



**DEPARTMENT OF THE NAVY**

NAVAL FACILITIES ENGINEERING COMMAND

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IN REPLY REFER TO

ACQ 024

26 Mar 1998

From: Commander, Naval Facilities Engineering Command  
To: Distribution

Subj: CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM  
(CPARS) (9-98)

Ref: (a) FAR 15.605, Evaluation Factors and Subfactors  
(b) FAR 42.1502, Contractor performance information

Encl: (1) ASN(RD&A) memo of 2 Feb 98 w/encl  
(2) CPARS Metrics Reporting format  
(3) CPARS On Line Database Information

1. The DON Past Performance Integrated Product Team was established in February 1997 to develop guiding principles for the collection and use of past performance information in accordance with references (a) and (b). As a result, the DON CPARS Guide was developed and is provided by enclosure (1). Enclosure (1) requires collection of contractor past performance information on contracts as outlined below. For NAVFAC contracts, the threshold is \$100,000 and above for all business sectors. CPARS is not applicable to A-E or construction contracts.

Business Sector	ASN Threshold	NAVFAC Threshold
Systems (includes new development and major modifications)	≥ \$5,000,000	≥ \$100,000
Ship Repair and Overhaul	≥ \$ 500,000	≥ \$100,000
Services	≥ \$1,000,000	≥ \$100,000
Operations Support	≥ \$5,000,000	≥ \$100,000
Information Technology	≥ \$1,000,000	≥ \$100,000

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2. NAVFACHQs ACQ is the process owner for implementing policy on preparation and use of CPARS and for collecting metrics needed to brief ASN. However, the overall effort to implement the process is shared by the NAVFAC integrated product team. CPARS are initiated in the field by the program manager and his staff (generally FSCMs and QAEs for service contracts) who are responsible for the day-to-day post award contract administration. The program manager is responsible for documentation and assessment of the contractor's performance and for initiating preparation of the CPARS evaluation form. The program manager signs the form as the evaluating official and coordinates the review process with the contractor as required by the CPARS policy. The CPARS form is then forwarded to the reviewing official for signature and finally placed in the official contract file and database for a period of three years. The CPARS data is used as source selection data when considering contractors for award of new contracts.

3. Each EFD, EFA and PWC shall collect initial CPARS data for all new contracts starting with contracts awarded 1 July 1997. The initial CPAR shall cover a period of 6 months. CPARS would follow at annual intervals thereafter, unless circumstances required an out-of-cycle report. The final CPAR will be completed upon contract termination and will be limited to the period of contractor performance occurring after the preceding CPAR.

4. The CPARS Guide establishes certain roles and responsibilities, as follows:

a. Each EFD, EFA and PWC shall establish local procedures to implement the CPARS program which includes identifying a CPARS focal point to execute responsibilities outlined in the Guide and as modified in this letter. The focal point is also responsible for establishing and maintaining a local CPARS library and reporting metrics to NAVFAC ACQ Code 024 by the 10th day following each quarter (See paragraph 5 below). The name, code, internet address and phone number of the activity focal points shall be forwarded to NAVFAC ACQ Code 024 by 1 April 1998.

5. First reporting for metrics will be 1 May 1998, changing to quarterly reporting starting with 10 July 1998. NAVFAC HQ will report quarterly metrics information to ASN (RD&A) on; the number and dollar value of contracts requiring evaluation and the number of contracts that have been evaluated using CPARS for contracts with dollar values of \$1M and above. Enclosure (2) provides the format for reporting metrics.

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6. NAVFAC activities will no longer use SSCASS. NAVFAC is working with the ASN CPARS Committee to develop and implement a web based database and online training materials on preparation and use of CPARS. NAVFAC is currently working with NAVSEA in developing an automated CPARS database accessible via the internet. Beta testing is currently ongoing and you may access and use this database until the end of March 98. Data entered during the Beta testing is considered "Test Data" and will be purged before CPARS goes into production. Thereafter a password will be needed to access the CPARS database. The homepage for accessing the database is:

<http://www.nslcptsmh.navsea.navy.mil/cparsreq.htm>

Enclosure (3) provides additional details on using the database. CPARS POCs must have access to the internet. For those subordinate activities that do not have internet access, the EFD, EFA, PWC CPARS POC will be responsible for loading the evaluations in the CPARS database.

7. The NAVFAC point of contact in Code ACQ for CPARS is Mr. Columbus B. Key @703-325-7063, E-Mail: KeyCB@hq.navy.mil.

/s/  
C. R. KUBIC  
Vice Commander

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MEMORANDUM FOR DISTRIBUTION

Subj: IMPLEMENTATION OF CONTRACTOR  
PERFORMANCE ASSESSMENT REPORTING SYSTEM  
(CPARS)

Ref: (a) ASN(RD&A) memo of 2 Oct 97, Collection of Contractor  
Past Performance Information in the Department of the Navy  
(DoN)  
(b) USD(A&T) memo of 20 Nov 97, Collection of Past  
Performance Information in the Department of Defense  
(DoD)

Encl: (1) Department of the Navy Contractor Performance  
Assessment Reporting System Guide



Enclosure (1), the revised DoN CPARS guide, supersedes the guide issued under reference (a) and is forwarded for immediate implementation. The guide, developed by the representatives of our acquisition commands who compose the DoN past performance IPT, implements the DoD policy issued under reference (b). Enclosure (1) contains significant revisions to the original guide, including changes to the Systems business sector instructions, and the addition of guidance for the Services, Information Technology, and Operations Support business sectors. Program Executive Officers, Direct Reporting Program Managers, SYSCOM Commanders and other Heads of Contracting Activities shall ensure implementation of this policy within their respective commands and subordinate activities, as applicable.

The DoN past performance IPT will continue to serve as the coordinator of this policy during implementation. As you know, I am personally committed to the implementation of this policy and I encourage you to remain engaged as well.

  
M. P. Sullivan  
RADM, SC, USN  
Principal Deputy

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

**DEPARTMENT OF THE NAVY**



**JANUARY 1998**

# **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 of PPI. 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. Distribution of CPARS among activities will only be made from one activity CPAR focal point to another and access to the PPI will be restricted to those individuals with an official need to know.

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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 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. 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 program manager<sup>2</sup> (*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 program manager make 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 "program manager" is used, it means the *individual responsible* for the execution of the program, project, or task/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. The assessment is reviewed by a level of management above the program manager (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 data base 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 does 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. The CPAR must be completed on every Systems, Services, Operations Support, and Information Technology business sector contract meeting the thresholds in Table 1, and be reviewed by the contractor and the reviewing official indicated in Table 1.
- 2.2 When a single contract instrument requires segregation of costs for combining efforts, or contains multiple production lots (or increments of work), an individual CPAR *may* be completed for each segment of work. When the type of effort and the contractor’s performance on each order are so similar as to reflect identical results, the program manager in consultation with the CPAR focal point may elect to prepare a single CPAR for each contract, Block 17 of the CPAR should so reflect.
- 2.3 For those contracts where a provisioning line is established, the evaluation should include an assessment of that effort in the “Other Areas”.
- 2.4 CPARs will also be prepared on contracts for joint ventures. Joint contractors will be rated on the same report and the report will be placed in a separate joint venture folder in the CPAR library that clearly identifies the participating contractors.
- 2.5 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.
- 2.6 CPARs will be accomplished on the applicable first tier subcontractor on contracts awarded to the Small Business Administration under the 8(a) program.
- 2.7 For delivery order or task order contracts, the contracting officer should specify in the contract the frequency of, and the individual(s) responsible for, past performance assessments associated with orders to be placed against that contract.

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

<sup>1</sup> The contract thresholds for PPI collection apply to the “as-modified” face value of contracts; that is, if a contract’s original face value was less 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) should 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> (Or equivalent individual) responsible for program, project, or task/job order execution (see paragraph 1.3).

<sup>3</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>4</sup> The word contract as used in this document includes Blanket Purchase Agreements (BPAs) issued under FAR 8.4.

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

## **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 in the program office and reviewing officials, tracking system procedures for monitoring the timely completion of reports, procedures for ensuring report integrity (i.e., quality of reports), and procedures for ensuring overall CPAR system consistency.
- 4.2 Establish a CPAR Focal Point. The activity focal point is responsible for the collection, distribution, and control of CPARs. This CPAR focal point will assist the program manager in implementing CPARS by providing training and other administrative assistance to ensure that reports are timely and of *high integrity*.
- 4.3 Maintain a master CPAR library for use in source selections.
- 4.4 Ensure timely completion of reports by program managers (see paragraph 1.3). The program manager is responsible for assessing contractor performance. The program manager has overall responsibility for execution and achievement of program goals.
- 4.5 Ensure timely review of CPARs by reviewing officials. The reviewing official provides the check-and-balance needed to ensure report integrity, especially when there are significant disconnects between the program manager and the contractor (see paragraph 6.8).

## **SECTION C – CPAR PROCEDURES**

### **5. Frequency of Reporting**

- 5.1 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 180 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.

- 5.2 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 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.
- 5.3 Out-of-Cycle Reports
- 5.3.1 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 program manager may unilaterally determine to prepare an updated (new) assessment and process an Out-of-Cycle (new) CPAR. The determination as to whether or not to update an assessment will be made solely by the program manager. An updated report will only address the changed elements. The Out-of-Cycle CPAR *which assesses a significant change in performance*, must be sent to the contractor and CPAR reviewing official for comment and signature. It is then placed in the CPAR library.
- 5.3.2 Prior to a program manager leaving the program office (or prior to a contract being transferred), the program manager 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 program manager for background information for completing the next CPAR. Under no circumstances will an *informational* CPAR be placed in the CPAR library.
- 5.3.3 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 1 November and an out-of-cycle CPAR is accomplished which covers a performance period that ends 6 months earlier (1 May), a second CPAR report is still required to cover the period of performance from 1 May to 1 November of that same year and each 1 November throughout the life of the contract.
- 5.4 Final Report. A final CPAR will be completed upon contract termination, 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. The final CPAR does not include cumulative information, but is limited to the period of contractor performance occurring after the preceding CPAR.
- 5.5 Addendum Assessments. Addendum assessment reports may be prepared, after the final past performance evaluation, to record contractor's performance relative to contract close-out and other administrative requirements.

## 6. Preparing and Processing Reports

6.1 The program manager (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. The CPAR should be completed and signed by the reviewing official not later than 120 days after the end of the evaluation period.

### 6.2 Completion of CPAR

6.2.1 The program manager (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 program manager should also request input from other applicable organizations as part of the multi-functional input.

6.2.2 *Support contractors shall not prepare inputs to CPARs (not even as project team members) or have access to CPARs.*

6.3 Program manager narrative remarks are limited to Block 20 plus two additional 8-1/2 by 11 inch typewritten pages. In rare circumstances, such as an assessment containing several Exceptional (blue) or Unsatisfactory (red) ratings, a third typewritten page may be added. Under no circumstances will more than three additional pages be permitted. Also, the contractor is allowed the same amount of additional space for comments. All additional pages are considered part of the CPAR itself (see paragraph 6.5.2.5).

6.4 Contractors will be given an opportunity to review and comment on the assessment. Since communication and feedback regarding contractor performance are always encouraged, the program manager 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 which are deemed to be critical during the upcoming reporting period. Program managers are encouraged to conduct face-to-face meetings with the contractor during the assessment process. Participation by representatives from the Contracting Office is strongly encouraged for all meetings.

### 6.5 CPAR Review and Approval Process

6.5.1 The program manager (see paragraph 1.3) *shall sign* and retain a copy of the CPAR and transmit the original to their counterpart within the contractor's organization. Local processes may require review by the activity CPAR focal point and/or reviewing official prior to sending the CPAR to the contractor. The preferred method of transmitting a report is by hand delivery (with receipt), in conjunction with face-to-face discussions. 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 6.5.2.6). Regardless of the method of transmittal, a transmittal letter must accompany the CPAR.

- 6.5.2 *Transmittal Letter.* The transmittal letter, signed by the program manager or the contracting officer, shall provide the following guidance to the contractor (local processes will stipulate the levels of review and transmittal):
- 6.5.2.1 Protect the CPAR as “*For Official Use Only, 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.
  - 6.5.2.2 Strictly control access to the CPAR while in the contractor’s organization.
  - 6.5.2.3 Ensure the CPAR is never released to persons or entities outside the contractor’s control.
  - 6.5.2.4 Prohibit the use of or reference to CPAR data for advertising, promotional material, pre-award surveys, responsibility determinations, proposal submittals, production readiness reviews, or other similar purposes.
  - 6.5.2.5 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 by signing/dating Block 23 of the form and return the CPAR to the originating office. Comments should be focused on the program manager’s narrative and provide views on causes and ramifications of the assessed performance. Contractor comments are subject to the same limitations in paragraph 6.3. This page limit will be strictly enforced and extra pages will not be reviewed or included with the CPAR. Label all additional pages with the contractor’s name, contract number, and period covered by report.
  - 6.5.2.6 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.
  - 6.5.2.7 Advise that a copy of the completed CPAR, after signature by the reviewing official, may be requested at the time the CPAR is returned to the program manager by noting the name, title, and complete address of the chief executive officer (CEO), the chief operating officer (COO), or president of the corporate entity responsible for the operating unit for which the CPAR was executed (see paragraph 6.9). The CEO, COO, or president of the corporate entity can request a copy of the CPAR , in writing.

- 6.5.3 If the contractor does not return the CPAR within the allotted 30 days, Block 22 of a retained copy will be annotated: “The report was delivered/received by the contractor on (date). The contractor neither signed nor offered comment in response to this assessment.” The program manager will continue processing the CPAR.
- 6.5.4 After receiving and reviewing the contractor’s comments on the CPAR, the program manager may revise the assessment, including the narrative. *Revised assessments must be recorded on a new CPAR form.* The original CPAR form will be attached to the new CPAR form. The program manager 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 or re-signature. If the contractor has requested a copy of the completed CPAR (see paragraph 6.5.2.7), a copy will be provided after the Reviewing Official signs the form. Further, contractors have the option to review their final CPAR after it enters the CPAR library.
- 6.5.4.1 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 program manager (see paragraph 1.3) *shall* then *sign* Block 21 of the revised CPAR and annotate Block 24 of the original CPAR with “See revised CPAR.” The reviewing official will sign Block 25 of the revised CPAR in accordance with paragraph 6.6 below. The revised CPAR should be attached on top of the original report for the period in order to maintain a proper track of the assessment.
- 6.6 After receiving contractor comments or 30 days from the date of contractor receipt of the CPAR, whichever occurs first, the CPAR will be sent to the reviewing official for review and signature according to local procedures. If the program manager does not choose to alter the assessment as a result of the contractor’s received comments, the program manager will provide the reviewing official with an explanation of the decision.
- 6.7 To facilitate future CPAR preparation, the program manager may retain CPAR copies and working papers associated with CPAR evaluations. However, all retained CPAR copies and working papers must be marked “For Official Use Only/Source Selection Information - See FAR 3.104” and handled accordingly.
- 6.8 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 program manager’s assessment and the contractor’s comments. When the reviewing official signs the CPAR, it will be considered complete.

- 6.9 If the contractor has requested a copy of the completed CPAR by providing the name, title and address of the corporation's CEO, COO, or president, then the CPAR focal point should provide a copy of the completed CPAR to the contractor with a transmittal letter advising again of the precautions and controls outlined in paragraph 6.5.2.1 through 6.5.2.4. Note that the completed CPAR is source selection information in accordance with FAR 3.104 in that it is prepared for use by the Government to potentially support a future procurement and that unauthorized disclosure could compromise future procurements. This requires the CEO, COO, or president to protect the information from disclosure to any unauthorized persons. Normally, the transmittal of the completed CPAR to the contractor will constitute feedback to the contractor program manager on any disconnects that arose during the assessment.
- 6.10 The CPAR, signed by the reviewing official, shall be entered into the CPAR library. The CPAR focal point at activities maintaining a Master Library (see Attachment 5) will enter reports in accordance with local procedures and will distribute copies to the other master libraries. The CPAR focal point is responsible for ensuring that the cognizant program manager also receives a copy of the CPAR. Classified CPARs for Special Access Programs will be distributed and maintained in accordance with service procedures.
- 6.11 All records created under this instruction will be retained according to agency procedures. CPAR data will be mailed in accordance with the requirements for transmitting "source selection information" (see FAR 3.104).

## **7. CPAR Focal Points**

- 7.1 Each CPAR focal point with a master library will keep CPARs and all attachments in separate files for each contractor. A CPAR for a given contract will be retained for 3 years beyond the end of the period covered by the report on the final CPAR.
- 7.2 Access to CPARs data will be controlled via the CPAR focal points.
- 7.3 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 program manager of the responsibility for processing reports in a timely manner.
- 7.4 The CPAR focal point at each activity is responsible for monitoring the status of late reports. Local processes should be established to notify the activity Commander or PEO, if applicable, of reports more than 30 days overdue.

## **8. CPAR Markings and Protection**

- 8.1 The program manager (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 “FOR OFFICIAL USE ONLY/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.
- 8.2 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.

### **8.2.1 Internal Government Protection**

- 8.2.1.1 CPARs must be treated as source selection information at all times. The flow of CPARs among activities in support of source selections will be controlled by the CPAR focal points. Information contained in the CPAR must be protected in the same manner as information contained in completed source selection files.
- 8.2.1.2 CPAR data will not be used to support pre-award surveys, debarment proceedings or other internal government reviews.

### **8.2.2 External Government Protection**

- 8.2.2.1 Due to the sensitive and confidential nature of CPARs, disclosure of CPAR data to contractors other than the contractor which is the subject of the report, or other entities outside the government, is not authorized. A contractor will be provided a copy of its CPAR after reviewing official signature as discussed in paragraph 6.9. A contractor will also be granted access to its CPARs as maintained in the master CPAR libraries. In this situation, access to review completed CPARs will be granted by the CPAR focal point. Individuals requesting access must have a letter granting disclosure to them, signed by the individual in charge of the operating unit for which the CPAR was executed (i.e., the division or subsidiary identified in Block 1 of the CPAR). The CEO is the only other individual who may grant disclosure to corporate personnel to review CPARs at the government master CPAR libraries. One situation where this may be applicable is when the CEO tasks an individual to review CPARs prepared for several divisions of a corporation. The CPAR access letter, signed by either the CEO or the

individual in charge of the operating unit, must be presented to the CPAR focal point. *Copies of CPARs are not allowed to be made from the master library or retained by the contractor's representative.* This restricted access is needed to ensure there are no changes made to the CPAR after the contractor's initial review.

8.2.2.2 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 consideration.

**9. Forms Prescribed.** See Attachments. For contracts that contain supplies or services from more than one business sector, use the form that represents the preponderance of the contract requirements.

#### 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. List of Master CPAR Libraries

# 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 Munition (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-Fuzed Weapon and the “Brilliant Antitank” weapon (BAT).

**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 (C<sup>4</sup>I) 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 Satellite (GPS) receivers, and 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 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 which is included under the Systems sub-sector on Shipbuilding.

**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 & Architect-Engineering Services” for the installation services covered by that business sector.)

**DoD Transportation System 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 Department of Defense.

**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 & 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.

## UNIQUE BUSINESS SECTORS

Construction and Architect-Engineer and Health Care sectors assessment elements and ratings were previously established and remain unchanged. The Fuels sector shall use the assessment elements established for Services, Information Technology and Operations Support. No assessment elements have been established for the “Science and Technology” business sector, that shall be tailored for each procurement. The common DoD assessment Rating System is mandatory for use by the Fuels, Science and Technology and Health Care business sectors.

**CONSTRUCTION AND ARCHITECT-ENGINEERING** - Includes all non-combat construction and related architect/construction engineering tasks. Includes construction of new buildings, foundation excavation, building/facility-wide upgrades to heating, ventilation and air conditioning systems, electrical systems, etc. Includes all road, dam, and bridge construction, and complete road resurfacing. Does not, however, include minor repairs to road, driveway, or parking lot surfaces (e.g., patching cracks or filling in potholes). Also does not include repair or installation of any signage or pavement markings (painting divider lines, etc.). Does include major excavations (e.g., installation of new water mains or sewage systems, or major alteration of landscapes to improve drainage or to create or refurbish surface water storage facilities). Includes major alterations or repairs of installation-wide electrical power grids, trunk telephone lines, etc. Does not, however, include minor excavations related to the repair of individual pipes. Does not include the repair of individual power lines. Does not include the repair or relocation of individual telephone lines or connections. Also does not include services for building cleaning, painting, or minor repairs (fixing leaky pipes, replacing broken hinges, patching holes in plaster, etc.). Does not include any repair or installation of fencing or snow removal. Evaluate as required by DFARS Part 236. PPI is collected and used for acquisitions above \$25,000. USACE, Portland maintains two data bases used throughout DoD and other federal agencies:

Architect-Engineer Contract Administration Support System (ACASS)  
Construction Contractor Appraisal Support System (CCASS)

**HEALTH CARE** - Includes all acquisition and management of health care services. PPI is collected at all dollar thresholds; however, collection and use are mandatory for acquisitions over \$100,000. The Health Care Acquisition Performance System (HCAPS), is currently used by the Navy and Army with assessment elements tailored to health care. This automated system is managed by the Naval Sea Logistics Center Detachment, Portsmouth, NH.

**FUELS** - Includes all bulk fuels, lubricants, natural gas, coal, storage, and other commodities and related support services. PPI is collected and used at the dollar thresholds set forth in FAR Part 15 and 42.

**SCIENCE AND TECHNOLOGY** - Includes all contracted basic research and some applied research as well. 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)

<b>CONTRACTOR PERFORMANCE ASSESSMENT REPORT (CPAR) - SYSTEMS</b>															
<i>(Source Selection Sensitive Information)(See FAR 3.104)</i>															
1. NAME/ADDRESS OF CONTRACTOR (Division)				2. INITIAL		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. COMPETITIVE			NON-COMPETITIVE								
<b>14. CONTRACT TYPE</b>															
	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	GOLD	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)															

# 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. PROGRAM MANAGER (i.e., PMS, PMA, OR EQUIVALENT INDIVIDUAL) RESPONSIBLE FOR PROGRAM, PROJECT, OR TASK/JOB ORDER EXECUTION NARRATIVE (SEE PARA. 1.3)		
21. TYPE NAME AND TITLE OF PROGRAM MANAGER (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 All information on the form will be typewritten; no handwritten CPARs will be accepted by the CPAR focal points for inclusion into CPAR libraries. Reduced or condensed print (type smaller than 10 point) is not acceptable. All authorized additional pages must be annotated at the top with the contractor's name, contract number, period covered by report, and page number. 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 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 5, 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 estimated value of contract including unexercised options and orders.
- A1.13 **Block 12 - Current Contract Dollar Value.** State the current face value of the contract as of the report date. For incentive contracts, state the target price or total estimated amount.
- 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 which remain active. For contracts which include multiple functional disciplines or activities, categories should be designated to: (1) reflect the full scope of the contract, and (2) allow grouping 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. If necessary, the description within this block may be extended to one additional typewritten page.

**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 an upward arrow 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 program manager should consider each element and use the area rating to highlight significant issues. In addition, the program manager 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.

A.1.19.7 The program manager should use customary industry quantitative measures where they are applicable if the contract is for commercial products.

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

**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.

**Gold (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.

**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.

**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.

**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 1: Upward or downward arrows may be used to indicate an improving or worsening trend insufficient to change the assessment status.

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

**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 program manager's integrated assessment as to what most accurately depicts the contractor's technical performance or progress toward meeting requirements. This assessment is not a predetermined 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.

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, statusing 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 program manager's integrated assessment as to what most accurately depicts the contractor's performance in managing the contracted effort. It is not a predetermined 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 program manager *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 program manager 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 which 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 - Program Manager (i.e., PMS, PMA, 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 extended to two additional typewritten pages (also, see section C, paragraph 6.3.). All additional pages added to the report to continue Block 20, 22, or 24 will contain the following at the top of each page: "FOR OFFICIAL USE ONLY, SOURCE SELECTION INFORMATION - SEE FAR 3.104". Further, each additional page will be annotated on the top with the contractor's name, contract number, period of performance, and page number.

**A1.27 Block 21 - Program Manager Signature (See Para. 1.3).** The program manager "signs and dates" the form prior to forwarding it to the contractor for review. (See Section C, paragraph 6.5. 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 6.8 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) - (Source Selection Sensitive Information)(See FAR 3.104)

### SHIP REPAIR & OVERHAUL

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									
<b>14. CONTRACT TYPE</b>															
	FFP		FPI		FPR		CPFF		CPIF		CPAF		MIXED		OTHER
15. KEY SUBCONTRACTORS AND DESCRIPTION OF EFFORT PERFORMED															
<b>16. TYPE OF AVAILABILITY</b>															
	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	GOLD	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 (%)		
20. 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 PROGRAM MANAGER (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

A1.1 All information on the form will be typewritten; no handwritten CPARs will be accepted by the CPAR focal points for inclusion into CPAR libraries. Reduced or condensed print (type smaller than 10 point) is not acceptable. All authorized additional pages must be annotated at the top with the contractor's name, contract number, period covered by report, and page number.

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 5.4, 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 estimated value of contract including unexercised options and orders.
- A1.13 **Block 12 - Current Contract Dollar Value.** State the current face value of the contract as of the report date. For incentive contracts, state the target price or total estimated amount.
- 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.

AI.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 an upward arrow 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.

AI.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.

AI.19.4 Many of the evaluation areas in Block 18 represent groupings of diverse elements. The program manager (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 program manager 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.

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

AI.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.

AI.19.7 The program manager (see para. 1.3) or ACO should use customary industry quantitative measures where they are applicable.

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

**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.

**Gold (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.

**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.

**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.

**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 serious problem(s) for which the contractor's corrective actions appear or were ineffective.

NOTE 1: Upward or downward arrows may be used to indicate an improving or worsening trend insufficient to change the assessment status.

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

### **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 program manager's integrated assessment as to what most accurately depicts the contractor's technical performance or progress toward meeting requirements. This assessment is not a predetermined 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.

**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 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 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 overrun? 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.

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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.

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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.

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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 program manager believe 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)**

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 - 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.” Block 20 comments may be

extended to two additional typewritten pages (see Section C, paragraph 6.3). All additional pages added to the report to continue Block 20, 22, or 24 will contain the following at the top of each page: “FOR OFFICIAL USE ONLY, SOURCE SELECTION INFORMATION - SEE FAR 3.104.” Further, each additional page will be annotated on the top with the contractor’s name, contract number, period of performance, and page number.

**A1.27 Block 21 - Program Manager (See Para. 1.3) or Administrative Contracting Officer (ACO) Signature.** The program manager/ACO “signs and dates” the form prior to forwarding it to the contractor for review. (See Section C, paragraph 6.5 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 program manager (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 6.8 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)

<b>CONTRACTOR PERFORMANCE ASSESSMENT REPORT (CPAR) -</b>										<b>SERVICES INFORMATION TECHNOLOGY OPERATIONS SUPPORT</b>														
<i>(Source Selection Sensitive Information)(See FAR 3.104)</i>																								
1. NAME/ADDRESS OF CONTRACTOR (Division)					2.		INITIAL			INTER-MEDIATE		FINAL REPORT		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.		COMPETITIVE				NON-COMPETITIVE													
<b>14. CONTRACT TYPE</b>																								
	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.)																								
										<b>CURRENT RATING</b>														
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)																								

\* Not applicable to Operations Support

FOR OFFICIAL USE ONLY (When Filled In)

# ATTACHMENT 4

## SERVICES, INFORMATION TECHNOLOGY, AND OPERATIONS SUPPORT

### CPAR FORM (continued)

FOR OFFICIAL USE ONLY *(When Filled In)*

19.	N/A		
20. 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 PROGRAM MANAGER (SEE PARA. 1.3)		ORGANIZATION & CODE	PHONE NUMBER
SIGNATURE		DATE	
22. CONTRACTOR COMMENTS <i>(Contractor's Option)</i>			
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 All information on the form will be typewritten; no handwritten CPARs will be accepted by the CPAR focal points for inclusion into CPAR libraries. Reduced or condensed print (type smaller than 10 point) is not acceptable. Authorized additional pages must be annotated at the top with the contractor's name, contract number, period covered by report, and page number.

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 5, 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.

**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 estimated value of contract including unexercised options and orders.

A1.13 **Block 12 – Current Contract Dollar Value.** State the current face value 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 which 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 program manager (see para. 1.3) should use customary industry quantitative measures where they are applicable if the contract is for commercial products.

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

**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.

**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.

**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.

**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.

**Unsatisfactory.** Performance did 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 1: Use N/A (not applicable) if the ratings are not going to be applied to a particular area for evaluation.

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

**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 program manager (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 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 (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 program manager (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 - Program Manager (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 program manager (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". Block 20 comments may be extended to two additional typewritten pages (also, see section C, paragraph 6.3.). All additional pages added to the report to continue Block 20, 22, or 24 will contain the following at the top of each page: "FOR OFFICIAL USE ONLY, SOURCE SELECTION INFORMATION - SEE FAR 3.104". Further, each additional page will be annotated on the top with the contractor's name, contract number, period of performance, and page number.

**A1.28 Block 21 - Program Manager (see Paragraph 1.3) Signature.** The program manager "signs and dates" the form prior to forwarding it to the contractor for review. (See Section C, paragraph 6.5. 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 6.5.3).

**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 program manager assessment and the contractor's comments.

**A1.32 Block 25 - Reviewing Official Signature.** Self-explanatory. See section C, paragraph 6.8 and Table 1 (page 3) for guidance as to who may act as the reviewing official.

# **ATTACHMENT 5**

## **LIST OF MASTER CPAR LIBRARIES**

# ATTACHMENT 5

## LIST OF MASTER CPAR LIBRARIES

### **Commandant of the Marine Corps**

2 Navy Annex  
Washington, DC 20380-1775  
CAPT Carol Shaw  
HQMC Code LBO, (703) 696-1018

### **Military Sealift Command**

Washington Navy Yard, Building 210  
901 M Street, S.E.  
Washington, DC 20398-5540  
Mr. Randall Whittier, Code N101  
(202) 685-5926, DSN 325-5926

### **Naval Air Systems Command**

#### *For Systems CPARS*

Naval Air Systems Command  
22147 Sears Road, Unit 4  
Patuxent River, MD 20670  
Ms. Brandi Bowie  
NAVAIR Systems CPAR Administrator  
Code AIR-4-10C, (301) 757-1811

#### *For Non-Systems CPARS*

Naval Air Systems Command  
Bldg. 588, Suite 2  
47253 Whalen Road, Unit 588  
Patuxent River, MD 20670  
LCDR Steve Morgan  
NAVAIR Non-Systems CPAR Administrator  
Code AIR-2.5.4.2.1, (301) 342-1825, ext. 179

### **Naval Facilities Engineering Command**

200 Stovall Street  
Hoffman Building II, Room 11S69  
Alexandria, VA 22332-2300  
Mr. Columbus Key, ACQ  
(703) 325-7063

### **Naval Sea Systems Command**

2531 Jefferson Davis Highway  
Arlington, VA 22242-5160  
Mr. Donald Woytowitz  
Code SEA 0413, (703) 607-2455

### **Naval Supply Systems Command**

5450 Carlisle Pike  
P.O. Box 2050  
Mechanicsburg, PA 17055-0791  
Ms. Delia Davis  
Code NAVSUP 21A, (717) 790-7496

### **Office of Naval Research**

800 North Quincy Street  
Arlington, VA 22217-5660  
Attn: Mr. Todd Hanson  
Code 22, (703) 696-2009

### **Space and Naval Warfare Systems Command**

4301 Pacific Highway  
San Diego, CA 92110-3127  
Attn: SPAWAR 02 Contracts, (619) 524-7172

### **Strategic Systems Programs**

1931 Jefferson Davis Highway  
Crystal Mall #3, Room 1002  
Arlington, VA 22202-3518  
Ms. Missy Proctor, SPN-80, (703) 607-3394

### **Marine Corps Systems Command**

2033 Barnett Ave  
Quantico, VA 22134  
Attn: CT, (703) 784-5822 ext 247

**CPARS METRICS REPORTING**  
**Contracts \$1M and above**

**No. contracts requiring CPARS      CPARS Completed**

**7/1/97 - 5/1/98**

**As of 7/1/98**

**As of 10/1/98**

**As of 1/1/99**

Enclosure (2)

## **CPARS On Line Database Information**

***“You must install a PowerSoft Report Browser Plugin prior to using CPARS On Line  
READ THE INSTRUCTIONS CAREFULLY”***

NAVSEA is beta testing a database which they have developed to meet the requirements of the recently published CPARS guide issued by letter from ASN dated 2 February 1998. We are considering using the NAVSEA database to comply with the NAVY CPARS requirement for reporting contractor performance evaluations on service/Information Technology contracts of \$1M and above, and also to report FSC contractor performance evaluations with dollar value thresholds less than \$1M as listed in NAVFAC P-68. The CORPS of Engineers is considering discontinuing the SSCASS database. CPARS does not apply to A-E and Construction evaluations.

The beta test for the NAVSEA database has begun and will continue through the 31st of March 1998. It is accessible on the internet and you are invited to test it and provide comments directly to the NAVSEA POC or to us here at NAVFAC. You can access the NAVSEA CPARS database on their homepage at the following address:

<http://www.nslcptsmh.navsea.navy.mil/cparsreq.htm>

Once you have entered the NAVSEA homepage click on APPLICATIONS and then on CPARS. A copy of the CPARS guide issued by ASN as mentioned above is also available at this location in the NAVSEA homepage. Attachment #4 of the CPARS guide provides instructions on completing a services, information technology, or operations support CPAR, which will probably be the form that would apply to our business (Facility Support Contracts).

Tips on use of CPARS On Line - The contract number must be entered in the format "N45112" in the first box and in the format "98D1234" in the second box provided under Contract Number. During the testing phase, you must use N45112 as the contract number UIC. All lines marked with a red star must be filled prior to completing the form. The awarded value must not have any commas, only numbers. Enter the delivery order number in block 4a. When completing the CPAR form, double click on the blue text will provide help on that subject.

Enclosure (3)