

CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS)

DEPARTMENT OF THE NAVY



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INTRODUCTION

The Federal Acquisition Regulation (FAR) requires that Past Performance Information (PPI) be collected (FAR Part 42) and used in source selection evaluations (FAR Part 15). The CPARS process establishes procedures for the collection and use of PPI for the business sector contracts listed in Table 1. CPARS-generated PPI is one of many tools used to communicate Contractor strengths and weaknesses to Source Selection Officials and Contracting Officers. The use of an automated CPARS collection tool, <http://cpars.navy.mil>, is aimed at reducing reliance on paper, improving the business process, and being more efficient. This is one of several initiatives the DoN has deployed to meet DoD's paperless contracting mandates. DoN is utilizing the CPARS Automated Information System (AIS) to collect PPI and pass it to the Federal Past Performance Information Retrieval System (PPIRS) where PPI will be available to be retrieved by all the Services.

All CPARS information is treated as "For Official Use Only/Source Selection Information" in accordance with FAR 3.104 and the DoD Guide to Collection and Use of Past Performance Information. A CPAR has the unique characteristic of always being predecisional in nature. CPARS will always be source selection information because they will be in constant use to support ongoing source selections. Primary distribution of CPARS among activities will be made through use of the Federal PPIRS at <http://www.ppirs.gov> and transfer of CPARS from one activity CPAR Focal Point to another will be the secondary method. Access to the CPARS AIS and other PPI will be restricted to those individuals with an official need to know.

The guide has been revised to:

- Define "Assessing Official." (Note 2)
- Provide further guidance as to the requirements for a Reviewing Official signature when any disagreement exists between the Assessing Official and Contractor on the assessment or the Contractor does not respond to the assessment. (Para 1.4)
- Authorize use of CPARS for contracts below the thresholds at the requiring activity's option. (Para 2.2)
- Provide further guidance for CPARS preparation for Basic Ordering Agreements (BOAs), Indefinite Delivery Indefinite Quantity (IDIQ) contracts, Blanket Purchase Agreements (BPAs), and other agency contracts and calls. (Para 2.3)
- Include a statement that classified and Special Access Programs (SAPs) are not exempt from CPARS requirements, however, CPARS for SAPs will not be entered in the CPARS AIS. (Para 2.5)
- Clarify guidance regarding contract thresholds for CPARS collection as greater than, but not equal to, the amounts specified in Table 1. (Table 1)

- Clarify Requiring Activity and Contracting Activity responsibilities. (Para 3, 4)
- Include North American Industrial Classification System (NAICS) Codes as a data element to be collected when registering a contract and remove all references to Standard Industry Classification (SIC) codes. (Appendices)
- Add guidance to be provided to the Contractor previously included in transmittal letters. (Para 4.5)
- Clarify the initial period of performance should not cover less than six months actual performance. In the case of delayed starts or protests, the initial period of performance may cover more than twelve months of time since contract award, but no more than twelve months of actual contract performance. (Para 6.1)
- Add Informational Reports as a separate category from Out of Cycle Reports for use prior to an Assessing Official departing or the contract being transferred to another organizational element within the contracting activity. (Para 6.3)
- Address the role of support contractors in data entry. (Para 7.2.3)
- Modify the method of estimating the percentage complete for Block 10 – Contract Percent Complete/Delivery Order Status for IDIQ contracts. (Para A2.11)
- Provide a better definition for Awarded Value. (Para A2.12, A3.11, A4.11)
- Provide a better definition for Current Contract Dollar Value. (Para A2.13, A3.12, A4.12)
- Provide better guidance for identifying contract type in “mixed” and “other” contracts. (Para A2.15, A3.14, A4.14)
- Standardize the guidance for “award fee” as an evaluation area in Block 18. (Para A2.24.1, A3.23.1, A4.24.1)
- Revise CPAR Forms to include email address, FAX number, and DUNS +4 number, which are all specified in the DoD Guide To Collection And Use Of Past Performance Information. (Attachments 2, 3, 4)

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CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS)

This document sets policy, assigns responsibilities, and provides procedures for systematically assessing contractor performance. Collecting past performance information applicable to these contract efforts is referred to as the Contractor Performance Assessment Reporting System (CPARS). The form for assessing (i.e., documenting) Contractor past performance is referred to as a Contractor Performance Assessment Report (CPAR). All CPAR information must be marked “For Official Use Only/Source Selection Information” in accordance with FAR 3.104 and the DoD Guide to Collection and Use of Past Performance Information.

SECTION A - POLICY

1. Purpose

- 1.1 The primary purpose of CPARS is to provide data on Contractor performance that is current and available for use in source selections. Performance assessments are used as an aid in awarding contracts and/or task/job/delivery orders to Contractors that consistently provide quality, on-time products and services that conform to contractual requirements. CPARS can effectively communicate Contractor strengths and weaknesses to Source Selection Officials. Senior DoN and Contractor Officials may also use information derived from the CPARS Automated Information System (AIS) for other management purposes consistent with DoD guidance and policy. CPAR past performance information (PPI) may be used to support source selection procurement determinations; determinations to exercise options; and determinations to terminate contracts. Individual CPARS will not be used for any purposes other than as stated in this paragraph; however, summary data may be used as outlined in paragraph 1.5.
- 1.2 The CPAR assesses a Contractor’s performance and provides a record, both positive and negative, on a given contract during a specific period of time. Each assessment *must be based on objective data* (or measurable subjective data when objective data is not available) and be supportable by program¹ and contract management data, such as cost performance reports, customer comments, quality reviews, technical interchange meetings, financial solvency assessments, production management reviews, contractor operations reviews, functional performance evaluations, certificates of service, earned contract incentives, etc. Subjective assessments concerning the cause or ramifications of the Contractor’s performance may be provided; however, speculation or conjecture shall not be included. The attachments to this document contain the specific areas to be evaluated for the identified business sectors.

¹ Throughout this document, whenever “program” is used, it means the program, project, or task/job/delivery order for which the procurement was made.

- 1.3 The value of a CPAR to a future Source Selection Team is directly linked to the care the Assessing Official² takes in preparing a quality narrative to accompany the CPAR ratings. It is of the utmost importance that the Assessing Official make a dedicated effort to thoroughly describe the circumstances surrounding a rating.
- 1.4 The CPARS process is designed with a series of checks and balances to facilitate the objective and consistent evaluation of Contractor performance. Both Government and Contractor program management perspectives are captured on the CPAR form and together make a complete CPAR. To ensure consistency with other evaluations throughout the activity as well as other program assessments, a Reviewing Official³ must review and sign the assessment when there are any disagreements between the Assessing Official and the Contractor, when the Contractor has indicated “I do not concur with this assessment and request that it be reevaluated” (see paragraph 7.5.4), or when the Contractor fails to respond to the assessment. While the Reviewing Official may not change the Assessing Official’s remarks, he or she may add comments and sign the CPAR. At this point the CPAR is considered completed.
- 1.5 While the CPAR will not be used for any other purpose than stated in paragraph 1.1, summary data from the CPARS database or from the reports themselves may be used to measure the status of industry performance, and support continuous process improvement, provided that the data used do not reveal individual contract or Contractor performance in any form.

2. Applicability and Scope

- 2.1 The provisions of this guide apply to all DoN organizations.
- 2.2 **CONTRACTS:** PPI must be collected on contracts meeting the “Business Sector” definitions in Attachment 1. A CPAR must be completed on every business sector contract meeting the thresholds in Table 1. At the requiring activity’s option, a CPAR may be prepared for those contracts less than the threshold established in Table 1. The nature of the effort performed by the Contractor will determine which CPAR form is required. If a given contract contains a mixture of types of efforts, the acquisition activity will determine which business sector is appropriate based upon the preponderance of the contract dollar value. The DD Form 350 (on file in the contracting office) will be consulted in determining the type of CPAR required.
- 2.3 **CPAR FOR TASK/DELIVERY/CALL ORDER CONTRACTS AND AGREEMENTS**
 - 2.3.1 For single activity use IDIQ contracts, when multiple orders are placed against a single contract, the requiring activity may prepare a CPAR for each individual order which exceeds the threshold established in Table 1; may group together several orders for similar products or services in one CPAR assessment; or may complete a consolidated CPAR for the contract. At a minimum, if the total potential value of the contract (including unexercised options and maximum ordering amounts) exceeds the threshold, a CPAR will be completed for the consolidated contract effort, even if none of the individual orders alone exceed the threshold.

²Throughout this document, whenever “Assessing Official” is used, it means the program manager or *equivalent individual* responsible for the execution of the program, project, or task/job/delivery order. It may also mean the performance evaluator, quality assurance evaluator, requirements indicator or Contracting Officer Representative.

³ Throughout this document, whenever “Reviewing Official” is used, it means a senior level manager who is at least one level above the Assessing Official as determined by the respective SYSCOM/PEO/PM procedures.

- 2.3.2 For multiple activity use IDIQ contracts, it is the responsibility of the requiring activity to complete a CPAR for those orders it places against the IDIQ contract, since the requiring activity is in the best position to evaluate contractor performance. The requiring activity may complete a CPAR for each individual order which exceeds the threshold established in Table 1; may group together several orders for similar products or services in one CPAR assessment; or may complete a consolidated CPAR for all of the requiring activity's orders under the contract. At a minimum, if the total potential value of the contract (including unexercised options and maximum ordering amounts) exceeds the threshold, a CPAR will be completed for the consolidated contract effort, even if none of the individual orders alone exceed the threshold. In rare instances, the Contracting Officer may serve as the CPAR Assessing Official for multiple activity use contracts (see paragraph 3.1.2).
- 2.3.3 For Other Agency Contracts including General Services Administration (GSA) Contracts and the Federal Supply Schedule, it is the responsibility of the requiring activity to complete a CPAR for orders it places under these contracts/schedules, since the requiring activity is in the best position to evaluate Contractor performance. In the absence of other agency guidance, for those orders awarded off an Other Agency contract, a separate CPAR may be written for each individual order that exceeds the thresholds established in Table 1, or a consolidated CPAR may be written for similar orders.
- 2.3.4 For BPAs and BOAs, it is the responsibility of the requiring activity to complete a CPAR for calls/orders it places against these agreements, since the requiring activity is in the best position to evaluate Contractor performance. The requiring activity may complete a separate CPAR for each call/order that exceeds the threshold established in Table 1; may group together several calls/orders for similar products or services in one CPAR assessment; or may complete a consolidated CPAR for all of the requiring activity's calls/orders under the agreement. At a minimum, if the total of all calls/orders placed against the BPA or BOA exceeds the threshold, a CPAR will be completed for the consolidated effort under the agreement, even if none of the individual calls/orders alone exceed the threshold.
- 2.4 JOINT VENTURES: CPARs will also be prepared on contracts for joint ventures. When the joint venture has a unique Contractor and Government Entity (CAGE) code, a single CPAR will be prepared for the joint venture using that CAGE code. If the joint venture does not have a unique CAGE code, separate CPARs, containing identical narrative, will be prepared for each participating Contractor and will reference the fact that the evaluation is based on performance under a joint venture.
- 2.5 CLASSIFIED AND SPECIAL ACCESS PROGRAMS (SAPs) are not exempt from CPARs requirements. CPARs on classified contracts will be processed in accordance with program security requirements. Copies of classified CPARs will be maintained and distributed in accordance with agency procedures. Classified CPARs will not be entered into the CPARS AIS.
- 2.6 SMALL BUSINESS: CPARs will be accomplished on the applicable first tier subcontractor on contracts awarded to the Small Business Administration under the 8(a) program. If the activity is operating under the Direct 8(a) Awards Memorandum of Understanding between the DoD and the SBA, the CPARs will be prepared on the 8(a) Contractor.
- 2.7 CPARS has been identified as a DoN paperless acquisition initiative. A DoN-wide CPARS AIS has been established for automated processing of CPARs using a web-based application.

The use of the CPARS AIS is mandatory as it ensures that CPARs will be entered into the Federal PPIRS database to provide a centralized data repository of past performance information. The web site is located at <http://cpars.navy.mil>. The application has been developed to support the detailed processing procedures in Attachments 2 through 4 with enhancements such as look-up tables for CAGE codes, Federal Supply Classification (FSC) codes, and North American Industrial Classification System (NAICS) codes, and e-mail notification of in-process CPARs to required action points.

- 2.8 CPARs will be entered into the CPARS database for contracts using Research and Development Funds for projects funded by 6.4 accounts, or similarly oriented appropriations. Projects funded by program budget accounts 6.1, 6.2, and 6.3 are exempt from entry in the CPARS AIS.

<u>BUSINESS SECTOR</u>	<u>DOLLAR THRESHOLD¹</u>	<u>REVIEWING OFFICIAL²</u>
Systems (includes new development and major modifications)	>\$5,000,000	One level above the Program Manager. ³
Ship Repair and Overhaul	>\$500,000	One level above the Assessing Official.
Services	>\$1,000,000	One level above the Assessing Official.
Health Care	>\$100,000	One level above the Assessing Official
Operations Support	>\$5,000,000 ⁴	One level above the Assessing Official.
Fuels	>\$100,000	One level above the Assessing Official
Information Technology	>\$1,000,000	One level above the Assessing Official

¹ The contract thresholds for CPAR collection (See FAR 42.1502) apply to the “aggregate” face value of contracts; that is, if a contract’s original face value was less than the applicable threshold, but subsequently the contract was modified and the “new” face value is greater than the threshold, then a performance assessment (or assessments) is required to be made, starting with the first anniversary that the contract’s face value exceeded the threshold. If the total contract 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. The word contract as used in this document includes Blanket Purchase Agreements (BPAs) issued under FAR 8.4 and task/job/delivery orders.

² Only required if there is any disagreement between the Assessing Official and the Contractor on the assessment, if the Contractor has indicated, “I do not concur with this assessment and request that it be reevaluated,” or if the Contractor has failed to respond to the assessment.

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

⁴ For contracts less than or equal to the \$5,000,000 threshold, buying activities should continue to accumulate Contractor performance data from existing management information systems that already capture data on timeliness of delivery and quality of product or service. (Examples of such performance information collection systems include “Red/Yellow/Green” and “Automated Best Value System.”)

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

SECTION B - RESPONSIBILITIES

3. Responsibilities: Requiring Activities.

3.1 Commanders of the Systems Commands (SYSCOMs), Heads of Contracting Activities (HCAs), Program Executive Officers (PEOs), Direct Reporting Program Managers (DRPMs), the Chief of Naval Operations and the Commandant of the Marine Corps are responsible for overseeing the implementation of this document.

3.1.1 Assessing Officials and Reviewing Officials will normally be designated from within the command/activity/office which identifies the requirement and is in the best position to evaluate Contractor performance.

3.1.2 In rare occasions, such as under multiple activity IDIQ contracts, the Contracting Officer may be designated as the Assessing Official and the Head of the Contracting Office as the Reviewing Official. The requiring activity/command/office is responsible for providing Assessing Officials and Reviewing Officials all input necessary for completing CPAR.

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

4.1 Establish procedures to implement CPARS. These procedures will include training requirements for Focal Points, Assessing Officials, Reviewing Officials, and Contractors, to ensure procedure for monitoring the timely completion of reports, report integrity (i.e., quality of reports), and overall CPAR system consistency are in place. Compliance with submittal requirements by Dollar Value Threshold and Business Sector should be monitored by comparison of contract award history information maintained by other computer systems, (i.e. Standard Procurement System (SPS) or Procurement Management Reporting System (PMRS)) with CPARs actually submitted.

4.1.1 Register all new contracts meeting the thresholds identified in Table 1 in the CPARS AIS within 30 days after contract award with the information for blocks 1-17 of the CPAR form. Registering the contract will establish the record and facilitate subsequent CPARS reporting.

4.1.2 Notify the Assessing Official and Reviewing Official that the contract has been registered in the CPARS AIS.

4.2 Establish a CPAR Focal Point. The activity Focal Point is responsible for the collection, distribution, and control of CPARS. The Focal Point will be designated by completing a Focal Point Access Request Form located at the CPARS AIS web site and obtaining approval from appropriate authority per agency guidance. This CPAR Focal Point will assist the Assessing Official in implementing CPARS by providing training and other administrative assistance to ensure that reports are timely and in compliance with this instruction.

4.3 Facilitate timely completion of reports by Assessing Officials. The Assessing Official is responsible for evaluating Contractor performance. The Assessing Official has overall responsibility for execution and achievement of program goals.

4.4 Facilitate timely review of CPARs by a Reviewing Official whenever there is any disagreement between the Assessing Official and Contractor concerning proposed CPAR ratings or when the Contractor fails to respond to the assessment. This review is required whenever the Contractor

indicates, “I do not concur with this assessment and request that it be reevaluated .” The Reviewing Official provides the check-and-balance needed to ensure report integrity, especially when there is any disagreement between the Assessing Official and the Contractor (see paragraph 7.5.4).

4.5 Provide the following guidance to the Contractor:

4.5.1 Protect the CPAR as “For Official Use Only/Source Selection Information - See FAR 3.104.” After review of hard copy CPARs (see paragraph 7.5.1), transmit the CPAR back to the originating office marked and handled as “source selection information.” Request return of the CPAR by certified mail or some other controlled method.

4.5.2 Develop policies and procedures to control access to CPARs.

4.5.3 Prohibit use of or reference to CPAR data for advertising, promotional material, pre-award surveys, production readiness reviews, or other similar purposes.

4.5.4 Advise the Contractor that comments are optional but are due to the originating office within 30 calendar days after receipt. The Contractor may provide comments in response to the assessment, or sign and return the assessment without comment. If the Contractor elects not to provide comments, he or she should acknowledge receipt of the CPAR electronically or by signing/dating Block 23 of the hard copy form and return the CPAR to the originating office. Comments should be focused on the Assessing Official’s narrative and provide views on causes and ramifications of the assessed performance. Contractor comments are subject to the same limitations set out in paragraph 7.3.

4.5.5 Advise that if the Contractor desires a meeting to discuss the CPAR, it must be requested, in writing, no later than seven calendar days from the receipt of the CPAR. This meeting will be held during the Contractor’s 30-day review period. Assessing Officials are encouraged to foster communication between the Government and Contractor about their CPAR evaluations during the entire process.

4.5.6 Advise that a copy of the completed CPAR is available to the Contractor via the CPARS AIS.

SECTION C - CPAR PROCEDURES

5. CPARS Automated Information System (AIS)

5.1 Automation of collection and retrieval of PPI is critical towards reducing the impact on limited resources and for sharing PPI across the Federal Government. The CPARS AIS is a paperless environment. The CPARS AIS has connectivity with the Federal PPIRS warehouse (<http://www.ppirs.gov>) so that PPI can be shared across the Federal Government. With the CPARS AIS, CPARs are prepared, submitted, and retrieved on an on-line, password protected, secure web site located at <http://cpars.navy.mil>. CPARS is a web-enabled application that collects and manages the CPARs database. A network of CPARS Focal Points controls CPARS application access. The Focal Points provide access to authorized individuals, including Assessing Officials, Contractors, and Government Reviewing Officials to prepare automated CPAR forms and view completed forms.

5.2 The CPARS web site contains the following features:

- 5.2.1 The "production" CPAR system.
- 5.2.2 The "practice" CPAR system. The practice system is a mirror image of the functionality of the production system using a separate database of simulated CPAR records. The practice system allows users to gain familiarity with the mechanics of the AIS without actually entering live evaluation data.
- 5.2.3 A "Systems Requirements" page that describes hardware and software required, security access levels, security features, and how to obtain a user account and technical service support.
- 5.2.4 "Reference Material" including the DoD PPI Guide, DoN CPARS Guide, CPARS Procedures Manual as well as DoN Senior Leadership CPARS correspondence.
- 5.2.5 A list of "Frequently Asked Questions (FAQs)" regarding CPARS AIS and DoN policy.
- 5.2.6 Link to CPARS Computer Based Training and other training material.
- 5.2.7 Access forms, including "CPARS Focal Point User Access Request Form" and "CPARS Contractor Senior Management Access Request Form".
- 5.2.8 Software Release history.
- 5.2.9 Automated metrics (updated quarterly).
- 5.2.10 A link to "Best Practices" which have been submitted by CPARS users.

5.3 CPARS AIS process

- 5.3.1 Data Entry - Full Automation (Paperless). The CPARS process follows a defined workflow in which access levels are assigned to individual participants on a contract-by-contract basis based on the portion of the workflow for which they are responsible. The CPARS AIS supports complete processing of CPARs in an on-line environment.
- 5.3.2 Data Entry - Partial Automation. The Focal Points may transcribe a CPAR from a paper form, or one completed utilizing other electronic means, by completing Blocks 1-25. This feature allows Focal Points to enter completed CPARs into the AIS database in those limited instances when a CPAR report is completed off-line (e.g., Contractor does not have access to the CPARS AIS for rating and comment development).

6. Frequency of Reporting

- 6.1 Initial Reports. An initial CPAR is required for new contracts meeting the criteria of paragraph 2 above, and which have a period of performance greater than 365 days. For contracts with a period of performance of less than or equal to 365 days, see "Final Report" (paragraph 6.5). The initial period of performance should not cover less than six months actual performance. In the case of delayed starts or protests, the initial period of performance may cover more than twelve months of time since contract award, but no more than twelve months of actual contract performance.

- 6.2 Intermediate Reports. Intermediate CPARs are required every 12 months throughout the entire period of performance of the contract. An intermediate CPAR is limited to Contractor performance occurring after the preceding normal cycle CPAR. To improve efficiency in preparing the CPAR, it is recommended that the CPAR be completed together with other reviews (e.g., award fee determinations, major program events, or program milestones). Activities may, through local procedures, establish a specific submittal date for all intermediate CPARs, provided they are completed for every 12-month evaluation period.
- 6.3 Informational Reports. Prior to an Assessing Official departing (or contract being transferred to another organizational element within the contracting activity), the Assessing Official should complete an informational CPAR if at least four months have elapsed since the last CPAR was completed. This informational form need not be processed through the Contractor and CPAR Reviewing Official; rather, it should be passed to the succeeding Assessing Official for background information for completing the next CPAR. Under no circumstances will an *informational* CPAR be finalized in the CPARS AIS.
- 6.4 Out-of-Cycle Reports
- 6.4.1 An out-of-cycle CPAR may be required when there is a significant change in performance that alters the assessment in one or more evaluation area(s). When a significant change in performance has occurred, the Contractor may request an updated (new) assessment or the Assessing Official may unilaterally determine to prepare an updated (new) evaluation and process an out-of-cycle (new) CPAR. The determination as to whether or not to update an evaluation will be made solely by the Assessing Official. An out of cycle report is not a complete evaluation of all CPAR elements, but addresses those evaluation areas that have significantly changed.
- 6.4.2 Generally, no more than two CPARs per year should be completed on a contract. Out-of-cycle CPARs do not alter the annual reporting requirement. For example, if the normal CPAR period of performance ends on 31 October and an out-of-cycle CPAR is completed which covers a performance period that ends on 1 May, the next intermediate CPAR report is still required to cover the period of performance from 1 November to 31 October of that same year. This period of performance overlap is only permitted when an out-of-cycle CPAR report has been prepared.
- 6.5 Final Report. A final CPAR will be completed upon contract completion, transfer of program management responsibility, delivery of the final major end item on contract, completion of the period of performance or termination. Final reports are to be prepared on all contracts meeting the thresholds established in Table 1 with a period of performance of less than or equal to 365 days. The final CPAR does not include cumulative information, but is limited to the period of Contractor performance occurring after the preceding CPAR.
- 6.6 Addendum Assessments. Addendum assessment reports may be prepared, after the final past performance evaluation, to record the Contractor's performance relative to contract close-out, warranty performance and other administrative requirements (e.g., final indirect cost proposals, technical data, etc.).

7. Preparing and Processing Reports

7.1 The Assessing Official responsible for overall program execution is responsible for preparing (see Attachments for instructions on preparing reports), reviewing, signing, and processing the CPAR. Normal UserID/password authorization access in the CPARS AIS and its requirement for 128-bit encryption is equivalent to signature. Whether completed by an Assessing Official or a Reviewing Official, the CPAR should be completed not later than 120 days after the end of the evaluation period.

7.2 Completion of CPAR

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

7.2.2 Supporting narrative rationales for any performance ratings assigned are mandatory to enable the user to establish that performance under a previous contract will be relevant to a future contract. The narratives are critical to any PPI assessment and necessary to establish that the ratings are credible and justifiable. These rationales need not be lengthy, but if there were performance successes or problems, they should include a description of the problems or successes experienced; an assessment of whether the problems were caused by the Contractor or the Government, or other factors; and how well the Contractor worked with the Government to resolve problems, including problems and successes with subcontractors.

7.2.3 Preparation of CPAR ratings and narrative is an inherently governmental function. Support contractors may provide CPAR data entry assistance at the Contract Data Entry Clerk level (blocks 1-17) but may not contribute to CPAR development in the form of ratings and comments.

7.3 Narrative comments for both the Assessing Official and the Contractor are limited to 16,000 characters (approximately three pages in a Word document). Narrative comments should be concise and are limited by the CPARS AIS.

7.4 Contractors will be given an opportunity to review and comment on the assessment. Since communication and feedback regarding Contractor performance are always encouraged, the Assessing Official may consider allowing a pre-assessment briefing by the Contractor to discuss the Contractor's performance during the evaluation period. These pre-assessment discussions must be structured around firm contract requirements and events that are deemed to be critical during the upcoming reporting period. Assessing Officials are encouraged to conduct face-to-face meetings with the Contractor during the evaluation process. Participation by representatives from the contracting office is strongly encouraged for all meetings.

7.5 CPAR Review and Approval Process

7.5.1 The Assessing Official should verify that the Contractor has received electronic notification of a CPAR ready for Contractor review in the CPARS AIS. Local processes may require

review by the activity CPAR Focal Point and/or Reviewing Official prior to sending the CPAR to the Contractor. Only in the case of classified CPARs will paper copies be used for evaluation. Hand delivery (with receipt) of paper copies of CPARs, in conjunction with face-to-face discussions is also authorized. Certified mail or other methods of ensuring receipt are also acceptable in keeping with handling requirements for classified information. Meetings with Contractor management to discuss CPAR ratings are recommended and may be pre-arranged by the Government or at the request of the Contractor (see paragraph 4.5.5). If hand delivery or mail is the method of transmittal, a transmittal letter must accompany the CPAR. A sample letter can be found under “Best Practices” on the CPARS web site.

- 7.5.2 The CPAR may be completed if the Contractor agrees with the assessment and so annotates in Block 22 “I agree with these ratings/narratives.” No further review of the CPAR is required. The Assessing Official may then close the CPAR in the AIS. At this point, the CPAR is considered complete.
- 7.5.3 If a disagreement exists between the Assessing Official and the Contractor as indicated by the Contractor selecting " I do not concur with this assessment and request that it be reevaluated," the Assessing Official may revise the assessment, including the narrative. The Assessing Official should notify the Contractor of any revisions made to a report as a result of the Contractor’s comments. Such a revised report will not be sent to the Contractor for further comment. The Contractor will have access to both the original and revised reports in the CPARS AIS upon completion of the report. All disagreements require a review by the Reviewing Official to complete the CPAR. In addition, a Reviewing Official is required in all cases where the Contractor fails to respond to the assessment.
- 7.5.4 The CPAR will be sent to the Reviewing Official if there is any disagreement on ratings between the Assessing Official and the Contractor, if the Assessing Official chooses to revise the assessment as a result of the Contractor’s comments, or if the Contractor fails to respond to the assessment. The Assessing Official will provide the Reviewing Official with an explanation of the decision.
- 7.6 The Reviewing Official’s (see paragraph 1.4 and Table 1) comments on the CPAR will acknowledge consideration and reconciliation, if possible, of any significant discrepancies between the Assessing Official’s evaluation and the Contractor’s comments. When the Reviewing Official signs the CPAR, it will be considered complete.
- 7.7 If the Contractor does not complete blocks 22-23 in the AIS or return the hardcopy CPAR within the allotted 30 calendar days, the Assessing Official may then finalize the CPAR. Block 22 will automatically be annotated: “The report was delivered/received by the Contractor on (date). The Contractor neither signed nor offered comment in response to this assessment.” Non-response by the Contractor necessitates a final review by the Reviewing Official to complete the CPAR.
- 7.8 To facilitate future CPAR preparation, the Assessing Official may retain CPAR copies and working papers associated with CPAR evaluations. However, all retained CPAR copies and working papers must be marked “For Official Use Only/Source Selection Information - See FAR 3.104” and handled accordingly.

8. CPAR Focal Points

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

9. CPAR Markings and Protection

- 9.1 The Assessing Official is responsible for ensuring that CPARS are appropriately marked and handled. All CPAR forms, attachments and working papers must be marked “For Official Use Only/Source Selection Information - See FAR 3.104” in accordance with service procedures. CPARS have the unique characteristic of always being predecisional in nature. They will always be source selection information because they will be in constant use to support ongoing and future source selections. This predecisional nature of CPARS is a basis for requiring that all CPAR data be protected from disclosure to unauthorized personnel.
- 9.2 CPARS may also contain information that is proprietary to the Contractor. Information contained on the CPAR, such as trade secrets, and confidential commercial or financial data obtained from the Contractor in confidence, must also be protected from unauthorized disclosure. Assessing Officials and Reviewing Officials should annotate on the CPAR if it contains material that is a trade secret, etc., to ensure that future readers in the Federal PPIRS know this. Such commercially valuable information must be protected from unauthorized disclosure. Based on the confidential nature of the CPARS, the following guidance applies to protection both internal and external to the Government.

9.2.1 Internal Government Protection

- 9.2.1.1 CPARS must be treated as source selection information at all times. Information contained in the CPAR must be protected in the same manner as information contained in completed source selection files.
- 9.2.1.2 CPAR data will not be used to support pre-award surveys, debarment proceedings or other internal Government reviews.

9.2.2 External Government Protection

- 9.2.2.1 Due to the sensitive and confidential nature of CPARS, disclosure of finalized CPAR data to Contractors other than the Contractor that is the subject of the report, or other entities outside the Government, is not authorized. A Contractor will be granted access to its CPARS maintained in the Federal PPIRS via the Marketing Partner Identification Number (MPIN) they receive when registering in the Central Contractor Registration (CCR).

9.2.2.2 On those occasions when a Freedom of Information Act (FOIA) request is received for CPAR records, the unit FOIA office must refer the request to the CPAR Focal Point for coordination. The CPARS Program Manager at the Naval Sea Logistics Center Portsmouth, NH should also be advised of such a request.

10. Use of CPARs in Source Selection. CPARs provide an assessment of the past and current performance of Contractors. Each report consists of a narrative evaluation by the Assessing Official, the Contractor's comments, if any, relative to the assessment and the Reviewing Official's acknowledged consideration and reconciliation of significant discrepancies between the Assessing Official's evaluation and the Contractor's comments. Source Selection Officials may retrieve CPARs by using the Federal PPIRS. However, CPARs are only one source of past performance information. Details on use of Contractor PPI in source selection are contained in an ASN (RDA) memorandum dated 13 March 1998. The memorandum is found on the CPARS website under "Reference Material".

11. Forms Prescribed. See Attachments or <http://cpars.navy.mil>. For contracts that contain supplies or services from more than one business sector, use the form that represents the preponderance of the dollar value of the contract requirements. (see paragraph 2.2)

12. References:

12.1 Department of Defense (DoD) Guide to Collection and Use of Past Performance Information. May 2001

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

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

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

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

12.6 ABM On-line (www.abm.rda.hq.navy.mil)

Attachments

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

ATTACHMENT 1

BUSINESS SECTORS

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

Key Business Sectors



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

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

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

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

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

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

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

Other Systems: Includes technologies and products that, when incorporated into other systems such as aircraft and ships, are often categorized as subsystems. However, many of these products are often acquired as systems in their own right, either as "stand-alone" acquisitions or as the object major modification/upgrade efforts for ships, aircraft, etc. Examples of other systems include Command, Control, Communication, Computer and Intelligence (C4I) systems, airborne and shipborne tactical computer systems, electrical power and hydraulic systems, radar and sonar systems, fire control systems, electronic warfare systems, and propulsion systems (turbine engines-aviation and maritime, diesel engine power installations - maritime and combat vehicle). Does not

include tactical voice radios with commercial equivalents, personal Global Positioning System (GPS) receivers, non-voice communication systems with commercial equivalents (See Operations Support and Information Technology sectors).



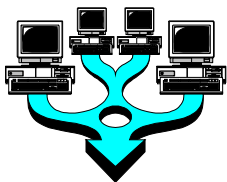
Services - Generally, this sector includes all contracted services except those which are an integral part of a systems contract or related to “Science & Technology,” “Construction & Architect--Engineering Services,” “Information Technology”, and “Health Care.” Services are further defined below:

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

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

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

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



Information Technology - This sector includes any equipment or interconnected system or subsystem of equipment, that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission or reception of data or information.

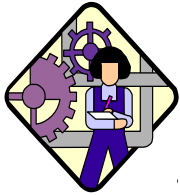
Generally, includes all computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

Does not include any military-unique C4I systems and components included under Systems, such as JTIDS, Aegis, etc. More specifically-

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

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

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



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

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

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

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

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

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

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

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

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

Unique Business Sectors (CPARS not applicable)



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

drawing reviews, preparation of operating and maintenance manual, and other related services. (Use Architect-Engineer Contract Administration Support System (ACASS) for past performance collection in accordance with FAR 36.604)

Construction: Construction, alteration, or repair (including dredging, excavating, and painting) of buildings, structures, or other real property. The terms "buildings, structures, or other real property" includes but are not limited to improvements of all types, such as bridges, dams, plants, highways, parkways, streets, subways, tunnels, sewers, mains, power lines, cemeteries, pumping stations, railways, airport facilities, terminals, docks, piers, wharves, ways, lighthouses, buoys, jetties, breakwaters, levees, canals, and channels. Construction does not include the manufacture, production, furnishing, construction, alteration, repair, processing, or assembling of vessels, aircraft, or other kinds of personal property. Design-Build: Combining design and construction in a single contract with one Contractor. (Use Construction Contractor Appraisal Support System (CCASS) for past performance collection in accordance with FAR 36.201.)



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

appropriations. (Those projects are covered by the Systems sector).

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

ATTACHMENT 2

FORM AND INSTRUCTIONS FOR COMPLETING A SYSTEMS CPAR

CONTRACTOR PERFORMANCE ASSESSMENT REPORT (CPAR)

SYSTEMS

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

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

ATTACHMENT 2

INSTRUCTIONS FOR COMPLETING A SYSTEMS CPAR FORM

A2.1 The Systems Business Sub-Sectors are: Shipbuilding, Aircraft, Space, Ordnance, Training Systems, Ground Vehicles, or Other Systems.

A2.2 **Block 1 - Name/Address of Contractor.** State the name and address of the division or subsidiary of the Contractor that is performing the contract. Identify the parent corporation (no address required). Identify the Contractor's Commercial and Government Entity (CAGE) code¹, Data Universal Numbering System DUNS+4 number², Federal Supply Classification (FSC) or Service Code³, and North American Industrial Classification System (NAICS) Code⁴.

¹ CAGE Code: Unique five character company identification number issued by the Defense Logistics Information Service (DLIS) to identify DoD Contractors. It is automatically assigned and validated in the registration process.

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

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

⁴ NAICS Code: These codes are in the NAICS Manual. If more than one code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

A2.3 **Block 2 - Type Report.** Indicate whether, in accordance with section C, paragraph 6, the CPAR is an initial, intermediate, or final report. If this is an “out-of-cycle” report, select “out-of-cycle”. If this is a report to record Contractor performance relative to contract closeout or other administrative requirements, select “Addendum”.

A2.4 **Block 3 - 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 actual performance. In the case of delayed starts or protests, the initial period of performance may cover more than twelve months of time since contract award, but no more than twelve months of actual contract performance. The period of performance should not already include reported efforts except when an out-of-cycle CPAR has been processed. CPAR assessments for "intermediate" reports should only cover a 12-month period of performance; therefore, the report should not reflect a period of performance greater than 12 months. Exceptions to this rule for special circumstances, such as a period of performance that ends one month before contract completion, must be approved by the CPAR Focal Point. The CPAR Focal Point has the authority to approve extensions when special circumstances arise.

A2.5 **Block 4a - Contract Number.** Use the contract number as identified on the contract, except in the case of BOAs, BPAs, GSA schedule and other service/agency orders. If an order is issued under a BOA, BPA, GSA schedule or other service/agency contract/agreement, the contract number in CPARS should match the master contract number. The order number field should be used to reflect the contract/schedule/agreement number for the order.

Block 4b - DoD Business Sector and Sub-Sector. Identify the DoD Systems business sector and sub-sector: Aircraft, Shipbuilding, Space, Ordnance, Ground Vehicles, Training Systems, or Other Systems.

A2.6 **Block 5 - Contracting Office (Organization and Code).** Self-explanatory.

A2.7 **Block 6 - Location of Contract Performance.** Self-explanatory.

A2.8 **Block 7a - Contracting Officer.** Self-explanatory.

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

A2.9 **Block 8a - Contract Award Date.** Self-explanatory.

Block 8b – Contract Effective Date. This is the date that contract performance begins.

A2.10 **Block 9 - Contract Completion Date.** Self-explanatory.

A2.11 **Block 10 - Contract Percent Complete/Delivery Order Status.** State the current percent of the contract that is complete. If Cost Performance Reports (CPR) or Cost/Schedule Status Reports (C/SSR) data is available, calculate percent complete by dividing cumulative Budgeted Cost of Work Performed (BCWP) by Contract Budget Base (CBB) (less management reserve) and multiplying by 100. CBB is the sum or negotiated cost plus estimated cost of authorized undefinitized work. If CPR or C/SSR data is not available, estimate percent complete by dividing the number of months elapsed by total number of months in contract period of performance and multiplying by 100. In the event an Indefinite Delivery (ID) contract is utilized, estimate the percent complete.

A2.12 **Block 11 - Awarded Value.** Enter the total value of the contract, including unexercised options. For delivery/task/job order contracts where orders will be assessed under a single CPAR, enter the maximum ordering amount under the contract, including options. For delivery/task/job order contracts where orders will be assessed on an individual basis, enter the awarded value of the individual order. For basic ordering agreements where orders will be assessed under a single CPAR, enter the combined amount of all orders covered under the assessment. For basic ordering agreements where orders will be assessed individually, enter the awarded value of the individual order.

A2.13 **Block 12 - Current Contract Dollar Value.** State the current obligated amount including modifications and options that have been exercised. For incentive contracts, state the target price or total estimated amount. For delivery/task/job order contracts where orders will be assessed under a single CPAR, state the total amount obligated on all delivery orders, including modifications. For delivery/task/job order contracts where orders will be assessed on an individual basis, state the current obligated amount of the individual order, including modifications. For basic ordering agreements where orders will be assessed under a single CPAR, state the combined obligated amount of all orders covered under the assessment, including modifications. For basic ordering agreements where orders will be assessed individually, state the current obligated amount of the individual order, including modifications.

A2.14 **Block 13 - Basis of Award.** Identify the basis of award by placing a selecting competitive or non-competitive.

A2.15 Block 14 - Contract Type. Identify the contract type. For mixed contract types, select the predominate contract type and identify the other contract type in the "mixed" block.

A2.16 Block 15 - Key Subcontractors and Description of Effort Performed. Identify subcontractors, including CAGE code and DUNS +4 number, performing either a critical aspect of the contracted effort or more than 25 percent of the dollar value of the effort. State whether the Contractor met small/small disadvantaged, women-owned, Historically Underutilized Business Zones (HUBZones), veteran-owned, and service disabled veteran-owned business participation goals.

A2.17 Block 16 - Program Title and Phase of Acquisition. Provide a short descriptive narrative of the program. Spell out all abbreviations and acronyms on the first use. Identify overall program phase and production lot (for example, concept development, engineering and manufacturing development, low-rate initial production, or full-rate production (Lot 1)). Identify milestone phases, if applicable.

A2.18 Block 17 - Contract Effort Description. This section is of critical importance to future Performance Risk Assessment Groups (PRAGs) and Source Selection Authorities. The description should be detailed enough to assist a future PRAG in determining the relevancy of this program to their source selection. Also, keep in mind that users of this information may not understand program jargon. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort. For intermediate CPARs, a brief description of key milestone events that occurred in the review period may be beneficial (e.g., Critical Design Review (CDR), Functional Configuration Audit (FCA)), as well as major contract modifications during the period. Provide a complete description of the contract effort that identifies key technologies, components, subsystems, and requirements. For task/delivery/job order contracts, state the number of tasks issued during the period, tasks completed during the period, and tasks that remain active. For contracts that include multiple functional disciplines or activities, separate them into categories to: (1) reflect the full scope of the contract, and (2) allow grouping of similar work efforts within the categories to avoid unnecessary segregation of essentially similar specialties or activities. Each category or area should be separately numbered, titled and described within Block 17 to facilitate cross-referencing with the evaluation of the Contractor's performance within each category in Blocks 18 and 19.

A2.19 Block 18 - Evaluation Areas. Evaluate each area based on the following criteria:

A2.19.1 Each area assessment must be based on objective data that will be provided in Block 20. Facts to support specific areas of evaluation must be requested from the Contracting Officer and other Government specialists familiar with the Contractor's performance on the contract under review. Such specialists may, for example, be from engineering, manufacturing, quality, logistics (including provisioning), contract administration services, maintenance, security, etc.

A2.19.2 The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the Contractor's performance. For example, if a Contractor meets an extremely tight schedule, a blue (exceptional) may be appropriate, or meeting a tight schedule with few delinquencies, a green (satisfactory) with a plus sign assessment may be given in recognition of the inherent schedule risk. When a Contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the Block 18 ratings.

A2.19.3 The CPAR is designed to assess prime Contractor performance. However, in those evaluation areas where subcontractor actions have significantly influenced the prime Contractor's performance in a negative or positive way, record the subcontractor actions in Block 20.

A2.19.4 Many of the evaluation areas in Block 18 represent groupings of diverse elements. The Assessing Official should consider each element and use the area rating to highlight significant issues. In addition, the Assessing Official should clearly focus on the Contractor's "results", as they may be appropriate for the period being assessed, in determining the overall area rating.

A2.19.5 Evaluate all areas which pertain to the contract under evaluation, unless they are not applicable - "N/A".

A2.19.6 When performance has changed from one period to another such that a change in color results, the narrative in Block 20 must address each change.

A2.19.7 The Assessing Official should use customary industry quantitative measures where they are applicable if the contract is for commercial products.

A2.19.8 Rating will be in accordance with the definitions described in Figure A2.1, "Evaluation Ratings."

A2.20 Block 18a - Technical (Quality of Product). This element is comprised of an overall rating and six sub-elements. Activity critical to successfully complying with contract requirements must be assessed within one or more of these sub-elements. The overall rating at the element level is the Assessing Official's integrated evaluation as to what most accurately depicts the Contractor's technical performance or progress toward meeting requirements. *This assessment is not a roll-up of the sub-element assessments.*

A2.20.1 Block 18a(1) - Product Performance. Assess the achieved product performance relative to performance parameters required by the contract.

A2.20.2 Block 18a(2) - Systems Engineering. Assess the Contractor's effort to transform operational needs and requirements into an integrated system design solution.

Areas of focus should be: the planning and control of technical program tasks, the quality and adequacy of the engineering support provided throughout all phases of contract execution, the integration of the engineering specialties, management of interfaces, interoperability, and the management of a totally integrated effort of all engineering concerns to meet cost, technical performance, and schedule objectives. System engineering activities ensure that integration of these engineering concerns is addressed up-front and early in the design/development process. The assessment should cover these disciplines: systems architecture, design, manufacturing, integration and support, configuration control, documentation, test and evaluation. The assessment for test and evaluation should consider success/problems/failure in developing test and evaluation objectives; planning (ground/air/sea) test, simulations and/or demonstrations; in accomplishing those objectives and on the timeliness of coordination and feedback of the test results (simulations/demonstrations) into the design and/or manufacturing process. Other activities include: producibility engineering, logistics support analysis, supportability considerations (maintenance personnel/skills availability or work-hour

constraints, operating and cost constraints, allowable downtime, turn-around-time to service/maintain the system, standardization requirements) survivability, human factors, reliability, quality, maintainability, availability, inspectability, etc. Although some of these activities will be specifically addressed in other elements/sub-elements (such as product assurance), the focus of the assessment of systems engineering is on the integration of those specific disciplines/activities. The assessment of systems engineering needs to remain flexible to allow the evaluator to account for *program unique technical* concerns and to allow for the changing systems engineering environment as a program moves through the program phases, e.g., Engineering and Manufacturing Development, Production.

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

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

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

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

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

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

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

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

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

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

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

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

Figure A2.1. Evaluation Ratings.

A2.20.3 Block 18a(3) - Software Engineering. Assess the Contractor's success in meeting contract requirements for software development, modification, or maintenance. Results from Software Capability Evaluations (SCEs) [using the Software Engineering Institute (SEI) Capability Maturity Model (CMM) as a means of measurement], Software Development Capability Evaluations (SDCEs), or similar software assessments may be used as a source of information to support this evaluation.

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

A2.20.4 Block 18a(4) - Logistic Support/Sustainment. Assess the success of the Contractor's performance in accomplishing logistics planning.

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

A2.20.5 Block 18a(5) - Product Assurance. Assess how successfully the Contractor meets program quality objectives; e.g., producibility, reliability, maintainability, inspectability, testability, and system safety, and controls the overall manufacturing process.

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

A2.20.6 Block 18a(6) - Other Technical Performance. Assess all the other technical activity critical to successful contract performance. Identify any additional assessment aspects that are unique to the contract or that cannot be captured in another sub-element.

A2.21 Block 18b - Schedule. Assess the timeliness of the Contractor against the completion of the contract, task orders, milestones, delivery schedules, administrative requirements, etc.

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

A2.22 Block 18c - Cost Control (Not required for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment). Assess the Contractor's effectiveness in forecasting, managing, and controlling contract cost.

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

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

A2.23 Block 18d - Management. This element is comprised of an overall rating and three sub-elements. Activity critical to successfully executing the contract must be assessed within one or more of the sub-elements. This overall rating at the element level is the Assessing Official's integrated assessment as to what most accurately depicts the Contractor's performance in managing the contracted effort. *It is not a roll-up of the sub-element assessments.*

A2.23.1 Block 18d(1) - Management Responsiveness. Assess the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals (especially responses to change orders, Engineering Change Proposals (ECPs), or other undefinitized contract actions), the Contractor's history of reasonable and cooperative behavior, effective business relations, and customer satisfaction.

Consider the Contractor's responsiveness to the program as it relates to meeting contract requirements during the period covered by the report.

A2.23.2 Block 18d(2) - Subcontract Management. Assess the Contractor's success with timely award and management of subcontracts, including whether the Contractor met small/small disadvantaged, women-owned, Historically Underutilized Business Zone (HUBZone), veteran-owned, and service disabled veteran-owned business participation goals.

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

A2.23.3 Block 18d(3) - Program Management and Other Management. Assess the extent to which the Contractor discharges its responsibility for integration and coordination of all activity needed to execute the contract; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by contract; communicates appropriate information to affected program elements in a timely manner. Assess the Contractor's risk management practices, especially the ability to identify risks and formulate and implement risk mitigation plans. If applicable, identify any other areas that are unique to the contract, or that cannot be captured elsewhere under the Management element.

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

A2.24 Block 18e - Other Areas. Specify additional evaluation areas that are unique to the contract, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use Block 20.

A2.24.1 If the contract contains an award fee provision, enter "award fee" in the "Other Areas" block (18e). The Assessing Official *should* translate the award fee earned to color ratings, which could

prove more useful for using past performance to assess future performance risk in upcoming source selections. If award fee information is included in the CPAR, use block 20 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 performance activities, or is restricted to certain elements of the contract.

A2.24.2 If any other type of contract incentive is included in the contract (excluding contract shareline incentives on fixed price or cost-type contracts), it should be reported in a manner similar to the procedures described above for award fee. Enter "Incentive" in Block 18e.

A2.24.3 Use Block 18e in those instances where the Assessing Official believes strongly, either positively or negatively, regarding an aspect of the Contractor's performance, but cannot fit that aspect into any of the other blocks on the form. As an example, this block may be used to address security issues, provide an assessment of provisioning line items or other areas deemed appropriate.

A2.25 Block 19 - Variance (Contract to Date). If CPR or C/SSR data are available, identify the current percent cost variance to date, the Government's estimated completion cost variance (percent), and the cumulative schedule variance (percent). Indicate the cutoff date for the CPR or C/SSR used.

A2.25.1 Compute current cost variance percentage by dividing cumulative cost variance to date (column 11 of the CPR, column 6 of the C/SSR) by the Budgeted Cost of Work Performed (BCWP) and multiplying by 100.

A2.25.2 Compute completion cost variance percentage by dividing the Contract Budget Baseline (CBB) less the Government's Estimate At Completion (EAC) by CBB and multiplying by 100. The calculation is $[(CBB - EAC)/CBB] \times 100$. The CBB must be the current budget base against which the Contractor is performing (including formally established Over Target Baselines (OTB)). If an OTB has been established since the last CPAR, a brief description in Block 20 of the nature and magnitude of the baseline adjustment must be provided. Subsequent CPARs must evaluate cost performance in terms of the revised baseline and reference the CPAR that described the baseline adjustment. For example, "The contract baseline was formally adjusted on (date); see CPAR for (period covered by report) for an explanation."

A2.25.3 Compute cumulative schedule variance percentage by dividing the Budgeted Cost of Work Performed (BCWP) less budgeted cost of work scheduled (BCWS) by BCWS and multiplying by 100. The calculation is $[(BCWP - BCWS)/BCWS] \times 100$. If the schedule variance exceeds 15 percent (positive or negative), briefly discuss in Block 20 the significance of this variance for the contract effort.

A2.26 Block 20 - Assessing Official (i.e., Program Manager or Equivalent Individual Responsible For Program, Project, or Task/Job Order Execution) Narrative (See Para. 1.3). A short, factual narrative statement is required for all assessments regardless of color rating (e.g., even "green" ratings require narrative support). Cross-reference the comments in Block 20 to their corresponding evaluation area in Block 18 or 19. Each narrative statement in support of the area assessment must contain objective data. An exceptional cost performance assessment could, for example, cite the current underrun dollar value and estimate at completion. A marginal engineering design/support assessment could, for example, be supported by information concerning personnel changes. Key engineers familiar with the effort may have been replaced by less experienced engineers. Sources of data include operational test and evaluation results; technical interchange

meetings; production readiness reviews; earned contract incentives; or award fee evaluations. Block 20 comments may be up to 16,000 characters (approximately 3 pages in a word document) in the CPARS AIS.

A2.26.1 The Assessing Official must choose the applicable choice to the following statement after block 20: “Given what I know today about the Contractor’s ability to execute what he promised in his proposal, I (definitely would not, probably would not, might not, might, probably would or definitely would) award to him today given that I had a choice.”

A2.27 **Block 21 - Assessing Official Signature (See Para. 1.3).** The Assessing Official enters his or her name, title, organization and code, phone number, email address, FAX number, and signs and dates the form prior to making it available to the Contractor for review.

A2.28 **Block 22 - Contractor Comments.** At the option of the Contractor. Narrative comments are limited to 16,000 characters (approximately 3 pages in a word document). Narrative comments should be concise and are limited by the CPARS AIS.

A2.29 **Block 23 - Contractor Representative Signature.** The Contractor representative reviewing/commenting on the CPAR will enter his or her name, title, phone number, email address, FAX number, and signs and dates the form prior to returning it to the Assessing Official.

A2.30 **Block 24 - Reviewing Official Comments.** The Reviewing Official must acknowledge consideration of any significant discrepancies between the PM assessment and the Contractor's comments.

A2.31 **Block 25 - Reviewing Official Signature.** The Reviewing Official will enter his or her name, title, organization and code, phone number, email address, FAX number, and date when completing the CPAR. (See section A, paragraph 1.4 and Table 1 for guidance as to who may act as the Reviewing Official.)

ATTACHMENT 3

FORM AND INSTRUCTIONS FOR COMPLETING A SHIP REPAIR AND OVERHAUL CPAR

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

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

ATTACHMENT 3

INSTRUCTIONS FOR COMPLETING A SHIP REPAIR AND OVERHAUL CPAR FORM

A3.1 Block 1 - Name/Address of Contractor. State the name and address of the division or subsidiary of the Contractor performing the contract. Identify the parent corporation (no address required). Identify the Contractor's Commercial and Government Entity (CAGE) code¹, Data Universal Numbering System DUNS+4 number², Federal Supply Classification (FSC) or Service Code³, and North American Industrial Classification System (NAICS) Code⁴.

¹ CAGE Code: Unique five character company identification number issued by the Defense Logistics Information Service (DLIS) to identify DoD Contractors. It is automatically assigned and validated in the registration process.

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

³ FSC or Service Code: Enter the 4-character federal supply classification or service code that describes the contract effort. To find the code, look in Section 1 of the Department of Defense (DoD) Procurement Coding Manual (MN02). There are three categories of codes to choose from. In some cases, use a 4-character code from a list of 4-character codes; in other cases, construct a code using the instructions in the manual. If more than one category or code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

⁴ NAICS Code: These codes are in the NAICS Manual. If more than one code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

A3.2 Block 2 - Type Report. Indicate, whether, in accordance with Section C paragraph 6, the CPAR is an initial, intermediate, or final report. If an out-of-cycle report is required, select "out-of-cycle." If this is a report to record Contractor performance relative to contract closeout or other administrative requirements, select "addendum."

A3.3 Block 3 - 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 actual performance. In the case of delayed starts or protests, the initial period of performance may cover more than twelve months of time since contract award, but no more than twelve months of actual contract performance. The period of performance should not already include reported efforts except when an out-of-cycle CPAR has been processed. CPAR assessments for "intermediate" reports should only cover a 12-month period of performance; therefore, the report should not reflect a period of performance greater than 12 months. Exceptions to this rule for special circumstances, such as a period of performance that ends one month before contract completion, must be approved by the CPAR Focal Point. The CPAR Focal Point has the authority to approve extensions when special circumstances arise.

A3.4 Block 4a - Contract Number. Use the contract number as identified on the contract, except in the case of BOAs, BPAs, GSA schedule and other service/agency orders. If an order is issued under a BOA, BPA, GSA schedule or other service/agency contract/agreement, the contract number in CPARS should match the master contract number. The order number field should be used to reflect the contract/schedule/agreement number for the order.

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

A3.5 **Block 5 - Contracting Office (Organization and Code).** Self-explanatory.

A3.6 **Block 6 - Location of Contract Performance.** Self-explanatory.

A3.7 **Block 7a - Contracting Officer.** Self-explanatory.

Block 7b - Phone Number. Self-explanatory.

A3.8 **Block 8a - Contract Award Date.** Self-explanatory.

Block 8b – Contract Effective Date. This is the date that contract performance begins.

A3.9 **Block 9 - Contract Completion Date.** Self-explanatory.

A3.10 **Block 10 - Contract Percent Complete/Delivery Order Status.** State the current percent of the contract that is complete.

A3.11 **Block 11 - Awarded Value.** Enter the total value of the contract, including unexercised options. For delivery/task/job order contracts where orders will be assessed under a single CPAR, enter the maximum ordering amount under the contract, including options. For delivery/task/job order contracts where orders will be assessed on an individual basis, enter the awarded value of the individual order. For basic ordering agreements where orders will be assessed under a single CPAR, enter the combined amount of all orders covered under the assessment. For basic ordering agreements where orders will be assessed individually, enter the awarded value of the individual order.

A3.12 **Block 12 - Current Contract Dollar Value** State the current obligated amount including options that have been exercised and modifications. For incentive contracts, state the target price or total estimated amount. For delivery/task/job order contracts where orders will be assessed under a single CPAR, state the total amount obligated on all delivery orders, including modifications. For delivery/task order contracts where orders will be assessed on an individual basis, state the current obligated amount of the individual order, including modifications. For basic ordering agreements where orders will be assessed under a single CPAR, state the combined obligated amount of all orders covered under the assessment, including modifications. For basic ordering agreements where orders will be assessed individually, state the current obligated amount of the individual order, including modifications.

A3.13 **Block 13 - Basis of Award.** Identify the basis of award by placing a selecting competitive or non-competitive.

A3.14 **Block 14 - Contract Type.** Identify the contract type. For mixed contract types, select the predominate contract type and identify the other contract type in the "mixed" block.

A3.15 **Block 15 - Key Subcontractors and Effort Performed.** Identify subcontractors, including CAGE code and DUNS +4 number, performing either a critical aspect of the contracted effort or more than 25 percent of the dollar value of the effort. State whether the Contractor met small/small disadvantaged, women-owned, Historically Underutilized Business Zones (HUBZones), veteran-owned, and service disabled veteran-owned business participation goals.

A3.16 Block 16 - Type of Availability. Identify the type of repair availability being performed; e.g. Docking Selected Restricted Availability (DSRA), Selected Restricted Availability (SRA), Docking Phased Maintenance Availability (DPMA), Phased Maintenance Availability (PMA), Regular Overhaul (ROH), Docking Planned Incremental Availability (DPIA), Planned Incremental Availability (PIA), Restricted Availability (RAV), Technical Availability (TAV), Mid-Term Availability (MTA), Extended Docking Selected Restricted Availability (EDSRA), Planned Restricted Availability (PRAV), or other.

A3.17 Block 17 - Contract Effort Description. Provide a complete description of the work package under contract that identifies key repairs, alterations, systems, components, subsystems, and any other pertinent technical requirements. This section is of critical importance to future Performance Risk Assessment Groups (PRAGs) and Source Selection Authorities. The description should be detailed enough to assist a future PRAG in determining the relevancy of this contractual effort to their source selection. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort.

A3.18 Block 18 - Evaluation Areas. Evaluate each area based on the following criteria:

A3.18.1 Each area assessment must be based on objective data that will be provided in Block 20. Facts to support specific areas of evaluation must be requested from the Contracting Officer and other Government specialists familiar with the Contractor's performance on the contract under review.

A3.18.2 The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the Contractor's performance. For example, if a Contractor meets an extremely tight schedule a blue (exceptional) rating may be appropriate, or meeting a tight schedule with few delinquencies a green (satisfactory) rating may be given in recognition of the inherent schedule risk. When a Contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the Block 18 ratings.

A3.18.3 The CPAR is designed to assess prime Contractor performance. However, in those evaluation areas where subcontractor actions have significantly influenced the prime Contractor's performance in a negative or positive way, record the subcontractor actions in Block 20.

A3.18.4 Many of the evaluation areas in Block 18 represent groupings of diverse elements. The Assessing Official (see para. 1.3) or Administrative Contracting Officer (ACO) should consider each element and use the area rating to highlight significant issues. In addition, the Assessing Official or ACO should clearly focus on the Contractor's "results," as they may be appropriate for the period being assessed, in determining the overall area rating.

A3.18.5 Evaluate all five areas which pertain to ship repair contracts under evaluation, unless they're not applicable - N/A.

A3.18.6 When performance has changed from one period to another such that a change in rating results, the narrative in Block 20 must address each change.

A3.18.7 The Assessing Official (see para. 1.3) or ACO should use customary industry quantitative measures where they are applicable.

A3.18.8 Ratings will be in accordance with the definitions described in Figure A3.1, "Evaluation Ratings."

A3.19 **Block 18a - Technical (Quality of Product)**. This element is comprised of an overall rating and six sub-elements. Activity critical to successfully complying with contract requirements must be assessed within one or more of these sub-elements. The overall rating at the element level is the Assessing Official's integrated assessment as to what most accurately depicts the Contractor's technical performance or progress toward meeting requirements. *This assessment is not a roll-up of the sub-element assessments.*

A3.19.1 **Block 18a(1) - Product Performance**. Assess the achieved product performance relative to performance parameters required by the contract.

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

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

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

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

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

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

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

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

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

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

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

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

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

Figure A3.1. Evaluation Ratings.

A3.19.2 Block 18a(2) - Systems Engineering (optional). Assess the Contractor's effort to transform operational needs and requirements into an integrated system design solution.

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

A3.19.3 Block 18a(3) - Software Engineering (optional). Assess the Contractor's success in meeting contract requirements for software development, modification, or maintenance. Results from Software Capability Evaluations (SCEs) [using the Software Engineering Institute (SEI's) Capability Maturity Model (CMM) as a means of measurement], Software Development Capability Evaluations (SDCEs), or similar software assessments may be used as a source of information to support this evaluation.

A3.19.4 Block 18a(4) - Logistic Support/Sustainment (optional). Assess the success of the Contractor's performance in accomplishing logistics planning.

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

A3.19.5 Block 18a(5) - Product Assurance (optional). Assess how successfully the Contractor meets program quality objectives; e.g., producibility, reliability, maintainability, inspectability, testability, and system safety, and controls the overall manufacturing process.

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

A3.19.6 Block 18a(6) - Other Technical Performance (optional). Assess all the other technical activity critical to successful contract performance. Identify any additional assessment aspects that are unique to the contract or that cannot be captured in another sub-element.

A3.20 Block 18b - Schedule. Assess the timeliness of the Contractor against the completion of the contract, task orders, milestones, delivery schedules, administrative requirements, etc.

Assess the Contractor's adherence to the contract schedule by evaluating the Contractor's efforts during the availability's contractual performance period. Assess the Contractor's adherence to the required delivery schedule by assessing the Contractor's efforts during the assessment period that contribute to or effect the schedule variance. Also, address significance of scheduled events, discuss causes, and assess the effectiveness of Contractor corrective actions. The associated narrative explanation in Block 20 should address significance of scheduled events, discuss causes, and evaluate effectiveness of Contractor corrective actions.

A3.21 Block 18c - Cost Control (Not required for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment). Assess the Contractor's effectiveness in forecasting, managing, and controlling contract cost.

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

A3.22 Block 18d - Management. This element is comprised of an overall rating and three sub-elements. Activity critical to successfully executing the contract must be assessed within one or more of the sub-elements. This overall rating at the element level is the Assessing Official's integrated assessment as to what most accurately depicts the Contractor's performance in managing the contracted effort. *It is not a roll-up of the sub-element assessments.*

A3.22.1 Block 18d(1) - Management Responsiveness. Assess the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals (especially responses to change orders, Engineering Change Proposals (ECPs), or other undefinitized contract actions), the Contractor's history of reasonable and cooperative behavior, effective business relations, and customer satisfaction.

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

A3.22.2 Block 18d(2) - Subcontract Management (optional). Assess the Contractor's success with timely award and management of subcontracts, including whether the Contractor met small/small disadvantaged, women-owned, Historically Underutilized Business Zone (HUBZone), veteran-owned, and service disabled veteran-owned business participation goals.

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

A3.22.3 Block 18d(3) - Program Management and Other Management (optional). Assess the extent to which the Contractor discharges its responsibility for integration and coordination of all activity needed to execute the contract; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by contract; communicates appropriate information to affected program elements in a timely manner. Assess the Contractor's risk management practices, especially the ability to identify risks and formulate and implement risk mitigation plans. If applicable, identify any other areas that are unique to the contract, or that cannot be captured elsewhere under the Management element.

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

A3.23 Block 18e - Other Areas. Specify additional evaluation areas that are unique to the contract, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use Block 20.

A3.23.1 If the contract contains an award fee provision, enter "award fee" in the "Other Areas" block (18e). The Assessing Official *should* translate the award fee earned to color ratings, which could prove more useful for using past performance to assess future performance risk in upcoming source selections. If award fee information is included in the CPAR, use block 20 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 performance activities, or is restricted to certain elements of the contract.

A3.23.2 If any other type of contract incentive is included in the contract (excluding contract shareline incentives on fixed price or cost-type contracts), it should be reported in a manner similar to the procedures described above for award fee.

A3.23.3 Use Block 18e in those instances where the Assessing Official believes strongly, either positively or negatively, regarding an aspect of the Contractor's performance, but cannot fit that aspect into any of the other blocks on the form. As an example, this block may be used to address security issues, provide an assessment of provisioning line items or other areas deemed appropriate.

A3.24 Block 19 - Variance (contract to date)

A3.24.1 Compute completion cost variance percentage by relating award price and final price. If no variance, so state.

A3.24.2 Compute schedule variance percentage by computing actual duration and scheduled duration. If no variance, so state.

A3.25 Block 20 - Assessing Official (Program Manager or Equivalent Individual Responsible For Program, Project, or Task/Job Order Execution) (See Para. 1.3) or Administrative Contracting Officer (ACO) Narrative. A short, factual narrative statement is required for all assessments regardless of color rating (e.g., even "green" ratings require narrative support). Cross-reference the comments in Block 20 to their corresponding evaluation area in Block 18 and 19. Each narrative statement in support of the area assessment must contain objective data. An exceptional

cost performance assessment could, for example, cite the current underrun dollar value and estimate at completion.

A3.25.1 The final entry in this block will be a statement by the evaluator in the following form: “Given what I know today about the Contractor’s ability to execute what he/she promised in his/her proposal, I (definitely would not, probably would not, might not, might, probably would or definitely would) award to him/her today given that I had a choice.”

A3.26 Block 21 - Assessing Official (See Para. 1.3) or Administrative Contracting Officer (ACO) Signature. The Assessing Official/ACO enters his or her name, title, organization and code, phone number, email address, FAX number, and signs and dates the form prior to making it available to the Contractor for review.

A3.27 Block 22 - Contractor Comments. At the option of the Contractor. Narrative comments are limited to 16,000 characters (approximately 3 pages in a word document). Narrative comments should be concise and are limited by the CPARS AIS.

A3.28 Block 23 - Contractor Representative Signature. The Contractor representative reviewing/commenting on the CPAR will enter his or her name, title, phone number, email address, FAX number, and signs and dates the form prior to returning it to the Assessing Official/ACO.

A3.29 Block 24 - Reviewing Official Comments. The Reviewing Official must acknowledge consideration of any significant discrepancies between the Assessing Official (see Para. 1.3) or ACO assessment and the Contractor’s comments.

A3.30 Block 25 - Reviewing Official Signature. The Reviewing Official will enter his or her name, title, organization and code, phone number, email address, FAX number, and signs and dates when completing the CPAR. (See Section A, paragraph 1.4 and Table 1 for guidance as to who may act as the Reviewing Official.)

ATTACHMENT 4

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

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

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

ATTACHMENT 4

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

A4.1 Block 1 - Name/Address of Contractor. State the name and address of the division or subsidiary of the Contractor performing the contract. Identify the parent corporation (no address required). Identify the Contractor's Commercial and Government Entity (CAGE) code¹, Data Universal Numbering System DUNS+4 number², Federal Supply Classification (FSC) or Service Code³, and North American Industrial Classification System (NAICS) Code⁴.

¹ CAGE Code: Unique five character company identification number issued by the Defense Logistics Information Service (DLIS) to identify DoD Contractors. It is automatically assigned and validated in the registration process.

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

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

⁴ NAICS Code: These codes are in the NAICS Manual. If more than one code applies to the contracting action, enter the one that best identifies the product or service representing the largest dollar value.

A4.2 Block 2 - Type Report. Indicate whether, in accordance with section C, paragraph 6, the CPAR is an initial, intermediate, or final report. If this is an out-of-cycle report, select “out-of-cycle”. If this is a report to record Contractor performance relative to contract closeout or other administrative requirements, select “addendum.”

A4.3 Block 3 - 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 actual performance. In the case of delayed starts or protests, the initial period of performance may cover more than twelve months of time since contract award, but no more than twelve months of actual contract performance. The period of performance should not already include reported efforts except when an out-of-cycle CPAR has been processed. CPAR assessments for "intermediate" reports should only cover a 12-month period of performance; therefore, the report should not reflect a period of performance greater than 12 months. Exceptions to this rule for special circumstances, such as a period of performance that ends one month before contract completion, must be approved by the CPAR Focal Point. The CPAR Focal Point has the authority to approve extensions when special circumstances arise.

A4.4 Block 4a - Contract Number. Use the contract number as identified on the contract, except in the case of BOAs, BPAs, GSA schedule and other service/agency orders. If an order is issued under a BOA, BPA, GSA schedule or other service/agency contract/agreement, the contract number in CPARS should match the master contract number. The order number field should be used to reflect the contract/schedule/agreement number for the order.

A4.4.1 Block 4b - DoD Business Sector and Sub-Sector. The Services sub-sectors are: Professional/Technical and Management Support Services, Repair and Overhaul (excludes ship repair and overhaul), Installation Services and DoD Transportation System Services. The Information Technology sub-sectors are: Software, Hardware, and Telecommunications Equipment or Services. The Operations Support sub-sectors are: Mechanical, Structural, Electronics, Electrical, Ammunition, Troop Support, Base Supplies, and Fuels.

A4.5 Block 5 - Contracting Office (Organization and Code). Self-explanatory.

A4.6 Block 6 - Location of Contract Performance. Self-explanatory.

A4.7 Block 7a - Contracting Officer. Self-explanatory.

Block 7b - Phone Number. Self-explanatory.

A4.8 Block 8a - Contract Award Date. Self-explanatory.

Block 8b – Contract Effective Date. This is the date that contract performance begins.

A4.9 Block 9 - Contract Completion Date. Self-explanatory.

A4.10 Block 10 - N/A. Not applicable.

A4.11 Block 11 - Awarded Value. Enter the total value of the contract, including unexercised options. For delivery/task/job order contracts where orders will be assessed under a single CPAR, enter the maximum ordering amount under the contract, including options. For delivery/task/job order contracts where orders will be assessed on an individual basis, enter the awarded value of the individual order. For basic ordering agreements where orders will be assessed under a single CPAR, enter the combined amount of all orders covered under the assessment. For basic ordering agreements where orders will be assessed individually, enter the awarded value of the individual order.

A4.12 Block 12 - Current Contract Dollar Value. State the current obligated amount including options that have been exercised and modifications. For incentive contracts, state the target price or total estimated amount. For delivery/task/job order contracts where orders will be assessed under a single CPAR, state the total amount obligated on all delivery orders, including modifications. For delivery/task order contracts where orders will be assessed on an individual basis, state the current obligated amount of the individual order, including modifications. For basic ordering agreements where orders will be assessed under a single CPAR, state the combined obligated amount of all orders covered under the assessment, including modifications. For basic ordering agreements where orders will be assessed individually, state the current obligated amount of the individual order, including modifications.

A4.13 **Block 13 - Basis of Award.** Identify the basis of award by placing selecting competitive or non-competitive.

A4.14 **Block 14 - Contract Type.** Identify the contract type. For mixed contract types, select the predominate contract type and identify the other contract type in the "mixed" block.

A4.15 **Block 15 - Key Subcontractors and Description of Effort Performed.** Identify the subcontractors, including CAGE code and DUNS +4 number, and provide a short description of the effort that they are performing. If possible, include the amount of subcontract costs of the total contract effort. Discussion of the prime Contractor's management of the subcontractor should be included in Block 18d - Business Relations. State whether the Contractor met small/small disadvantaged, women-owned, Historically Underutilized Business Zones (HUBZones), veteran-owned, and service disabled veteran-owned business participation goals.

A4.16 **Block 16 - Program Title and Phase of Acquisition.** Provide a short descriptive narrative of the program. Spell out all abbreviations. Identify the type of services (for example, professional services, maintenance, installation or information technology services).

A4.17 **Block 17 - Contract Effort Description.** Provide a description of the contract effort that identifies the key requirements and/or type of effort. This section is of critical importance to future source selections. The description should be detailed enough so that it can be used in determining the relevancy of this program to future source selections. Also, keep in mind that users of this information may not understand program jargon. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort. For task/delivery order contracts, state the number of orders issued during the period.

A4.18 **Block 18 - Evaluation Areas.** Evaluate each area based on the following criteria:

A4.18.1. Each area assessment must be based on objective data that will be provided in Block 20. Facts to support specific areas of evaluation must be requested from the Contracting Officer and other Government specialists familiar with the Contractor's performance on the contract under review. Such specialists may, for example include the Contracting Officer's Representative (COR) for the program and may also, be from engineering, manufacturing, quality, logistics (including provisioning), contract administration services, maintenance, security, etc.

A4.18.2 The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the Contractor's performance. When a Contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the Block 18 ratings.

A4.18.3 The CPAR is designed to assess prime Contractor performance. However, in those evaluation areas where subcontractor actions have significantly influenced the prime Contractor's performance in a negative or positive way, record the subcontractor actions in Block 20.

A4.18.4 Evaluate all areas which pertain to the contract under evaluation, unless they are not applicable - "N/A".

A4.18.5 When performance has changed from one period to another such that a change in rating results, the narrative in Block 20 must address each change.

A4.18.6 The Assessing Official should use customary industry quantitative measures where they are applicable if the contract is for commercial products.

A4.18.7 Ratings will be in accordance with the definitions described in Figure A4.1, Evaluation Ratings.

A4.19 Block 18a - Quality of Product or Service. Assess the Contractor's conformance to contract requirements, specifications and standards of good workmanship (e.g., commonly accepted technical, professional, environmental, or safety and health standards).

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

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

A4.20 Block 18b - Schedule. Assess the timeliness of the Contractor against the completion of the contract, task orders, milestones, delivery schedules, and administrative requirements.

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

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

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

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

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

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

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

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

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

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

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

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

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

Figure A4.1. Evaluation Ratings.

A4.21 Block 18c - Cost Control. (Not required for Firm Fixed Price or Firm Fixed Price with Economic Price Adjustment). Assess the Contractor's effectiveness in forecasting, managing, and controlling contract cost.

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

A4.22 Block 18d - Business Relations. Assess the integration and coordination of all activity needed to execute the contract, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the Contractor's history of reasonable and cooperative behavior, customer satisfaction, timely award and management of subcontracts, and whether the Contractor met small/small disadvantaged, women-owned, Historically Underutilized Business Zones (HUBZones), veteran-owned, and service disabled veteran-owned business participation goals.

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

A4.23 Block 18e - Management of Key Personnel (For Services and Information Technology Business Sectors only - Not Applicable to Operations Support). Assess the Contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel.

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

A4.24 Block 18f – Other Areas. Specify additional evaluation areas that are unique to the contract, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use Block 20.

A4.24.1 If the contract contains an award fee provision, enter "award fee" in the "Other Areas" block (18e). The Assessing Official *should* translate the award fee earned to adjective 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 in the CPAR, use block 20 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 performance activities, or is restricted to certain elements of the contract.

A4.24.2 If any other type of contract incentive is included in the contract (excluding contract shareline incentives on fixed price or cost-type contracts), it should be reported in a manner similar to the procedures described above for award fee.

A4.24.3 Use Block 18f in those instances where the Assessing Official (see para. 1.3) believes strongly, either positively or negatively, regarding an aspect of the Contractor's performance, but cannot fit that aspect into any of the other blocks on the form.

A4.25 **Block 19 – N/A.** Not applicable.

A4.26 **Block 20 - Assessing Official (or Equivalent Individual Responsible for Program, Project, Task/Job Order Execution) Narrative (see paragraph 1.3).** A short, factual narrative statement is required for all assessments regardless of rating. Cross-reference the comments in Block 20 to their corresponding evaluation area in Block 18. Each narrative statement in support of the area assessment must contain objective data. An exceptional cost performance assessment could, for example, cite the current underrun dollar value and estimate at completion. A marginal assessment could, for example, be supported by information concerning personnel changes or schedule delinquency rate. Key personnel familiar with the effort may have been replaced by less experienced personnel. Sources of the data used by the Assessing Official (see para. 1.3) for the assessment may include customer/field surveys or evaluation of Contractor reports. Block 20 comments may be up to 16,000 characters (approximately 3 pages in a word document) in the CPARS AIS.

A4.26.1 The Assessing Official must choose the applicable choice to the following statement after block 20: "Given what I know today about the Contractor's ability to execute what he promised in his proposal, I (definitely would not, probably would not, might not, might, probably would or definitely would) award to him today given that I had a choice".

A4.27 **Block 21 - Assessing Official (see Paragraph 1.3) Signature.** The Assessing Official enters his or her name, title, organization and code, phone number, email address, FAX number, and signs and dates the form prior to making it available to the Contractor for review.

A4.28 **Block 22 - Contractor Comments.** At the option of the Contractor. Narrative comments are limited to 16,000 characters (approximately 3 pages in a word document). Narrative comments should be concise and are limited by the CPARS AIS.

A4.29 **Block 23 - Contractor Representative Signature.** The Contractor representative reviewing/commenting on the CPAR will enter his or her name, title, phone number, email address, FAX number, and signs and dates the form prior to returning it to the Assessing Official.

A4.30 **Block 24 - Reviewing Official Comments.** The Reviewing Official must acknowledge consideration of any significant discrepancies between the Assessing Official assessment and the Contractor's comments.

A4.31 **Block 25 - Reviewing Official Signature.** The Reviewing Official will enter his or her name, title, organization and code, phone number, email address, and signs and dates when completing the CPAR. (See section A, paragraph 1.4 and Table 1 for guidance as to who may act as the Reviewing Official.)