.24 Block 18e - Management of Key Personnel (For Services and Information Technology Business Sectors only -Not Applicable to Operations Support).** Assess the contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel.

For example, how well did the contractor match the qualifications of the key position, as described in the contract, with the person who filled the key position? Did the contractor support key personnel so they were able to work effectively? If a key person did not perform well, what action was taken by the contractor to correct this? If a replacement of a key person was necessary, did the replacement meet or exceed the qualifications of the position as described in the contract schedule?

**A1.25 Block 18f - Other Areas.** Specify additional evaluation areas that are unique to the contract, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use Block 20.

**A1.25.1** For an award fee contract, identify elements of performance critical to the award fee determination which are not captured in Block 18 a to e. All evaluation areas shall be consistent with the award fee.

**A1.25.2** If any other type of contract incentive is included in the contract (excluding contract shareline incentives on fixed price or cost-type contracts), it should be reported in a manner similar to the procedures described above for award fee.

**A1.25.3** Use Block 18f in those instances where the assessing official (see para. 1.3) believes strongly, either positively or negatively, regarding an aspect of the contractor's performance, but cannot fit that aspect into any of the other blocks on the form.

**A1.26 Block 19 – N/A.** Not applicable.

**A1.27 Block 20 - Assessing official (or Equivalent Individual Responsible for Program, Project, Task/Job Order Execution) Narrative (see paragraph 1.3).** A short, factual narrative statement is required for all assessments regardless of rating. Cross-reference the comments in Block 20 to their corresponding evaluation area in Block 18. Each narrative statement in support of the area assessment must contain objective data. An exceptional cost performance assessment could, for example, cite the current underrun dollar value and estimate at completion. A marginal assessment could, for example, be supported by information concerning personnel changes or schedule delinquency rate. Key personnel familiar with the effort may have been replaced by less experienced personnel. Sources of the data used by the assessing official (see para. 1.3) for the assessment may include customer/field surveys or evaluation of contractor reports. The PCO/ACO shall be contacted to ensure that all applicable data has been incorporated.

**A1.27.1** The final entry in this block will be a statement by the evaluator in the following form: "Given what I know today about the contractor's ability to execute what he promised in his proposal, I (definitely would not, probably would not, might or might not, probably would or definitely would) award to him today given that I had a choice".

**A1.28 Block 21 - Assessing official (see Paragraph 1.3) Signature.** The assessing official "signs and dates" the form prior to making it available to the contractor for review. (See Section C, paragraph 7.5. for guidance on sending the CPAR to the contractor for review and comment.)

**A1.29 Block 22 - Contractor Comments.** Contractor comments are optional.(see paragraph 7.5.2.5).

**A1.30 Block 23 - Contractor Representative Signature.** Self-explanatory.

**A1.31 Block 24 - Reviewing Official Comments.** The reviewing official must acknowledge consideration of any significant discrepancies between the assessing official assessment and the contractor's comments.

**A1.32 Block 25 - Reviewing Official Signature.** Self-explanatory. See section C, paragraph 7.8 and Table 1 (page 3) for guidance as to who may act as the reviewing official.

## **ATTACHMENT 5**

### **MAJOR COMMAND POINTS OF CONTACT (POCs)**

# ATTACHMENT 5

## LIST OF MAJOR COMMAND POC's

**Commandant of the Marine Corps**  
2 Navy Annex Room 2135  
Washington, DC 20380-1775  
Major Carol Pratt  
HQMC Code LBO, (703) 695-6590

**Marine Corps Systems Command**  
2033 Barnett Ave  
Quantico, VA 22134  
Attn: CT, (703) 784-5822 ext 247

**Military Sealift Command**  
Washington Navy Yard, Building 210  
914 Charles Morris CT, SE  
Washington, DC 20398-5540  
Mr. Randall Whittier, Code N101  
(202) 685-5926, DSN 325-5926

**Naval Air Systems Command**  
Naval Air Systems Command  
Bldg. 2272 STE 353  
47123 Buse Road Unit IPT  
Patuxent River, MD 20670-1547  
Attn: Ms. Doreen Powell  
Code AIR-2.1.1.9  
(301) 757-6562, DSN 757-6562

**Naval Facilities Engineering Command**  
Washington Navy Yard  
1322 Patterson Avenue, SE, Suite 1000  
Washington, DC 20374-5065  
Mr. Columbus Key, ACQ  
(202) 685-9163, DSN 325-9163

**Naval Sea Systems Command**  
2531 Jefferson Davis Highway  
Arlington, VA 22242-5160  
Source Selection and Policy  
Mr. Mike Stanio  
Code SEA 02X  
(703) 602-2874, DSN 332-2874  
PEO Senior Official Access to CPARS  
Mr. George Bednar  
Code 04L111  
(703) 602-8018 ext. 333  
DSN 332-8018 ext. 333

**Naval Supply Systems Command**  
5450 Carlisle Pike  
P.O. Box 2050  
Mechanicsburg, PA 17055-0791  
Mr. Ron Schultz  
Code NAVSUP 21A, (717) 790-7496

**Office of Naval Research**  
800 North Quincy Street  
Arlington, VA 22217-5660  
Attn: Mr. Jim Kelly  
Code 22, (703) 696-2580

**Space and Naval Warfare Systems Command**  
4301 Pacific Highway  
San Diego, CA 92110-3127  
Attn: SPAWAR 02 Contracts  
CDR Barbette Lowndes  
(858) 537-0486

**Strategic Systems Programs**  
3801 Nebraska Avenue, NW  
Washington, DC 20393-5446  
Mr. Cris Beveridge, SPN-26  
(202) 764-1705