

# **GUIDANCE FOR THE CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS)**



**July 2018**

## Summary of Significant Changes – July 2018

1. A July 15, 2018, system release merged all functionality from the former CPARS and PPIRS secured applications into a consolidated CPARS/PPIRS application. This pre-modernization work will allow for integration of one application into SAM.gov in the future and streamlines access, with one username and password per person, rather than multiple accounts. The FAR will be changed in the future. Users to PPIRS.gov will be redirected to the consolidated CPARS/PPIRS application. This Guide has been significantly updated to reference the merged CPARS/PPIRS application.
2. Removed references to CPARS, PPIRS, and PPIRS-RC throughout the document; inserted terminology to refer to the “report” or the “evaluation” rather than the system to reduce confusion.
3. Removed numerous previously discontinued reports referenced in *Section G – Reports*.
4. Removed *Section H – References* in its entirety; all cited references were previously posted on a website that is no longer active.
5. Included the source of each data element described in: “*Instructions for Completing Evaluations*”.
6. FAR Case 2018-004: Increased Micro-Purchase and Simplified Acquisition Thresholds dictates that the Micro-Purchase Threshold (MPT) increases from \$3,500 to \$10,000 for civilian agencies; the Simplified Acquisition Threshold (SAT) increases from \$150,000 to \$250,000 for all agencies. For purposes of past performance evaluations, the increased SAT applies to new contracts awarded after June 30, 2018, and entered into FPDS.
7. Revised the page number structure of this Guide to reflect sequential numbering.

# CONTRACTOR PERFORMANCE ASSESSMENT REPORTING

The Federal Acquisition Regulation (FAR) requires that contractor performance information be collected (FAR Part 42.15) and used in source selection evaluations (FAR Part 15). Source selection officials rely on clear and timely evaluations of contractor performance to make informed business decisions when awarding government contracts and orders. This information is critical to ensuring that the Federal government only does business with companies that provide quality products and services in support of the agency's missions.

OMB released the memorandum, *Improving the Collection and Use of Information about Contractor Performance and Integrity*, dated March 6, 2013. The purpose of this memorandum was to establish a baseline for reporting compliance, set aggressive performance targets that can be used to monitor and measure reporting compliance, and ensure the workforce is trained to properly report and use this information.

The government-wide past performance process establishes procedures for the collection and use of Past Performance Information (PPI) for all contracts/orders exceeding the thresholds listed in [Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official." CPARS-generated PPI is one of the tools used to communicate contractor strengths and weaknesses to source selection officials and Contracting Officers. Communication between the Government and contractor during the performance period is encouraged. The contractor performance evaluation is a method of *recording* contractor performance and is not the primary method for *reporting* performance information to the contractor. Evaluations should be an objective report of the performance during a period against the contract/order requirements. Information in the evaluation represents the contractor's performance appraisal; therefore, the information to support the evaluation (including the rating and narrative to explain the rating) should accurately depict and correspond to the contractor's performance. Usage of the automated performance collection capability is aimed at reducing reliance on paper, improving the business process, and increasing efficiency. For additional assistance, contact the Customer Support Desk at (207) 438-1690, or <mailto:webptsmh@navy.mil>

All past performance information is treated as "For Official Use Only/Source Selection Information" in accordance with FAR 2.101 and 3.104 and 42.1503; this information is source selection information because it supports ongoing source selections. All evaluations have the unique characteristic of always being pre-decisional in nature. Access to the system and other performance information is restricted to those individuals with an official need to know.

The best practice guidance provided in this document is based on the authorities prescribed by the FAR and agency supplements. **This guidance is non-regulatory in nature and intended to provide useful information and best practices to the workforce.** However, the guide includes a consistent process and procedures for agencies to use when reporting on past performance information and should be read in conjunction with FAR Part 42.15 and other FAR Parts related to past performance information. Additional guidance may be provided by respective agency policies but should not conflict with the FAR or this guide. If any inconsistencies are found between this document and the FAR or agency FAR supplements, the FAR then agency's supplements, in that order, take precedence.

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## **Section A – Guidance**

### **1.1 Introduction**

This document identifies roles and responsibilities, and provides guidance and procedures for systematically assessing contractor performance as required by Federal Acquisition Regulation (FAR) Subpart 42.15. This document pertains only to CPARS, not FAPIIS. For descriptions of CPARS technical functionality, workflows, and flowcharts, see the CPARS User Manual. For FAPIIS information, refer to FAPIIS training at: [https://www.cpars.gov/webtrain\\_all.htm](https://www.cpars.gov/webtrain_all.htm).

### **1.2 Purpose**

The past performance systems ensure that current, complete and accurate information on contractor performance is available for use in procurement source selections. Completed performance evaluations are used as a resource in awarding best value contracts and orders to contractors that consistently provide quality, and on-time products and services that conform to contractual requirements. Information collected from contracting officers is used by agency source selection officials and contracting officers from across the government in making award decisions. It is imperative for the evaluation to include detailed, quality written information. The Contracting Officer should use this performance information and other sources of information outlined in FAR 9.105-1(c) to support responsibility determinations of prospective contractors.

Each evaluation must include detailed and complete statements about the contractor's performance and be based on objective data (or measurable, subjective data when objective data are not available) supported by program and contract/order management data ([see paragraph 1.4](#)). [Instructions](#) to this document contain the specific areas to be evaluated for contracts/orders. Performance expectations to be evaluated should be addressed in the Government and contractor's initial post-award meeting and should be shared with the Contracting Officer's Representative (COR), along with the definitions of each rating and the accompanying guidance in preparing the contents of the narrative to justify the rating.

### **1.3 Responsibility for Completing Evaluations**

Responsibility for completing quality evaluations in a timely manner rests with the Assessing Official (AO) who will be designated in accordance with Agency policy. The AO may be a Contracting Officer, a Contract Specialist, Administrative Contracting Officer, Purchasing Agent, or Program Manager (PM), or the equivalent individual responsible for program, project, or task/job/delivery order execution. In some Agencies, the AO may also mean the Performance Evaluator, Quality Assurance Evaluator, Requirements Indicator, or COR or Alternate COR.

In the event there are multiple evaluations on one contract/order due to geographically separated organizations, the AO of the office or organization with the preponderance of

the effort (based on largest dollar value) on the contract/order will consolidate the multiple evaluations and provide a consensus evaluation and rating of the performance prior to forwarding to the contractor.

## **1.4 Evaluation Methodology**

In order to have useful information available the next time an award is imminent, it is of the utmost importance that the AO submits a rating consistent with the definitions of each rating and thoroughly describes the circumstances surrounding a rating. The definitions of each rating, together with related guidance for preparing the narrative, are provided in the Evaluation Ratings Definitions found in [FAR42.1503\(h\)\(4\)](#).

Each factor used shall be evaluated and a supporting narrative provided (FAR 42.1503(b)(4)). Each evaluation must be based on objective data (or measurable, subjective data when objective data are not available) supportable by program and contract/order management records. The following sources of data should be considered:

- Contractor operations reviews
- Status and progress reviews
- Production and management reviews
- Management and engineering process reviews (e.g. risk management, requirements management, etc.)
- Cost performance reports and other cost and schedule metrics (e.g. Earned Value Management System (EVMS))
- Other program measures and metrics such as:
  - Measures of progress and status of critical resources
  - Measures of product size and stability
  - Measures of product quality and process performance
  - Customer feedback/comments and satisfaction ratings
- Systems engineering and other technical progress reviews
- Technical interchange meetings
- Physical and functional configuration audits
- Quality reviews and quality assurance evaluations
- Functional performance evaluations
- Business System Reviews such as Contractor Purchasing System Reviews or Property Management System Analyses
- Earned contract/order incentives and award fee determinations
- Subcontract Reports
- Quality Control Program documentation
- Schedules and milestones
- Deficiency reports
- Safety standard compliance
- Labor standard compliance

The evaluation should:

- Include a clear, non-technical description of the principal purpose of the contract or order, reflect how the contractor performed.
- Be tailored to the type, size, content, and complexity of the contractual requirements.
- Include clear relevant information that accurately depicts the contractor's performance, and
- Be based on objective facts supported by program and contract or order performance data.

## **1.5 Uses of Summary Data**

Summary data from the reports themselves may be used to measure the status of industry performance and support continuous process improvement.

## **1.6 Successor-in-Interest/Change-of-Name/Novation**

See FAR 42.12 for guidance in these circumstances since the Dun & Bradstreet Universal Numbering System (DUNS), and contractor names may be affected. The AO of each contract/order affected by any such changes is ultimately responsible for ensuring that the contract/order information in the evaluation is current and correct.



## Section B - Applicability and Scope

### 2.1 Business Sectors and Dollar Thresholds

Contractor performance information must be collected, and an evaluation completed, on contracts/orders for systems and nonsystems exceeding the simplified acquisition threshold in FAR 42.15. See FAR 42.15 for the current reporting thresholds for architect-engineer contracts/orders and construction contracts/orders. For DoD systems and nonsystems contracts/orders, reference [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official” for applicable business sectors and dollar thresholds. The AO may elect to complete an evaluation below the FAR 42.15 threshold or the thresholds in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official.” If a given contract/order contains a mixture of effort types, the contracting activity will determine which threshold is appropriate based upon the contract/order dollar value of the preponderance of the effort. *Note: It is important that the correct PSC code is used when transmitting procurement data to FPDS so the proper dollar threshold is reported.*

### 2.2 Single-Agency Indefinite-Delivery Contracts (except for those listed in paragraph 2.2.1 below)

The Contracting Officer must ensure that evaluations are completed in accordance with the reporting thresholds cited in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official.” At a minimum, if the aggregate value of all task/delivery orders against the indefinite-delivery contract exceeds the reporting thresholds, an evaluation must be completed at the base indefinite-delivery contract level.

The Contracting Officer must complete an evaluation on each task/delivery order in accordance with the reporting thresholds cited in Table 1 “Business Sector, Dollar Threshold and Reviewing Official” if the base indefinite-delivery contract has not had an evaluation completed. For indefinite-delivery contracts, the Contracting Officer will determine if the evaluation will need to be completed on each task/delivery order or on the base contract.

#### Reporting on Base

If the base indefinite-delivery contract is evaluated, then **none** of the task/delivery orders placed against it should be evaluated individually. The Contract Number in the evaluation should reflect the base indefinite-delivery contract number only.

#### Reporting on Orders

If the base indefinite-delivery contract is not evaluated, then **all** of the task/delivery orders meeting the reporting threshold placed against it requires an evaluation to be completed. For each task/delivery order evaluated individually, the Contract Number in the evaluation should reflect the base indefinite-delivery contract number and the Order Number in the evaluation should reflect the individual task/delivery order number.

Advice to Contracting Officers regarding indefinite-delivery contracts in cases where each task/delivery order is below the reporting threshold but, by combining the orders, the total meets the reporting threshold:

- A consolidated evaluation at the base contract level can be done provided a single ordering/requiring activity exists and the Contract Effort Description on each order is similar.
- In cases where individual orders could be significantly different, it is generally not feasible to complete a consolidated evaluation. In these cases, it would be more appropriate to complete an evaluation on each task/delivery order. When this process is followed, it will be necessary to enter an administrative evaluation at the base indefinite-delivery contract level referencing that evaluations have been completed on the individual orders below the threshold in order to reflect compliance on the Compliance Metrics (see paragraph 5.4).
- In cases where the Contracting Officer determines that a consolidated evaluation is appropriate, the time for performing the evaluation should be based on the effective date of the base indefinite-delivery contract, and each (if any) subsequent, exercised option year period.
- In cases where the Contracting Officer chooses to create a separate evaluation for a task/delivery order, the time for performing the evaluation will be based on the effective date of each individual order.
- For a consolidated evaluation, when possible, include each task/delivery order number and title in the Contract Effort Description.
- For a consolidated evaluation, when possible, provide a narrative of the contractor's performance on each task/delivery order.

#### **2.2.1 Orders Placed Against another Agency's Indefinite Delivery Vehicle (IDV), Including Federal Supply Schedules (FSS), Government Wide Acquisition Contracts (GWAC), and Multiple Agency Contracts (MAC)**

It is the responsibility of the AO at the contracting or requiring activity placing the order to complete a separate evaluation for each order when the individual order exceeds the threshold, as listed in [Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official." For these evaluations, the period of performance for the evaluation should be based on the effective date/award date of the individual order.

Note: On February 13, 2015, a system change standardized how multiple-award contracts are represented and allow for no reporting at the base contract when reporting is more appropriate at the order level. This change was approved by OMB/OFPP, but on a date-forward basis, meaning contracts awarded prior to February 13, 2015 still show up on the Compliance Metric Report. The Auto-Register list no longer displays basic BOAs, BPAs, GWACs, and FSS base contracts, although it does display the orders/calls under these vehicles. However, if there is currently an evaluation in process at the basic level, it would not be deleted, since the

change was implemented on a date-forward basis. Agencies can complete a “Final” evaluation for the Base, and begin reporting on orders that meet reporting thresholds to remain compliant.

### **2.3 Basic Ordering Agreements (BOAs) and Blanket Purchase Agreements (BPAs)**

For BOA and BPA orders/calls, an evaluation should only be completed on each order/call meeting the reporting threshold.

See Note in above Section.

### **2.4 Express Reports**

Express reporting allows agencies to combine multiple contract action reports (CARs) into a single report in the Federal Procurement Data System (FPDS) (see FAR 4.606(a)(3)). However, if the combined value reported exceeds the reporting threshold, the contracting officer (CO) will be required to submit a performance evaluation.

### **2.5 Joint Ventures (FAR 4.102)**

Evaluations should be prepared on contracts/orders for joint ventures. When a joint venture is formed, a unique DUNS number is used which is different from those of the individual companies that formed the joint venture. A single evaluation will be prepared for the joint venture using that DUNS. If there is a teaming arrangement on a contract where a specific joint venture is not formed, the evaluation is only prepared on the specific prime contractor identified on the contract. All other team members are considered subcontractors to the prime contractor. See Section 2.13 to address subcontractor performance.

### **2.6 Contractor Team Arrangements (CTAs)**

As stated in FAR 9.6, Contractor Team Arrangement is an arrangement in which (1) two or more companies form a partnership or joint venture to act as a potential prime contractor; or (2) a potential prime contractor agrees with one or more other companies to have them act as its subcontractors under a specified Government contract or acquisition program.

If the team arrangement is a joint venture, see section 2.4 of this guide for further instruction on how to evaluate contract performance. If the team arrangement is a prime/sub relationship, evaluations should be conducted on the prime contractor, including any relevant subcontractor information in the description field.

When evaluating CTAs for orders placed against Federal Supply Schedules (FSS), evaluate the team member with most of the revenue.

### **2.7 Classified and Special Access Programs (SAPs)**

Performance evaluations on classified and SAP contracts/orders are not exempt from past

performance reporting requirements. Performance assessment reports on classified programs should be processed in accordance with program security requirements. Copies of classified performance assessment reports will be maintained and distributed in accordance with agency procedures.

## **2.8 Section 8(a) Direct Awards (FAR PART 19)**

Pursuant to specific Agency policy, 8(a) contracts/orders may be issued as a direct award between the contracting office and the 8(a) contractor. Contractor performance evaluations for awards written under this authority should be written on and coordinated directly with the 8(a) contractor.

## **2.9 Awards under the Randolph-Sheppard Act (RSA) to a State Licensing Agency (SLA)**

Awards under the RSA to the SLA should have annual performance evaluations completed if they meet the minimum evaluation thresholds in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official.” The performance evaluations should be written on the SLA (typically the State in which the federal installation is located) since the SLA has overall responsibility for all aspects of the performance of the contract/order awarded and the contract/order awarded has been made to the State (verify this with the information on the award cover page).

Evaluators should list the Licensed Blind Operator and Third Party Agreement Holder in Key Subcontractors and Effort Performed, since the preponderance of the effort under awards through the RSA is performed by the Licensed Blind Operator and the Third Party Agreement Holder. Additionally, the DUNS number for the Licensed Blind Operator and the Third Party Agreement Holder must be included. By completing the information as outlined above, subsequent searches in PPIRS-RC will allow source selection officials to obtain performance information when searching by SLA, Licensed Blind Operator or Third Party Agreement Holder.

## **2.10 Awards to the Canadian Commercial Corporation (CCC)**

Awards to the CCC should have annual performance evaluations completed on them if they meet the minimum evaluation threshold in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official.” The performance evaluations should be written on the CCC since the award was made to the CCC that has overall responsibility for performance of the contract/order (verify with information on the award cover page).

Evaluators should list the Canadian subcontractor performing the work in Key Subcontractors and Effort Performed, since the Canadian subcontractor performs the award to the CCC. Additionally, the DUNS number for the Canadian subcontractor (if available) should be included. By completing the information as outlined above, subsequent searches in the PPIRS-RC will allow source selection officials to obtain performance information when searching by CCC or the Canadian subcontractor.

## **2.11 Awards under the AbilityOne Program**

Awards under the AbilityOne Program are exempt from reporting (with the exception of DoD awards) in accordance with FAR 42.1502. DoD awards under the AbilityOne Program should have annual performance evaluations completed on them if they meet or exceed the evaluation threshold in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official” per OSD Memorandum “Past Performance Information” dated November 27, 2007.

## **2.12 Undefinitized Contractual Actions (UCAs)**

Evaluation information regarding performance under a UCA, including letter contracts and actions where price has not yet been negotiated, should be included in the annual evaluation. If the final negotiated contract/order type is not a cost-type, cost information for the period the UCA was in effect (if applicable) should be included under the cost rating element. If the final negotiated contract/order type is a cost-type, cost information for the entire period of performance should be included under the cost rating element. The narrative shall fully explain the contractor’s performance during the UCA, including definitization of the contract/order. The contractor’s performance under the UCA should be separately identified but considered in the overall annual ratings.

## **2.13 Subcontractor Evaluations**

Evaluations are not completed for subcontractors. However, evaluation of a contractor’s performance should include information on the ability of a prime contractor to manage and coordinate subcontractor efforts, if applicable, as well as compliance with statutory requirements of the Small Business Subcontracting Program. According to FAR 42.1502, past performance evaluations shall include an assessment of contractor performance against, and efforts to achieve, the goals identified in the small business subcontracting plan when the contract includes the clause at 52.219-9, Small Business Subcontracting Plan.

## **2.14 Contracts/Orders Written by Other Agencies**

With the exception of FSS, MACs, and GWACs, in cases where the requiring activity and contracting activity are in separate agencies, it is recommended that the two agencies come to an agreement, preferably in writing, as to which agency is responsible for completing the evaluation prior to award and should so specify in the contract/order to ensure the evaluation is completed.

## **Section C – Responsibilities Assigned**

### **3.1 Responsibilities**

### **3.2 Federal Agencies**

The Federal Agencies are responsible for overseeing the implementation and use of the past performance systems. AOs and Reviewing Officials (ROs) will normally be designated from within the contracting activity or the organization/office/program that identifies the requirement and is in the best position to evaluate contractor performance.

### **3.3 Department Point of Contact**

The Department Point of Contact must be a Government employee. This employee is responsible for administrative oversight of the evaluation process. The Department Point of Contact is typically a senior procurement analyst in the department's procurement policy office. System duties of the Department Point of Contact include:

- Obtaining Department Point of Contact access to the system
- Assigning of Agency Points of Contact
- Assigning Focal Points
- Transferring Focal Points
- Approve deletion of an evaluation

Other best practices include:

- Monitoring to ensure effective implementation of the process
- Implementing an effective training approach
- Ensuring compliance with reporting requirements
- Take all relevant training

### **3.4 Agency Point of Contact**

The Agency Point of Contact must be a Government employee. The Agency Point of Contact is typically a procurement analyst in the agency's procurement policy office. System duties of the Agency Point of Contact include:

- Obtaining Agency Point of Contact access by contacting the Department Point of Contact
- Assigning Focal Points
- Transferring Focal Points
- Providing metrics for management, as requested

Other best practices include:

- Evaluating quality and compliance metrics of subordinate organizations
- Assistance to subordinate organization Focal Points (e.g., training, monitoring and policy)

- Reviewing and providing subordinate organization issues to the Focal Point
- Take all relevant training

### 3.5 Contracting or Requiring Office

The contracting or requiring office should:

- Establish procedures to implement evaluations across the organization, including:
  - Developing training requirements for Focal Points (described in section 3.5), Assessing Official Representatives (AORs), AOs, ROs, and contractors
  - Monitoring the timely completion of reports, report integrity (e.g., quality of reports),
  - Overall system administration
  - Monitoring submittal requirements by dollar value threshold. This should be monitored by review of the Auto Register function available at Agency POC and Focal Point access levels.
- Designate a Focal Point
- Register all new contracts/orders meeting the thresholds identified in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official” within 30 calendar days after contract/order award.

### 3.6 Roles and Responsibilities

#### 3.6.1 Focal Point

**The Focal Point must be a Government employee.** Contractors, including advisory and assistance support service contractors and personal services contractors, are not allowed to perform this function. The Focal Point provides overall support for the process for a particular organization, to include registering contracts, set up and maintenance of user accounts, and general user assistance. Each organization may assign as many Focal Points as required based on volume of eligible contracts and workload. The Focal Point will be designated by completing a [Focal Point Access Request](#) and obtaining approval from the Agency Point of Contact authority or Department Point of Contact authority (if applicable). Systems duties of the Focal Point include:

- Registering the contract/order within 30 calendar days of award using the auto-registration function or by completing the basic contract/order information
- Assigning access authorization for Government and contractor personnel (complete contract/order authorization access based on information from the Contracting Officer, Program/Project Manager, AO and contractor personnel authorized to appoint a designated representative)
- Account management and maintenance (e.g., access changes)
- Control and monitoring, including the status of overdue evaluations.

Other best practices include:

- Ensuring all users are properly trained in accordance with Department/Agency policy

- Assigning Alternate Focal Points (system limit 5) to assist the Focal Point with their duties
- Ensuring that system access does not result in a conflict of interest or the appearance of a conflict of interest, including ensuring that a Government employee is NOT assigned/authorized to sign an evaluation on behalf of the contractor who is the subject of the evaluation
- Agency processes should be established for the Focal Point to notify the organization's management, if applicable, of reports more than 30 calendar days overdue
- Establishing processes to monitor the integrity (e.g., quality) of the report
- Track and suspense evaluations as they become due; however, this does not relieve the AOs of the responsibility for processing quality reports in a timely manner.
- Take all relevant training

While the Focal Point is not directly responsible for the timely submission or the content of evaluations, they are a resource regarding input of information.

### **3.6.2 Alternate Focal Point**

**The Alternate Focal Point must be a Government employee.** Alternate Focal Points may assist the Focal Point in performing any of the duties in 3.5.1 with the exception of assigning additional Alternate Focal Points.

### **3.6.3 Assessing Official Representative (AOR)**

**The AOR must be a Government employee.** AORs typically are assigned from the technical, functional, quality assurance, specialty, program management or contracting offices. Multiple AORs may be assigned per contract/order. Each assigned AOR has the capability of inputting and reviewing information input by the other AORs. System duties of the AOR include:

- Manually registering contract information for specific contracts/orders within 30 calendar days after award (if determined by the contracting activity that this responsibility belongs to an AOR). If the Focal Point has auto registered the contract/order, then the AOR does not need to register the contract/order.
- Providing a timely, accurate, quality, and complete narrative. A supporting narrative must be provided for each factor used.

Other best practices include:

- Take the Quality and Narrative Writing web-based training
- Coordinating, off-line, to determine which AOR will select "Validate and Send to the Assessing Official" since any AOR has that capability (once that choice is selected, AORs are no longer able to input evaluation information)



- Assisting the AO or RO, as necessary

### 3.6.4 Assessing Official (AO)

**The AO must be a Government employee.** The AO is responsible for contracting or overall program execution and is responsible for preparing (see [Instructions](#) for information on preparing report), reviewing, signing, and processing the evaluation. Normal Public Key Infrastructure (PKI) and Email address/password authorization access in the system and its requirement for 128-bit encryption is equivalent to signature. The evaluation should be completed not later than 120 calendar days after the end of the contract or order performance period. AOs are encouraged to discuss contract/order performance with the contractor during the performance period. System duties of the AO include:

- Ensuring that the contract/order is registered
- Reviewing evaluation information provided by the AORs
- Input of evaluation information. A supporting narrative must be provided for each factor used.
- Forwarding the Government evaluation information to the contractor (check with agency policy as to whether the RO or Contracting Officer should be forwarded a copy prior to its submittal to the contractor)
- Reviewing comments from the designated contractor representative once the evaluation has been returned by the contractor or after 60 calendar days have lapsed
- Modifying the evaluation comments and/or ratings after review of contractor comments, as determined by the AO. After receiving and reviewing the contractor's comments, the AO may revise the evaluation, including the narrative. The AO will notify the contractor of any revisions made to a report as a result of the contractor's comments. Such a revised report will not be sent to the contractor for further comment. The contractor will have access to both the original and revised reports when the Government finalizes the evaluation.
- Forwarding evaluations to the RO which are in disagreement or when requested by the contractor or,
- Completing the evaluation if it does not require further RO review by closing the evaluation. At this point the evaluation is considered completed and the "Pending" marking is removed.

Other best practices include:

- Take the Quality and Narrative Writing web-based training
- Ensuring performance input from program management, technical, functional, quality assurance, contracting and other end users of the product or service is included in the evaluation
- Ensuring frequent, meaningful communication and feedback with the contractor throughout the performance period
- Quality review of the entire evaluation
- Coordinating the evaluation with the Contracting Office or Officer when the AO is not the Contracting Officer
- Use all means available, to include information from the contract file, to assist in

documenting and evaluating performance for periods during which the AO was not a participant in the contract performance and/or the AOR is no longer with the agency or program office to provide an assessment of the contractor's performance.

### **3.6.5 Designated Contractor Representative**

The contractor should designate representatives to whom the evaluations will be sent automatically and electronically. The name, title, e-mail address and phone number of the designated contractor representative shall be obtained by the AO who will, in turn, provide that information to the Focal Point for authorization access. The designated contractor representative will NOT be a Government employee assigned/authorized to sign the evaluation on behalf of the contractor who is the subject of the evaluation. Any changes in designated contractor personnel shall be the sole responsibility of the contractor to inform the AO and the Focal Point. The designated contractor representative has the authority to:

- Receive the Government evaluation from the AO
- Review/comment/return the evaluation to the AO within 60 calendar days. If the contractor desires a meeting to discuss the evaluation, it must be requested, in writing, no later than seven calendar days from the receipt of the evaluation. This meeting will be held during the contractor's 60-calendar day review period
- Request RO review
- Note: The evaluation will become available to source selection officials 15 days following the AO's evaluation signature date. The evaluation will be available with or without contractor comments and whether or not it has been closed by the AO or RO. If no contractor comments have been provided at day 15, the evaluation will be marked as "Pending". Contractor comments may be provided up to 60 days following the AO evaluation signature date, and will be updated on a daily basis. Once the evaluation has been closed by the AO or RO, the "Pending" marking will be removed.

### **3.6.6 Reviewing Official (RO)**

**The RO must be a Government employee.** The RO ([Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official") provides the check-and-balance when there is disagreement between the AO and the contractor. The RO must review and sign the evaluation when the contractor indicates non-concurrence with the evaluation. System duties of the RO include:

- Provide narrative comment (the RO's comments supplement those provided by the AO; they do not replace the ratings/narratives provided by the AO)
- Sign the evaluation (at this point, the evaluation is considered completed and is posted, the "Pending" marking is removed).
- It is also a best practice to coordinate the evaluation with the Contracting Officer when the AO or RO are not the Contracting Officer.

## **Section D – Timeline and Workflow**

### **4.1 Timeline and Workflow Overview**

### **4.2 Contract Registration**

Contract Registration is the entry of basic contract/order award information, such as Contractor Name, Contractor Address, Product or Service Code (PSC) Dollar Value, Award Date, etc. into the system. The Focal Point (FP) or Alternate Focal Point (AFP) may perform automated contract/order registration using the Auto Register function. The Auto Register Function will populate the evaluation with the basic contract/order information contained in the Federal Procurement Data System (FPDS). Contract/order registration may also be performed by manually entering the basic contract/order information contained in the contract file. The FP, AFP, AOR, and AO may perform manual registration. Contract/order registration should be performed within 30 days following contract/order award.

#### **4.2.1 Important Note Regarding Auto Register Function**

Select both the old Contract Office Code and the new Activity Address Code (AAC) in the Auto Register search screen. It is important to include both the old Contract Office Codes and new AAC Codes to ensure that all contracts/orders are displayed, as the system does NOT have a crosswalk between the old codes and the new AACs. As contracts/orders are modified and updated to include the new AAC code in FPDS, they will be updated to include the new AAC code in the Auto Register list.

### **4.3 Enter Proposed Ratings and Narratives**

Once the contract's/order's period of performance has been completed, the AOR or AO enters the ratings and narratives to reflect the contractor's performance during the reporting period. A supporting narrative must be provided for each factor used. If there is more than one AOR, the AORs should coordinate to ensure that all proposed ratings and narratives have been entered prior to submitting the proposed evaluation to the AO. The AO may also return a proposed evaluation to the AOR for revisions if desired.

### **4.4 Validate Ratings and Narratives**

The AO reviews the proposed ratings and narratives to ensure ratings are consistent with the definitions in [FAR42.1503\(h\)\(4\)](#) and narratives are detailed, comprehensive, complete, accurate, and supported by objective evidence wherever possible. A supporting narrative must be provided for each factor used. The AO signs the evaluation and sends it to the Contractor Representative (CR).

### **4.5 Contractor Comments**

The CR has the option to provide comments on the evaluation, indicate if they concur or do not concur with the evaluation, sign, and then return the evaluation to the AO. The

CR has a total of 60 days following the AO's evaluation signature date to send comments. If the CR sends comments within the first 14 days following the AO's signature date and the AO or RO closes the evaluation, the evaluation will become available within 1 day. On day 15 following the AO's evaluation signature date, the evaluation will become available for source selection with or without CR comments and whether or not it has been closed by the AO or RO. If no CR comments have been sent and the evaluation has not been closed, it will be marked as "Pending". If the CR sends comments at any time prior to 61 days following the AO's evaluation signature date, those comments will be reflected within 1 day. On day 61 following the AO's evaluation signature date, the CR will be "locked out" of the evaluation and may no longer send comments.

#### **4.6 Review Contractor Comments/Close**

On day 61 following the AO's evaluation signature date, the evaluation is returned to the AO and the CR may no longer send comments. If the CR either concurred with the evaluation or did not send comments, the AO may either:

- Close the evaluation
- Modify and close the evaluation
- Send the evaluation to the RO
- Modify and send the evaluation to the RO

If the AO closes the evaluation or modifies and closes the evaluation, the evaluation will be updated within 1 day and the "Pending" marking will be removed. If the AO sends the evaluation to the RO or modifies the evaluation and sends it to the RO, the evaluation will be updated within 1 day and will retain the "Pending" marking.

If the CR did not concur with the evaluation, the AO may either:

- Send the evaluation to the RO
- Modify and send the evaluation to the RO

In both cases, the evaluation will be updated within 1 day and will retain the "Pending" marking. In the event that an evaluation is modified, both the AO's original ratings and narratives and the AO's modified ratings and narratives will remain a part of the evaluation record.

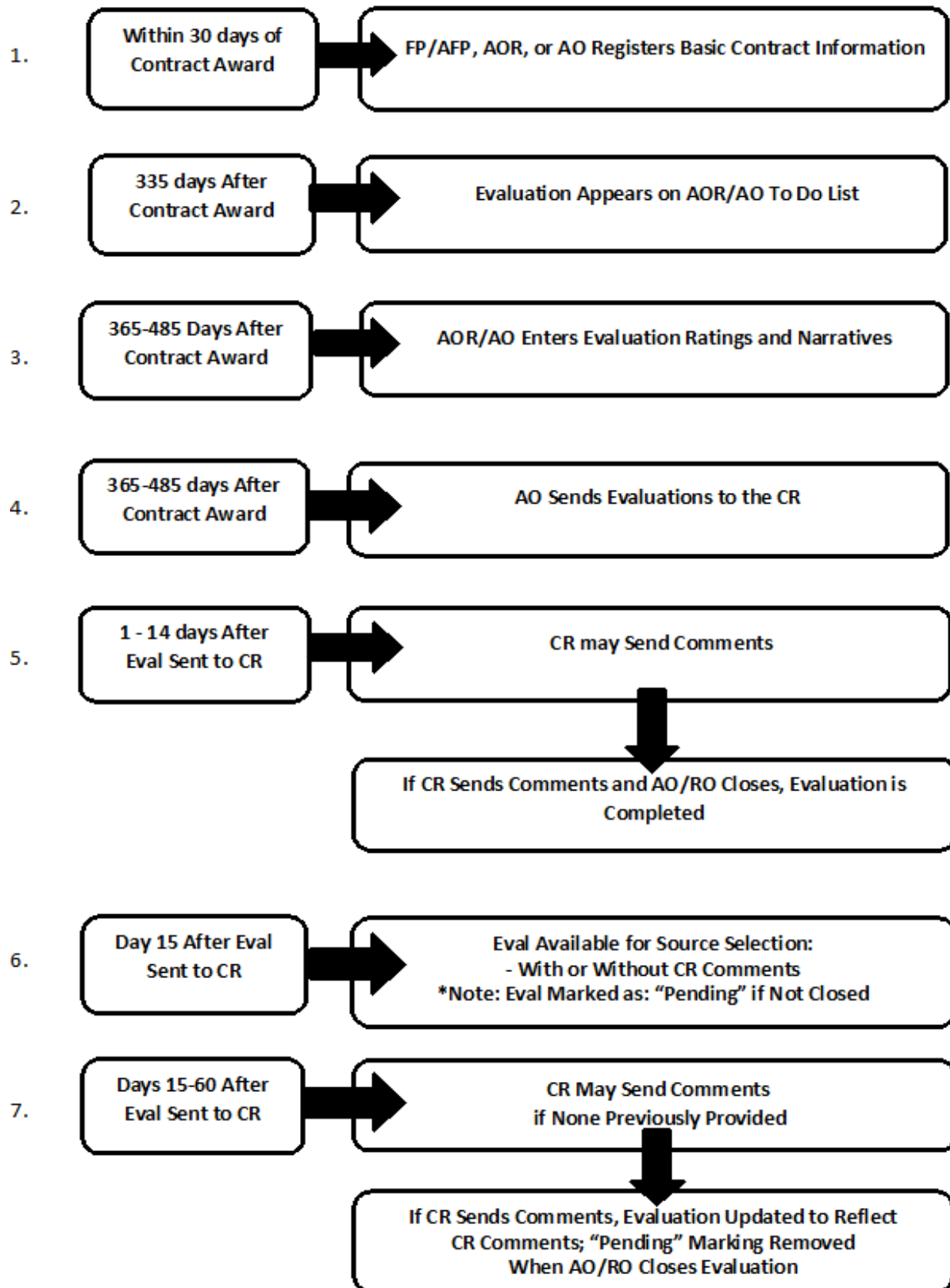
#### **4.7 Reviewing Official Comments/Close**

RO comments and signature are required whenever the CR indicates that they do not concur with the AO's evaluation and when the AO has sent the evaluation to the RO for closure. The RO should provide comments, sign, and close the evaluation. When the evaluation is closed by the RO, it will be updated within 1 day and the "Pending" marking will be removed. The RO also has the option to return the evaluation to the AO for additional changes if desired. In such a case, the AO should make changes as necessary, re-send the evaluation to the RO, and the RO should provide comments, sign, and close the evaluation.

#### **4.8 Evaluation Timeframe**

The entire evaluation process must be completed within 120 days following the end of the period of performance. This timeframe includes the CR's 60-day comment period. Agencies are required to report performance information in a timely manner.

#### 4.9 Timeline



8.

Day 61 After Eval  
Sent to CR

Evaluation Returned to AO, CR Locked out of Evaluation  
and May No Longer Send Comments

9.

If CR Concluded:

Day 61 After Eval Sent  
to CR – Day 120 After  
End of Period of  
Performance

AO Must Either:

- Close Evaluation
- Modify and Close Evaluation
- Send Evaluation to RO (Evaluation Updated as "Pending")
- Modify and Send Evaluation to RO (Evaluation Updated as "Pending")

\*Note: "Pending Marking Removed when Evaluation is Closed

If CR Did Not Concur:

AO Must Either:

- Send Eval to RO (Evaluation Updated as "Pending")
- Modify and Send Eval to RO (Evaluation Updated as "Pending")

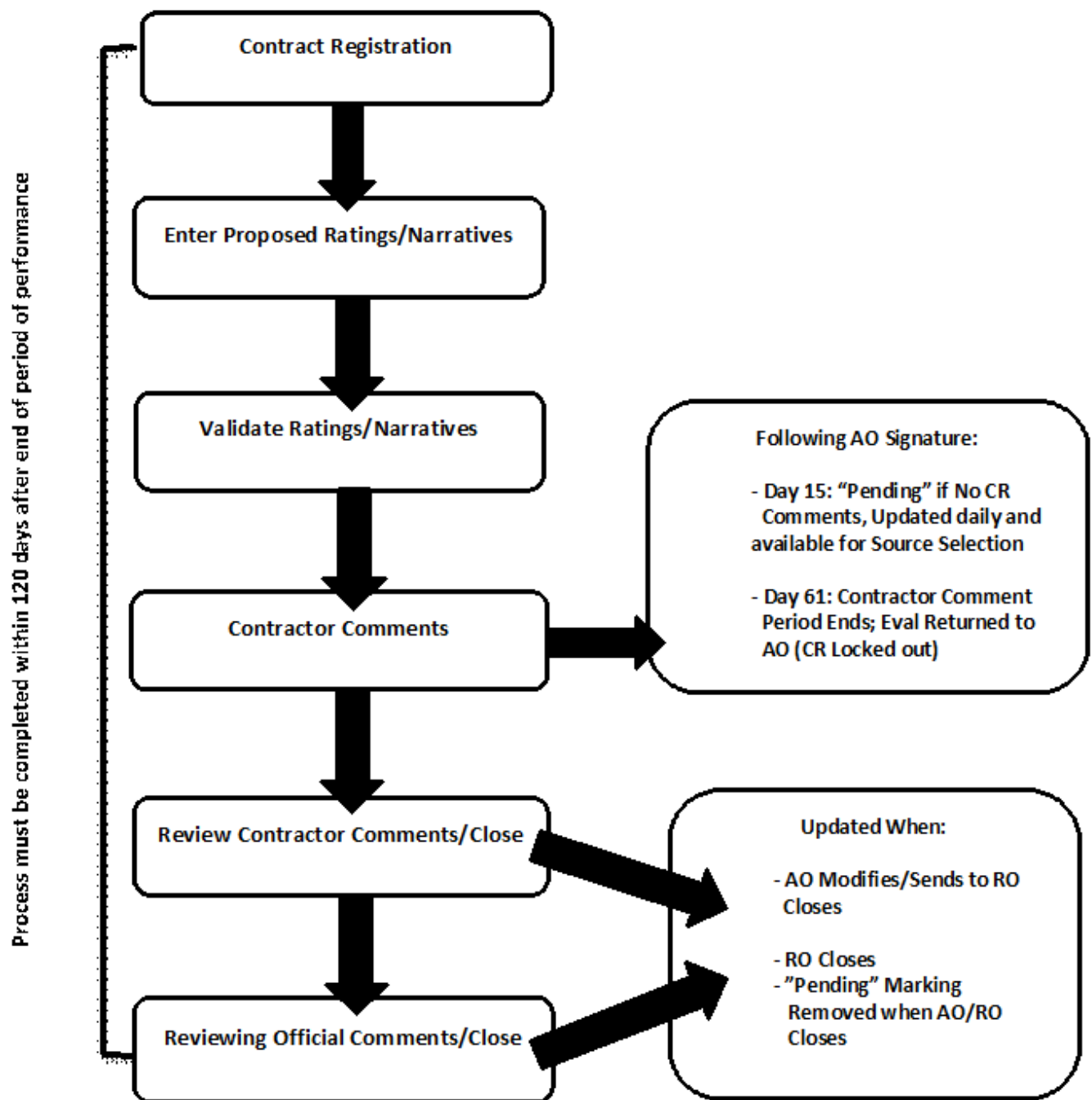
10.

Prior to Day 121  
After End of Period  
of Performance

RO Provides Comments and Closes Evaluation  
(Updated with "Pending" Marking Removed)

The Entire Evaluation Process Must be Completed Within 120  
Days of the End of the Period of Performance

#### 4.10 Workflow





**Table 1 – Business Sector, Dollar Threshold and Reviewing Official**

<b>Business Sector</b>	<b>Dollar Threshold<sup>1</sup></b>	<b>Reviewing Official<sup>2</sup></b>
<b>Civilian Agencies (excludes DoD):</b>		
<b>Systems and Non-Systems</b>	>Simplified Acquisition Threshold	One level above the Contracting Officer, as determined by Department or Agency policy
Architect-Engineer	≥\$35,000; All Terminations for Default	One level above the Contracting Officer, as determined by Department or Agency policy
Construction	≥\$700,000; All Terminations for Default	One level above the Contracting Officer, as determined by Department or Agency policy
<b>DoD Services and Agencies:</b>		
<b>Systems</b> (includes new development and major modifications)	>\$5,000,000	One level above the PM <sup>3</sup>
<b>Non-Systems</b>		
<b>Operations Support</b>	>\$5,000,000 <sup>4</sup>	One level above the AO
<b>Services</b>	>\$1,000,000	One level above the AO
<b>Information Technology</b>	>\$1,000,000	One level above the AO
<b>Ship Repair and Overhaul</b>	>\$500,000	One level above the AO
Architect-Engineer	≥\$35,000; All Terminations for Default	One level above the AO
Construction	≥\$700,000; All Terminations for Default	One level above the AO
<p><sup>1</sup>The contract/order thresholds for performance collection (see FAR 42.1502) apply to the “aggregate” value of contracts/orders; that is, if a contract’s/order’s original award value were less than the applicable threshold but subsequently the contract/order was modified and the new value is greater than the threshold, then evaluations are required to be made, starting with the first anniversary that the contract’s/order’s face value exceeded the threshold. If the total contract/order value including unexercised options and orders (for IDIQ contracts, total estimated value of unexercised options and orders) is expected to exceed the collection threshold, initiate the collection process at the start of the contract/order. Buying activities may choose to collect performance evaluations for awards below these thresholds.</p> <p><sup>2</sup>Only required when the contractor indicates non-concurrence with the evaluation or if otherwise requested by the contractor during the 60-calendar day comment period.</p> <p><sup>3</sup>(Or equivalent individual) responsible for program, project or task/job order execution.</p> <p><sup>4</sup>For contracts/orders under the reporting thresholds, buying activities should continue to accumulate contractor performance data from existing management information systems, which already capture data on timeliness of delivery and quality of product or service.</p>		

## Section E – Frequency of Reporting for Contracts and Orders and Types of Reports

### 5.1 Past Performance Reporting Requirement: Compliance and Quality Information

The FAR requires agencies to report on and assess a contractor's performance at the time the work under the contract or order is completed. The FAR stipulates that past performance evaluations be conducted on contracts and orders over the simplified acquisition threshold. In addition, AOs will prepare past performance evaluations for construction contracts of \$700,000 or more and architect-engineer services contracts of \$35,000 or more. Construction and architect-engineer contracts and orders terminated for default must be documented regardless of dollar value.

This FAR requirement supports the Government's goal of awarding contracts to contractors that deliver the best value and quality products or services in support of Government agency missions. Agencies are required to follow the FAR and seek approval from OFPP before deviating from the FAR.

An evaluation includes seven evaluation areas to rate the contractor's performance –

- 1) Technical/Quality of Product or Service
- 2) Cost Control
- 3) Schedule/Timeliness
- 4) Management or Business Relations
- 5) Small Business Subcontracting
- 6) Regulatory Compliance
- 7) Other

In addition, up to three *Other Areas* may be assessed as deemed necessary by the AO.

A quality written narrative is important, as it not only supports the rating assigned, but it also assists the source selection official in making an informed source selection and/or award decision. The narrative that supports the rating should be concise and provide sufficient supporting rationale that addresses questions about the performance that may be asked by a source selection team. A supporting narrative must be provided for each factor used. Interim Evaluations

#### 5.2.1 Interim Evaluations: New Contracts/Orders

FAR 42.15 requires an annual performance evaluation for all contracts/orders for all business sectors meeting the thresholds identified in [Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official". All annual evaluations, with the exception of the evaluations completed at the end of the contract/order, are referred to as interim evaluations. For contracts/orders that have a period of performance greater than 365 calendar days, the first interim evaluation must reflect evaluation of at least the first 180 calendar days of performance under the contract/order, and may include up to the first 365 calendar days of performance. For contracts/orders with a period of performance of less than 365 calendar days, see "Final Reports" below.

### **5.2.2 Annual Interim Evaluations**

Because FAR 42.15 requires an annual past performance evaluation, interim evaluations are also required at least every 12 months throughout the entire period of performance of the contract/order up to the final report for all contracts/orders for all business sectors. An interim evaluation is also required:

- Upon a significant change within the agency, provided that a minimum of six months of performance has occurred, such as the following:
  - Change in program or project management responsibility
  - Transfer of contract/order, BPA, or BOA order to a different contracting activity
- To make certain that evaluations are processed timely, an interim evaluation should be started prior to transfer of Assessing Official Representative or Assessing Official duties from one individual to another if there is six or more month's performance to go prior to the next evaluation to ensure continuity.

### **5.2.3 Note on Interim Evaluations**

An interim evaluation is limited to contractor performance occurring after the preceding evaluation. To improve efficiency, it is recommended that the evaluation be completed together with other reviews (e.g., award fee determinations, earned value management system, major program events, program milestones and quality assurance surveillance records).

## **5.3 Final Evaluation**

A final evaluation, in accordance with FAR 42.15, should be completed upon contract/order completion or delivery of the final major end item on the contract/order. For contracts/orders containing option periods where not all options will be exercised, a final report should be prepared following completion of performance under the last option period which was exercised. Final reports should be prepared on all contracts/orders meeting the thresholds established in [Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official" with a period of performance of less than 365 calendar days. The final evaluation does not include cumulative information but is limited to the period of contractor performance occurring after the preceding evaluation. The Focal Point should coordinate with the AO any extensions when special circumstances arise.

## **5.4 Addendum Evaluations**

Addendum evaluations may be prepared, after the "final" past performance evaluation, to record the contractor's performance relative to contract/order closeout, warranty performance and other administrative requirements.

## **5.5 Administrative Evaluations**

In the event that there is no contract/order performance during an annual evaluation period due to circumstances such as not placing any orders against an indefinite-delivery

vehicle, it is necessary to complete an administrative evaluation. For an administrative evaluation, rate the Management evaluation area as “Satisfactory” and include the rationale for issuing an administrative report in the Assessing Official narrative. An administrative evaluation must be routed through the normal workflow.

## **Section F – Administrative Information**

### **6.1 Records Retention and Disposition**

All hard copies and working papers generated as part of the evaluation process will be retained and disposed of in accordance with agency procedures and any applicable program security requirements.

### **6.2 Markings and Protection**

All evaluation forms, attachments and working papers must be marked “FOR OFFICIAL USE ONLY/SOURCE SELECTION INFORMATION – see FAR 2.101, 3.104, and 42.1503” according to Freedom of Information Act Program, FAR 3.104, and 41 USC Sect. 423. The marking requirements apply to all methods of transmission.

Evaluations may contain information that is proprietary to the contractor. Information contained on the evaluation, such as trade secrets and protected commercial or financial data obtained from the contractor in confidence, must be protected from unauthorized disclosure. **AOs and ROs should annotate the evaluation if it contains material that is a trade secret, etc., to ensure that future readers of the evaluation are informed and will protect as required.** The following guidance applies to protection both internal and external to the Government:

#### **6.2.1 Internal Government Protection**

Evaluations must be treated as source selection information at all times. Information must be protected in the same manner as information contained in source selection files. (See FAR 3.104 and 41 USC Sect. 423)

#### **6.2.2 External Government Protection**

Disclosure of performance evaluation data to any contractor, including advisory and assistance contractors, other than the contractor that is the subject of the report, or other entities outside the Government, is strictly prohibited. Only the contractor that is the subject of the report will be granted access to its evaluation.

### **6.3 Freedom of Information Act (FOIA)**

Contractor performance information is privileged source selection information. As these evaluations may be used to support future award decisions, the completed evaluation shall not be released to other than Government personnel and the contractor whose performance is being evaluated. This information is not releasable under the Freedom of Information Act (FOIA). FAR Subpart 24.2 includes guidance on the Freedom of Information Act. Performance evaluations may be withheld from public disclosure as they are procurement sensitive. Decisions regarding FOIA requests should be coordinated in accordance with agency procedures and policies.

## **6.4 Use in Source Selection**

Each evaluation consists of a narrative evaluation by the AOR, the AO, and the contractor's comments, if any, relative to the evaluation. The evaluation also includes the RO's acknowledged consideration and reconciliation of significant discrepancies between the AO's evaluation and the contractor's comments, if applicable. Source selection officials retrieve evaluations by using the PPIRS-Report Card (PPIRS-RC). See FAR 42.1503(g) for the applicable time frames for use of past performance information.

# Key Business Sectors Applicable to All Evaluations

## Systems

Generally, this sector includes products that require a significant amount of new engineering development work, and includes major modification/upgrade efforts for existing systems, as well as acquisition of new systems, such as aircraft, ships, etc.

Aircraft: Includes fixed and rotary wing aircraft, and their subsystems (propulsion, electronics, communications, ordnance, etc.). Examples include Large Aircraft Infrared Countermeasures and Apache Attack Helicopters.

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. Examples include the Abrams Tank and the Mine Resistant Ambush Protected (MRAP) Marine All-Terrain Vehicle (M-ATV). Does not include commercial equipment typically acquired from existing multiple award “schedule” contracts (e.g., staff cars, base fire trucks, etc.)

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

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

Science and Technology - Systems: Includes demonstration, validation, engineering and manufacturing development, and operational system development for all disciplines including agriculture, crime prevention and control, fire prevention and control, rural services, urban services, community services, aircraft, missile and space systems, ships, tanks, weapons, electronics and communications, ammunition, subsistence, textiles, clothing, equipage, fuels and

lubricants, employment growth and productivity, product or service improvement, manufacturing technology, economic growth and productivity, education, energy, conservation of energy, pollution control and abatement, environmental protection, physical sciences, math and computer sciences, environmental sciences, engineering sciences, life sciences, psychological sciences, social sciences, housing, employment, income maintenance and security, international affairs and cooperation, biomedical, dependency, health services, mental health, rehabilitative engineering, medical research, natural resources, marine fisheries, social services, aeronautics, space, transportation, and mining. Note: Does not include DoD programs. DoD efforts for demonstration, validation, engineering and manufacturing development and operational system development are included under the non-Science and Technology Systems business subsectors above (e.g. aircraft, shipbuilding, space, 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.

**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 such as the KC-135 Aircrew Training System, the Multi-Band Threat Simulator (MTS) system, the Blackhawk Operations Simulator, and the Digital Range Training System. 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.

## **Non-Systems**

The Non-Systems business sector includes Services, Information Technology, Operations Support, and Science and Technology – Non-Systems.

## **Services**

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

**Facilities Services:** Includes services for grounds maintenance (grass cutting, shrubbery maintenance or replacement, etc.); janitorial services; painting, and making minor repairs to buildings and utilities services, etc.; contracted security and guard services; installation and maintenance of fencing; 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, elevator inspection and maintenance,

fire alarm system preventative maintenance and repair, facilities maintenance and management, utilities services. (See Construction for the installation services covered



by that sector.)

Professional/Technical & Management Support Services: Includes all consultant and advisory services - those related to scientific, health care services, and technical matters (e.g., engineering, computer software engineering and development), as well as those related to organizational structure, human relations, etc. Includes office administrative support services (e.g., operation of duplication centers, temporary secretarial support, etc.). Includes Integrated Hardware/Software/Services Solutions, Help Desk, and business continuity services.

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. Ship Repair and Overhaul under the Shipbuilding sector is excluded.

Transportation and Transportation-Related Services: Includes services related to transportation by all the land, water, and air routes, and transportation efforts, which support movement of personnel and their supplies including during peacetime training, conflict, war, contingency actions, or humanitarian support. Consists of those military, other Federal and commercial efforts, services and systems organic to, contracted for, or controlled by the Government.

Includes relocation related efforts for agencies, travel arrangement and reservation services, domestic delivery services for letters and packages, employee relocation.

## **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), networking, and related resources. This excludes any military-unique C4I systems and components included under Systems, such as Joint Tactical Information and Distribution System, Aegis, etc. More specifically-

Hardware: Physical equipment as opposed to programs, procedures, rules and associated documentation. In automation, the physical equipment or devices form a computer and peripheral components, tablets, iPads, servers, laptops. Includes annual hardware maintenance service plans.

Software: A set of computer programs, procedures, cyber capabilities, and associated documentation concerned with the operations of a data processing system; e.g., compilers, library routines, manuals and circuit diagrams. This also includes information that may provide instructions for computers; data for documentation; and voice, video, and music for entertainment and education. Includes annual software maintenance service plans.

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. Includes Internet access, cell phones, and cell phone service.

## **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-

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

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

**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.

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

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

**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.)

**Personnel Support:** Includes all food and subsistence items. Includes all clothing and textile-related items, including uniforms, tentage, personal protective gear, life preservation devices, etc. Includes all medical supplies and equipment, including medicines and diagnostic equipment (X-ray machines, etc.). Includes recreational or morale/welfare items and supplies.

**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).

Vehicles and Other Related Equipment: Includes fire trucks, automobiles, trucks, ambulances, water craft, aircraft, buses, wreckers, carriers, tankers, trailers, etc. that are commercially or non- developmentally available.

## **Science and Technology – Non-Systems**

Science and Technology – Non-Systems: Includes basic research, applied research, and advanced technology development for all disciplines including agriculture, crime prevention and control, fire prevention and control, rural services, urban services, community services, aircraft, missile and space systems, ships, tanks, weapons, electronics and communications, ammunition, subsistence, textiles, clothing, equipage, fuels and lubricants, employment growth and productivity, product or service improvement, manufacturing technology, economic growth and productivity, education, energy, conservation of energy, pollution control and abatement, environmental protection, physical sciences, math and computer sciences, environmental sciences, engineering sciences, life sciences, psychological sciences, social sciences, housing, employment, income maintenance and security, international affairs and cooperation, biomedical, dependency, health services, mental health, rehabilitative engineering, medical research, natural resources, marine fisheries, social services, aeronautics, space, transportation, and mining.

Note: Does include DoD projects funded by program budget accounts 6.1 (Basic Research), 6.2 (Applied Research), and 6.3 (Advanced Technology Development). Contracting officers are encouraged to manually register and complete assessment reports on science and technology contracts and delivery/task orders under budget accounts 6.1, 6.2, and 6.3 over \$1,000,000, consistent with the threshold for services, although completion of past performance evaluations is not mandatory for these types of contracts.

Use of Science and Technology PPI in Source Selections – Non-Systems PPI must be limited to relevant information as determined by the Source Selection team. Requests for PPI must be tailored to each procurement during the source selection process, with emphasis placed on the expertise of key personnel. See Class Deviation 2013-O0018, dated 24 September 2014 which can be found at [http://www.acq.osd.mil/dpap/dars/class\\_deviations.html](http://www.acq.osd.mil/dpap/dars/class_deviations.html).

## **Architect-Engineer**

Architect-Engineer services include (1) Professional services of an architectural or engineering nature, as defined by State law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide those services; (2) Professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and (3) Those other professional services of an architectural or engineering nature, or incidental services, that members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.

## **Construction**

“Construction” means construction, alteration, or repair (including dredging, excavating, and painting) of buildings, structures, or other real property. For purposes of this definition, the terms “buildings, structures, or other real property” include, but are not limited to, improvements of all types, such as bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, cemeteries, pumping stations, railways, airport facilities, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, canals, and channels. Construction does not include the manufacture, production, furnishing, construction, alteration, repair, processing, or assembling of vessels, aircraft, or other kinds of personal property.

## Instructions for Completing Evaluations

**A3.1 Name/Address of Contractor.** State the name and address of the division or subsidiary of the contractor that is performing the contract/order. Identify the parent corporation (no address required). Identify the DUNS+4 number, Product or Service Code (PSC), and North American Industrial Classification System (NAICS) code. All codes can be accessed by using the on-screen “lookup” function provided.

Source: SAM - Vendor Name

**A3.2 Evaluation Type.** Indicate whether the evaluation is an interim, final, or addendum report. If this is a report to record contractor performance relative to contract/order closeout or other administrative requirements, select “Addendum.”

Source: CPARS data entry

**A3.3 Contract Percent Complete.** Enter the percent of the contract/order that has been completed at the time the evaluation is being done. Use data from any Earned Value Management Systems, progress reports, schedule, and payment information as applicable to determine the percent complete. Source: CPARS data entry

**A3.4 Period of Performance Being Assessed.** State the period of performance covered by the report (dates must be in MM/DD/YYYY format). The initial period of performance should not cover less than six months of actual performance. Note. The dates for the period of performance being assessed should be consistent with the dates on the FPDS contract action report. Source: CPARS data entry

**A3.4.1 Period of Performance for Delayed Starts, Protests or Phase-In Periods.** In the case of delayed starts or protests, the initial period of performance may cover more than twelve months of time since contract/order award, but normally no more than twelve months of actual contract/order performance. Source: CPARS data entry

**A3.4.2 Period of Performance for Interim/Final Reports.** Evaluations for interim and final reports should cover a 12-month period of performance. Exceptions to this rule for special circumstances, such as a period of performance that ends one month before contract/order completion or in those instances (up to six months beyond the annual period) where the performance has been extended must be approved by the Contracting Officer. Source: CPARS data entry

**A3.5 Contract Number.** Use the contract number as identified on the contract, except in the case of BOAs, BPAs, GSA or US Department of Veterans Affairs (VA) schedules, GWACs/MACs and other agency orders. If an order/call is issued under a BOA, BPA, GSA or VA schedule, GWAC/MAC or other agency contract/agreement, the contract number in the evaluation should match the master contract number. The order number field should be used to reflect the contract/schedule/agreement number for the order/call. For orders issued against BPAs placed against Federal Supply Schedules, the Contract Number should be the BPA number and the Order Number should be number of the individual order/call. Source: FPDS - Procurement Instrument Identified (PIID) / Referenced PIID

**A3.6 Business Sector and Sub-Sector.** Identify the Business Sector as Systems, Non-Systems, Architect-Engineer, or Construction. For Systems and Non-Systems contract/orders, identify the appropriate Sub-Sector. The Systems sub-sectors are: Aircraft, Shipbuilding, Space, Ordnance, Ground Vehicles, Training Systems, Other Systems and Science and Technology - Systems. The Non-Systems sub-sectors are: Professional/Technical and Management Support Services, Repair and Overhaul (excludes ship repair and overhaul), Facilities Services, Transportation and Transportation Related Services, Software, Hardware, Telecommunications Equipment or Services, Mechanical, Structural, Electronics, Electrical, Ammunition, Personnel Support, Facilities Equipment and Supplies, Fuels, Vehicles and Other Related Equipment, and Science and Technology – Non-Systems. Source: FPDS - Product or Service Code; Program, System, or Equipment Code; DoD Claimant Program Code; NAICS

**A3.7 Contracting Office (Organization).** Identify the contracting office.  
Source: CPARS data entry

**A3.8 Location of Work.** Provide a geographical reference for the principal place of performance if performance is not at the contractor's location or at a government owned, contractor operated facility, including city, state, and zip code.  
Source: CPARS data entry

**A3.9 Contracting Officer.** Self-explanatory. Source: ACBIS or CPARS data entry

**A3.9.1 Phone Number.** Include the commercial phone number in the following format: (XXX)XXX-XXXX. Source: CPARS data entry

**A3.10 Award Date.** Identify the date (MM/DD/YYYY) of contract/order award or select the date on the on-screen, pop-up calendar. Source: FPDS - Date Signed

**A3.10.1 Effective Date.** Identify the date (MM/DD/YYYY) that actual contract/order performance is set to begin or select the on-screen calendar date only if that date is later than the Award Date. Source: FPDS

**A3.11 Completion Date.** Identify the last possible date (MM/DD/YYYY) of contract/order performance (e.g., the last calendar day of the last option period) or select the date on the on-screen, pop-up calendar. Source: FPDS - Ultimate Completion Date

**A3.12 Actual Completion Date.** Identify the date that the work was completed and accepted by the Government. If the contract/order was terminated, enter the date that the termination became effective. Source: CPARS data entry

**A3.14 Current Contract Dollar Value.** State the current obligated amount including modifications and options that have been exercised. For incentive contracts/orders, state the target price or total estimated amount. For delivery/task/job order contracts (IDIQs) where orders will be assessed under a single evaluation, state the total amount obligated on all delivery orders, including modifications. For delivery/task/job order contracts (IDIQs) where orders will be assessed on an individual basis, state the current obligated amount of the individual order, including modifications. For BOAs and BPAs, state the current obligated amount of the individual order, including modifications.

Source: FPDS - Action Obligation

**A3.15 Complexity.** Describe contract/order technical complexity in accordance with the following definitions: Source: CPARS data entry

**Low** - The contract requires mature, proven technology or services of a non-complex nature, such as the production of simple items or performance of simple operations. Contract requirements are simple and efforts are routine; highly skilled labor is not required in order to meet contract requirements. The contract may be for a follow-on, repetitive type, or commercial acquisition. Contract requirements can be accomplished with a low degree of management effort and routine services may be performed with minimal supervision. Examples include commercial-off-the-shelf supplies or parts such as transistors and commercial services such as grounds keeping.

**Medium** - The contract requires mature, proven technology or services of a moderately complex nature. While the technology may be moderately complex and the services require skilled labor, no new technology is being developed and the technology is being used for proven applications only; no new applications of the technology are being performed. Contract specifications have moderate tolerances and may have a routine delivery schedule. A moderate degree of management oversight is required to ensure accomplishment of contract requirements. Examples include night vision goggles, design and construction services for routine repairs and alterations to real property, and financial support services.

**High** - The contract requires new technology or services, or a new application of existing technology or services, with a high degree of technical uncertainty. Performance requires state of the art machinery or highly skilled personnel. Contract specifications include stringent tolerance limits and services must be performed to exacting standards. The contract may have an accelerated delivery schedule. A high degree of management effort is required to ensure accomplishment of contract requirements. Examples include development of new aircraft or weapons systems.

**A3.16 Termination Type.** Indicate one of the following to describe if the contract/order has been terminated: None, Default, Convenience, or Cause. Source: CPARS data entry

**A3.17 Competition Type.** Identify the extent to which the award was competed by selecting from the following options. If the evaluation is for a single order/call, select the basis of award for that order/call. Source: FPDS - Type of Contract

- Competed under SAP - Select this option when the action is competed under the Simplified Acquisition Threshold.
- Competitive Delivery Order – (Apply to Full and Open Competition pursuant to FAR 6.1 and only apply to Delivery Orders) Report this option if the IDV Type is a Federal Schedule. Report this option when the Order delivery/task order award was made pursuant to a process that permitted each contract awardee a fair opportunity to be considered. See FAR Part 16.505(b)(1). Report this option if the action is for the award of a multiple award schedule or an order against a multiple award schedule pursuant to FAR 6.102(d)(3) and the applicable provisions referenced there under.
- Follow On to Competed Action - Select this code when the action is a follow on to an existing competed contract. FAR 6.302-1.

- Full and Open Competition - Report this code if the action resulted from an award pursuant to FAR 6.102(a) - sealed bid, FAR 6.102(b) – competitive proposal, FAR 6.102(c) - Combination, or any other competitive method that did not exclude sources of any type.

- Full and Open Competition after Exclusion of Sources - Select this option when some sources are excluded before competition.

- Non-Competitive Delivery Order - Report this code when competitive procedures are not used in awarding the delivery order for a reason not included above (when the action was non-competitive).

- Not Available for Competition - Select this option when the contract is not available for competition.

- Not Competed - Select this option when the contract is not competed.

- Not Competed under SAP - Select this code when the action is NOT competed under the Simplified Acquisition Threshold.

**A3.18 Contract Type.** Identify the contract/order type by selecting from the following options. For mixed contract/order types, select the predominant contract/order type based on the aggregate of all Contract Line Item Numbers. Source: FPDS-NG - Award Type

- Combination - Applies to awards where two or more of the below apply.

- Cost Plus Award Fee – A cost-plus-award-fee contract is a cost-reimbursement contract that provides for a fee consisting of (1) a base amount fixed at inception of the contract, if applicable and at the discretion of the contracting officer, and (2) an award amount that the contractor may earn in whole or in part during performance and that is sufficient to provide motivation for excellence in the areas of cost, schedule, and technical performance.

- Cost Plus Fixed Fee – A cost-plus-fixed-fee contract is a cost-reimbursement contract that provides for payment to the contractor of a negotiated fee that is fixed at the inception of the contract. The fixed fee does not vary with actual cost, but may be adjusted as a result of changes in the work to be performed under the contract.

- Cost Plus Incentive Fee – A cost-plus-incentive-fee contract is a cost-reimbursement contract that provides for an initially negotiated fee to be adjusted later by a formula based on the relationship of total allowable costs to total target costs.

- Cost No Fee – A cost no-fee contract is a cost-reimbursement contract in which the contractor receives allowable incurred costs, but receives no fee.

- Cost Sharing – A cost-sharing contract is a cost-reimbursement contract in which the contractor receives no fee and is reimbursed only for an agreed-upon portion of its allowable costs.

- Firm Fixed Price – A firm-fixed-price contract provides for a price that is not subject to



any adjustment on the basis of the contractor's cost experience in performing the contract.

- Fixed Price Award Fee – A fixed price contract provides for an award fee earned (if any) that will be paid in addition to the fixed price.
- Fixed Price Incentive – A fixed-price incentive contract is a fixed-price contract that provides for adjusting profit and establishing the final contract price by a formula based on the relationship of final negotiated total cost to total target cost.
- Fixed Price Level of Effort – A firm-fixed-price, level-of-effort term contract requires the contractor to provide a specified level of effort, over a stated period of time, on work that can be stated only in general terms; and the Government to pay the contractor a fixed dollar amount.
- Fixed Price Redetermination – A fixed-price contract with prospective price redetermination may be used in acquisitions of quantity production or services for which it is possible to negotiate a fair and reasonable firm fixed price for an initial period, but not for subsequent periods of contract performance.
- Fixed Price with Economic Price Adjustment – A fixed-price contract with economic price adjustment provides for upward and downward revision of the stated contract price upon the occurrence of specified contingencies.
- Labor Hours – A labor-hours contract provides for acquiring supplies or services on the basis of direct labor hours at specified fixed hourly rates that include wages, overhead, general and administrative expenses, and profit. It is a variation of the time-and-materials contract, differing only in that materials are not supplied by the contractor. Order Dependent – For use on orders placed against indefinite delivery contracts that allow the cost or pricing arrangement to be determined on each order.
- Other – Applies to awards where none of these options apply.
- Time and Materials - A time-and-materials contract provides for acquiring supplies or services on the basis of direct labor hours at specified fixed hourly rates that include wages, overhead, general and administrative expenses, and profit; and actual cost for material.

**A3.19 Key Subcontractors and Effort Performed.** Identify subcontractors, including DUNS +4 number, performing either a critical aspect of the contracted effort or more than 25 percent of the dollar value of the effort. If possible, include the amount of subcontract costs of the total contract/order effort. Discussion of the prime contractor's management of the subcontractor should be included under the Management evaluation area. Source: CPARS data entry

**A3.20 Attachment (Optional).** An attachment may be included to provide additional documentation to support the evaluation. Examples of an attachment may include, but are not limited to, status reports, cost performance reports, spreadsheets, drawings, and technical documentation. The attachment must be marked "FOR OFFICIAL USE ONLY/SOURCE SELECTION INFORMATION – SEE FAR 2.101, 3.104, AND

42.1503.” Each evaluation is limited to one PDF attachment of 5MB or less.

Source: CPARS data entry

**A3.21 Project Number.** Enter the agency assigned Project Number, if applicable.

Source: CPARS data entry

**A3.22 Project Title.** Provide a short but detailed descriptive narrative (in plain English) of the program or project that informs the reader of the program’s or project’s purpose and intent. A good source for this description can be found in the statement of work or statement of objectives, requirements document, the acquisition plan, etc. Spell out all abbreviations and acronyms. Source: CPARS data entry

**A3.23 Contract Effort Description.** Provide a detailed description of the contract/order effort that identifies the key requirements and/or type of effort. This section is of critical importance to future source selection officials. The description should be detailed enough so that it can be used in determining the relevance of this program or project to future source selections. It is important to address the complexity of the contract/order effort and the overall technical risk associated with accomplishing the effort. Ensure acronyms are identified. Provide a complete description of the contract/order effort that identifies key technologies, components, subsystems, and requirements. For task/delivery order contracts, state the number of orders issued during the period, the number of orders completed during the period, and the number of orders that remain active. A good source for this description can be found in the statement of work or statement of objectives, requirements document, the acquisition plan, etc. Source: CPARS data entry

For contracts/orders that include multiple functional disciplines or activities, separate them into categories to:

(1) reflect the full scope of the contract/order, and

(2) Allow grouping of similar work efforts within the categories to avoid unnecessary segregation of essentially similar specialties or activities. Each category or area should be separately numbered, titled and described within the Contract Effort Description to facilitate cross-referencing with the evaluation of the contractor's performance within each evaluation area.

**A3.24 Small Business Subcontracting.** Answer the following questions:

- Does this contract include a subcontracting plan?
- Date of last Individual Subcontracting Report (ISR) / Summary Subcontracting Report (SSR)

Source: CPARS data entry

**A3.25 Variance (Contract-to-Date).** If Cost Performance Report (CPR) or Cost/Schedule Status Review (C/SSR) data are available, identify the current percent cost variance to date, the Government's estimated variance at completion (percent), and the cumulative schedule variance (percent). Indicate the cutoff date for the CPR or C/SSR used. Source: CPARS data entry

**A3.25.1** 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 Earned Value and

multiply by 100.

A3.25.2 Compute Variance at Completion (VAC) cost percentage by subtracting the Estimate at Completion (EAC) from the Budget at Completion (BAC), dividing the result by the Budget at Completion (BAC) and multiplying by 100. The calculation is  $VAC = (BAC - EAC) / BAC \times 100$ . The BAC 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 evaluation, a brief description in the Assessing Official Narrative of the nature and magnitude of the baseline adjustment must be provided. Subsequent evaluations must evaluate cost performance in terms of the revised baseline and reference the evaluation that described the baseline adjustment.

A3.25.3 Compute cumulative schedule variance percentage by dividing the Earned Value minus Planned Value by Planned Value and multiply by 100. The calculation is  $[(Earned\ Value - Planned\ Value) / Planned\ Value] \times 100$ . If the schedule variance exceeds 15 percent (positive or negative), briefly discuss in the Assessing Official comments the significance of this variance for the contract/order effort.

A3.25.4 For additional information on Variance, see the [American National Standards Institute \(ANSI\) Electronic Industries Alliance \(EIA\) Standard 748 for Earned Value Management Systems](#) and the [Department of Defense Earned Value Management Implementation Guide](#).

**A3.26 Evaluation Areas.** Evaluate each area based on the following criteria:

Source: CPARS data entry

A3.26.1. Each area evaluation must be supported by objective data (or subjective observations) that will be provided in the Assessing Official Comments. Facts to support specific areas of evaluation must be requested from the PM, Contracting Officer and other Government specialists familiar with the contractor's performance on the contract/order under review. Such specialists may, for example, include the Contracting Officer's Representative (COR) for the program, Senior Resident Engineer (SRE), Resident Engineer (RE), Project Manager (PM), Program Manager (PgM), and may also be from engineering, manufacturing, construction, quality, logistics (including provisioning), contracting, maintenance, security, data, etc.

A3.26.2 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 detailed narrative supporting the ratings.

A3.26.3 The evaluation is designed to assess prime contractor performance. 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 the Assessing Official Comments.

A3.26.4 While the evaluation areas represent broad categories, the AO should include clear, supportable information for each area based on objective facts supported by program, quality, and other performance data tailored to the contract type, dollar value,

and complexity of the requirement. The AO should present enough information in each applicable category to accurately describe the contractor's performance in a way that provides useful insight for Federal source selection officials.

A3.26.5 Evaluate all areas which pertain to the contract/order under evaluation, unless they are not applicable (“N/A”).

A3.26.6 When performance has changed from one period to another such that a change in ratings results, the detailed narrative in the Assessing Official Comments must address each change.

A3.26.7 The AO should use customary industry quantitative measures where they are applicable if the contract/order is for commercial products.

A3.26.8 Ratings will be in accordance with the definitions in [FAR 42.5103\(h\)\(4\)](#) “Evaluation Ratings Definitions”.

A3.26.9. A fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than satisfactory solely for not performing beyond the requirements of the contract/order.

### A3.27 **Quality.**

A3.27.1 **For Systems** contracts/orders, consider the following aspects of contractor performance:

A3.27.1.1 **Product Performance.** Assess the achieved product performance relative to performance parameters required by the contract/order.

A3.27.1.2 **Systems Engineering.** Assess the contractor's effort to transform operational needs and requirements into an integrated system design solution.

A3.27.1.2.1 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/order execution, the integration of the engineering specialties, management of interfaces, interoperability, and the management of a totally integrated effort of all engineering concerns to meet cost, technical performance, and schedule objectives.

A3.27.1.2.2 System engineering activities ensure that integration of these engineering concerns is addressed up-front and early in the design/development process. The evaluation should cover these disciplines: systems architecture, design, manufacturing, integration and support, configuration control, documentation, test and evaluation.

A3.27.1.2.3 The evaluation 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.

A3.27.1.2.4 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.

**A3.27.1.3 Software Engineering.** Assess the contractor's success in meeting contract/order requirements for all applicable software engineering based activities and processes.

A3.27.1.3.1 Software engineering activities include, as appropriate, software development (design, code, and unit test); application of reuse, COTS, and other non-developmental software components; integration (including software component integration, system integration and test, and acceptance test support); and sustainment. Software processes include, for example: software size, effort, and schedule estimation; requirements analysis, development, and management; software configuration management; software risk identification and management; metrics collection and analysis, technical reviews, decision analysis, and software quality assurance and control, each as they specifically address software engineering activities.

A3.27.1.3.2 Consider the contractor's success with respect to:

- Planning a software development, integration, and testing effort that includes compatible cost, schedule, and performance baselines
- Delivering expected software driven capabilities on cost and on schedule
- Effective software metrics collection/analysis and status monitoring/reporting that provide the software visibility necessary to identify timely corrective actions and appropriately execute them
- Staffing with the software knowledge, skills, and abilities needed to execute the contract/order across the lifecycle; timely assignment of the appropriate numbers of software staff
- Awareness and control of software size and stability to enable tracking and allowing growth according to vetted enhancements vice scope creep
- Effective testing and integration of developed software within the larger system test and evaluation effort
- Effective processes to acquire, integrate, and test commercial and/or government off-the-shelf (COTS/GOTS) software and to achieve planned software reuse
- Achieving software assurance
- Consistent application of documented software engineering and management processes, including technical reviews, in alignment with contract/order requirements

**A3.27.1.4 Logistics Support.** 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; design interface; the contractor's performance of logistics support analysis activities and the contractor's ability to successfully support fielded equipment. When the contract/order requires technical and/or engineering data deliverables, the cognizant cataloging and/or standardization activity comments should be solicited.

**A3.27.1.5 Product Assurance.** Assess how successfully the contractor meets program quality objectives; e.g., productibility, reliability, maintainability, inspectability,

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

**A3.27.1.6 Other Technical Performance.** Assess all the other technical activity critical to successful contract/order performance. Identify any additional evaluation aspects that are unique to the contract/order or that cannot be captured in another sub-element.

**A3.27.2 For Non-Systems** contracts/orders, consider the following aspects of contractor performance:

**A3.27.2.1** Assess the contractor's conformance to contract/order requirements, specifications and standards of good workmanship (e.g., commonly accepted technical, professional, environmental, or safety and health standards). Include, as applicable, information on the following:

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

**A3.27.2.2 For Operations Support:** Assess how successfully the contractor meets program/project quality objectives such as producibility, reliability, maintainability and inspectability. The AO 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 status.

**A3.27.3 For Architect-Engineer** contracts/orders, consider the following aspects of contractor performance:

**A3.27.3.1** Quality reflects the contractor's management of the quality control program, as well as the quality of the work itself. Questions which should be addressed are as follows: Has a quality product been provided? Specifically describe the quality and the contractor's quality control system responsible for it, for example:

- Ability to maintain quality control
- Ability to address and review comments
- Independent Technical Review

- Whether plans are coordinated with specifications
- Coordination between disciplines
- Compliance with design criteria

To support the assigned rating, the Assessing Official Comments should contain sufficient comments, based on supporting documentation and include success and failures as well as specific corrective actions as appropriate.

**A3.27.4 For Construction** contracts/orders, consider the following aspects of contractor performance:

A3.27.4.1 Quality reflects the contractor's management of the quality control program, as well as the quality of the work itself. Questions which should be addressed are as follows: Has a quality product been provided? Specifically describe contractor's quality control system responsible for it, for example:

- Ability to maintain quality control
- Performance of accessory testing
- Implementation of 3-phase inspection process
- CQC (Contractor Quality Control) documentation
- Identification and correction of deficient work
- Reviews of materials and shop drawings
- Whether there was incorporation of unspecified materials

To support the assigned rating, the Assessing Official Comments should contain sufficient comments, based on supporting documentation and include success and failures as well as specific corrective actions, as appropriate.

#### **A3.28 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 affect the schedule variance).

This evaluation of the contractor's adherence to the required delivery schedule should include the contractor's efforts during the evaluation period that contribute to or affect the schedule variance. Also, address significance of scheduled events (e.g., design reviews), discuss causes, and assess the effectiveness of contractor corrective actions. This element applies to contract/order closeout activities as well as contract/order performance. Instances of adverse actions such as the evaluation 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/order schedule and should, therefore, be noted in the evaluation.

Questions to consider include the following:

- Is the contractor completing the design/engineering services activities in a timely manner? This includes administrative activities, as well as meeting all scheduled milestones in the design process.
- Did the contractor adequately schedule the work?
- Has the contractor met administrative milestone dates?
- Has the contractor met physical milestone dates specified by contract or agreed to in the project schedule?
- If the schedule has slipped through the contractor's fault or negligence, has he

- taken appropriate corrective action of his own volition?
- Has the contractor furnished all required deliverables on or ahead of schedule?
- Is the contractor completing the construction activities in a timely manner? This includes administrative activities, as well as physical construction activities such as submittal of a management response to Request for Proposal (RFPs), etc.
- Has the contract furnished updated project schedules on a timely basis?

#### **A3.29 Cost Control. (Not required for Fixed Price type contracts/orders).**

Assess the contractor's effectiveness in forecasting, managing, and controlling contract/order cost. If the contractor is experiencing cost growth or underrun, discuss the causes and contractor-proposed solutions for the cost overruns or underruns. For contracts/orders 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. Include, as applicable, the following information:

- 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?
- Has the contractor provided a design that can be constructed with the available funds?
- Has the contractor notified the Government and taken necessary corrective actions when the cost estimate exceeds available funds?

Evaluation information regarding performance under an Undefined Contract Action (UCA), including letter contracts and actions where price has not yet been negotiated, shall be included in the annual evaluation. If the final negotiated contract/order type is not a cost-type, cost information for the period the UCA was in effect shall be included under the Cost Control element. If the final negotiated contract/order type is a cost-type, cost information for the entire period of performance shall be included under the Cost Control rating element. The narrative shall fully explain the contractor's performance during the UCA, including definitization of the contract/order. The contractor's performance under the UCA shall be separately identified but considered in the overall annual ratings.

#### **A3.30 Management.**

Assess the integration and coordination of all activity needed to execute the contract/order, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor's history of reasonable and cooperative behavior (to include timely identification of issues in controversy), customer satisfaction, timely award and management of subcontracts. Include, as applicable, information on the following:

- Is the contractor oriented toward the customer?
- Is interaction between the contractor and the government satisfactory or does it



need improvement?

- Include the adequacy of the contractor's accounting, billing, and estimating systems and the contractor's management of Government Furnished Property (GFP) if a substantial amount of GFP has been provided to the contractor under the contract/order.
- Address the timeliness of awards to subcontractors and management of subcontractors, including subcontract costs. 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.
- Assess the prime contractor's effort devoted to managing subcontracts and whether subcontractors were an integral part of the contractor's team. Are the contractor's management, on-site, and home office personnel exhibiting the capacity to adequately plan, schedule, resource, organize and otherwise manage the work? If not, describe and relate to other rated elements.

Consider the following aspects of performance:

**A3.30.1 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 UCAs), the contractor's history of reasonable and cooperative behavior, effective business relations, and customer satisfaction. Consider the contractor's responsiveness to the program as it relates to meeting contract/order requirements during the period covered by the report.

**A3.30.2 Subcontract Management.** Assess the contractor's success with timely award and management of subcontracts.

- 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.
- Consider efforts taken to ensure prompt subcontractor payment.
- Assess the prime contractor's managing of subcontractors to ensure compliance with labor and safety standards at the subcontract level.
- If the contract is set aside for small business, assess the contractor's compliance with any limitations on subcontracting.

**A3.30.3 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/order; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by contract/order; 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/order, or that cannot be captured elsewhere under the Management element.

**A3.30.3.1** 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/order 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/order.

**A3.30.4 Management of Key Personnel (Applicable when the contract/order contains a Key Personnel clause).** 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/order, 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/order schedule?

### **A3.31 Small Business Subcontracting.**

FAR Subpart 19.7 and 15 U.S.C. 637 contains statutory requirements for complying with the Small Business Subcontracting Program. Assess whether the contractor provided maximum practicable opportunity for Small Business (including Alaska Native Corporations (ANCs) and Indian Tribes) (including Small Disadvantaged Businesses (which also includes ANCs and Indian Tribes), Women Owned Small Businesses, HUBZone, Veteran Owned, Service Disabled Veteran Owned Small Business, and ANCs and Indian Tribes that are not Small Disadvantaged Businesses or Small Businesses) to participate in contract/order performance consistent with efficient performance of the contract/order.

**A3.31.1** Assess compliance with all terms and conditions in the contract/order relating to Small Business participation (including FAR 52.219-8, Utilization of Small Businesses and FAR 52.219-9, Small Business Subcontracting Plan (when required)). Assess any small business participation goals which are stated separately in the contract/order. Assess achievement on each individual goal stated within the contract/order or subcontracting plan including good faith effort if the goal was not achieved.

**A3.31.2** It may be necessary to seek input from the Small Business specialist or Contracting Officer in regards to the contractor's compliance with these criteria. For DoD in cases where the contractor has a comprehensive subcontracting plan, request DCMA Comprehensive Subcontracting Plan Manager to provide input including any program specific performance information.

**A3.31.3** For contracts/orders subject to a commercial subcontracting plan, the Small Business Subcontracting factor should be rated "satisfactory" as long as an approved plan remains in place, unless liquidated damages have been assessed by the contracting officer who approved the commercial plan (see FAR 19.705-7(h)). In such case, the Small Business Subcontracting area must be rated "unsatisfactory".

A3.31.4 This area must be rated for all contracts and task orders that contain a small business subcontracting goal.

A3.31.5 Ratings will be in accordance with definitions described in FAR 42.1503(h)(4).<sup>2</sup> "Evaluation Ratings Definitions For The Small Business Evaluation Factor when 52.219-9 is used.

A3.31.6 Evaluations of the small business subcontracting are required for contracts and orders placed against basic ordering agreement (BOA), blanket purchase agreement (BPA), or GWAC/MAC if a subcontracting plan is required. Evaluations of small business subcontracting for single-agency task orders and delivery orders are required when the contracting officer determines, in accordance with FAR Subpart 42.1502(d), it is more appropriate to complete an evaluation on each task/delivery order rather than completing a consolidated evaluation for the indefinite delivery contract and each exercised option year period. Execution of any subcontracting plan may be addressed in the narrative section for the Assessing Official.

Although FAR 19.705-2(e) states a contract may have no more than one subcontracting plan, performance against small business subcontracting may be more appropriately managed through individual task orders to achieve overall contract small business subcontracting goals as indicated in preceding paragraph.

Although paragraph [2.2.3](#) requires an evaluation to be completed for each order placed against multi-agency indefinite delivery vehicle (IDV), the small business subcontracting assessment must be completed by the agency that awarded the contract unless the contract ordering instructions allow for separate small business subcontracting goals to be incorporated into each order. Multi-agency IDVs include federal Supply Schedules (FSS), Government Wide Acquisition Contracts (GWAC), and Multiple Agency Contracts (MAC).

**A3.32 Regulatory Compliance.** (e.g. failure to report in accordance with contract terms and conditions, late or nonpayment to subcontractors, trafficking violations, tax delinquency, defective cost or pricing data, terminations, suspension and debarments) Assess compliance with all terms and conditions in the contract/order relating to applicable regulations and codes, using the Evaluation Ratings Definitions in FAR Part 42.1503(h)(4) Table 42-1. Consider aspects of performance such as compliance with financial, environmental (example: Clean Air Act, Clean Water Act), safety, and labor regulations as well as any other reporting requirements in the contract terms and conditions.

Consider questions such as the following:

- Has the contractor complied with all contract clause requirements?
- Has the contractor complied with the reporting requirements of the contract?
- Has the contractor complied with the quality assurance surveillance plan?
- Has the contractor complied with specifications or other contractual requirements in the contract such as FAPIIS reporting, CAS reporting, safety requirements, environmental reporting, and standard and unique contract requirements specific to that contract?

**A3.33 Other Areas.** Specify additional evaluation areas that are unique to the contract/order, or that cannot be captured elsewhere in the evaluation. More than one

type of entry may be included, but should be separately labeled. If extra space is needed, use the Assessing Official Comments area.

A3.33.1 If the contract/order contains an award fee clause, enter "award fee" as one of the "Other Areas". The AO should translate the award fee earned to adjectival ratings which could prove more useful for using past performance to assess future performance risk in upcoming source selections. If award fee information is included, use the Assessing Official Comments area to provide a description for each award fee. Include the scope of the award fee by describing the extent to which it covers the total range of contract/order performance activities, or is restricted to certain elements of the contract/order.

A3.33.2 If any other type of contract/order incentive is included in the contract/order (excluding DoD contract/order share line incentives on fixed price or cost-type contracts/orders), it should be reported in a manner similar to the procedures described above for award fee (by entering "Incentive" as one of the "Other Areas").

A3.33.3 Use "Other Areas" in those instances where an aspect of the contractor's performance does not fit into any of the other blocks on the form. As an example, this block may be used to address security issues, provide an evaluation of provisioning line items or other areas as appropriate.

**A3.34 Assessing Official Comments** ([see Paragraph 1.4](#)). A factual, detailed narrative is required for all evaluations regardless of rating (e.g., even "satisfactory" ratings require narrative support). A supporting narrative is required for each factor used. Cross-reference the comments in the Assessing Official Narrative to their corresponding evaluation area. Each detailed narrative statement in support of the area evaluation must contain clear and concise objective information that accurately reflects the contractor's performance under the contract or order. It is also important for the information reported to include current, accurate, and complete statements about the contractor's performance because this information will be used to assist, inform, and influence future source selection and award decisions. An exceptional cost performance evaluation could, for example, cite the current underrun dollar value and estimate at completion. A marginal evaluation 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 AO for the evaluation may include operational test and evaluation results; technical interchange meetings; production readiness reviews; earned contract/order incentives; award fee evaluations; customer/field surveys; or evaluation of contractor reports. The Contracting Officer should be contacted to ensure that all applicable data has been incorporated. The Assessing Official Comments may be up to 24,000 characters per evaluation area.  
Source: CPARS data entry

A3.34.1 The AO must select the applicable choice to the following statement after the Assessing Official Comments: "Given what I know today about the contractor's ability to perform in accordance with this contract or order's most significant requirements, I ('would' or 'would not') recommend them for similar requirements in the future."

**A3.35 Name and Title of Assessing Official.** The AO enters his or her name, title, and organization, phone number (in the following format: (XXX)XXX-XXXX), and email address, and signs the evaluation prior to making it available to the contractor for review.

The date of AO signature will be populated automatically. Source: CPARS data entry

**A3.36 Contractor Comments.** Completed at the option of the contractor. The contractor's narrative comments may be up to 24,000 characters per evaluation area. If the contractor chooses to enter comments, they must also indicate if they concur or do not concur with the government's evaluation. Source: CPARS data entry

**A3.37 Name and Title of Contractor Representative.** The contractor representative reviewing/commenting on the evaluation will enter his or her name, title, phone number, and email address, and signs the evaluation prior to returning it to the AO. The date of contractor signature will be populated automatically. Source: CPARS data entry

**A3.38 Review by Reviewing Official.** The RO must acknowledge consideration of any significant discrepancies between the AO evaluation and the contractor's comments. The RO's narrative comments may be up to 24,000 characters. Source: CPARS data entry

**A3.39 Name and Title of Reviewing Official.** The RO will enter his or her name, title, organization, phone number (in the following format: (XXX)XXX-XXXX), and email address, when completing the CPAR. (See [Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official" for guidance as to who may act as the RO.) The date of RO signature will be populated automatically. Source: CPARS data entry

## List of Acronyms

### - A -

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AFP	Alternate Focal Point
AIS	Automated Information System
ANCs	Alaska Native Corporations
ANSI	American National Standards Institute
AO	Assessing Official
AOR	Assessing Official Representative

### - B -

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BAC	Budget at Completion
BOA	Basic Ordering Agreement
BPA	Blanket Purchase Agreement

### - C -

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C4I	Command, Control, Communication, Computer and Intelligence
CAR	Contract Action Report
CCC	Canadian Commercial Corporation
CDR	Critical Design Review
CFR	Code of Federal Regulations
CO	Contracting Officer
COR	Contracting Officer Representative
COTS	Commercial Off The Shelf
CPR	Cost Performance Report
CPS	Contractor Performance System
CQC	Contractor Quality Control
CR	Contractor Representative
C/SSR	Cost/Schedule Status Report
CTA	Contractor Team Arrangement

### - D -

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DCMA	Defense Contract Management Agency
DoD	Department of Defense
DUNS	Dun & Bradstreet Universal Numbering System

### - E -

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EAC	Estimate At Completion
ECP	Engineering Change Proposal
EIA	Electronic Industries Alliance
EO	Executive Order
EPEAT	Electronic Product Environmental Assessment Tool
EPP	Environmentally Preferable Products
EVMS	Earned Value Management System

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**- F -**

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FAPIIS	Federal Awardee Procurement and Integrity Information System
FAR	Federal Acquisition Regulation
FCA	Functional Configuration Audit
FEMP	Federal Energy Management Program
FOIA	Freedom of Information Act
FP	Focal Point
FPDS	Federal Procurement Data System
FPDS-NG	Federal Procurement Data System – Next Generation
FSS	Federal Supply Schedule
FY	Fiscal Year

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**- G -**

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GAO	Government Accountability Office
GFP	Government Furnished Property
GOTS	Government Off The Shelf
GPS	Global Positioning System
GSA	General Services Administration
GWAC	Government Wide Acquisition Contract

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**- H -**

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HUBZone	Historically Underutilized Business Zone
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**- I -**

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IAE	Integrated Award Environment
IDIQ	Indefinite-Delivery-Indefinite-Quantity
IDV	Indefinite-Delivery Vehicle
ISR	Individual Subcontracting Report

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**- M -**

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MAC	Multi-Agency Contract
M-ATV	Marine All-Terrain Vehicle
MRAP	Mine Resistant Ambush Protected
MTS	Multi-band Threat Simulator

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**- N -**

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N/A	Not Applicable
NAICS	North American Industrial Classification System

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**- O -**

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OFPP	Office of Federal Procurement Policy
OMB	Office of Management and Budget
OTB	Over Target Baselin

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**- P -**

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PGM	Precision Guided Munitions
PKI	Public Key Infrastructure
PM	Program Manager
POC	Point of Contact
PPI	Past Performance Information
PSC	Product or Service Code
PWS	Performance Work Statement

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**- R -**

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RC	Report Card
RCRA	Resource Conservation and Recovery Act
RE	Resident Engineer
RO	Reviewing Official
RSA	Randolph-Sheppard Act

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**- S -**

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S&T	Science and Technology
SAP	Special Access Program
SAT	Simplified Acquisition Threshold
SB	Small Business
SDB	Small Disadvantaged Businesses
SDVOSB	Service Disabled Veteran-Owned Small Business
SLA	State Licensing Agency
SOW	Statement of Work
SR	Statistical Reporting
SRE	Senior Resident Engineer
SSR	Summary Subcontracting Report

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**- U -**

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UCA	Undefinitized Contract Action
US	United States
USC	United States Code

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**- V -**

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VA	Veteran's Affairs
VAC	Variance at Completion
VOSB	Veteran-Owned Small Business

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**- W -**

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WOSB	Women-Owned Small Business
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