

CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS) GUIDE

DEPARTMENT OF THE AIR FORCE



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CONTRACTOR PERFORMANCE ASSESSMENT REPORTING SYSTEM (CPARS)

INTRODUCTION

The Federal Acquisition Regulation (FAR) requires that past performance information (PPI) be collected (FAR Part 42) and used in source selection evaluations (FAR Part 15). The CPARS process establishes procedures for the collection and use of PPI for the business sector contracts listed in Table 1. CPARS generated PPI will be one of many tools used to communicate contractor strengths and weaknesses to source selection officials and contracting officers. The Air Force's usage of an automated CPARS collection capability is aimed at reducing reliance on paper, improving the business process, and being more efficient. This is one of several initiatives the Air Force is deploying to meet DoD's paperless contracting mandates. The Air Force is utilizing the existing Navy CPARS tool to collect PPI and pass it to the Federal Past Performance Information Retrieval System (PPIRS) where PPI will be able to be retrieved by the Air Force and other Services. The CPARS Automated Information System collection tool can be accessed at (<http://cpars.navy.mil/>):

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 Contractor Performance Assessment Report (CPAR) has the unique characteristic of always being predecisional in nature. A CPAR will always be source selection information because it will be in constant use to support ongoing source selections. Primary distribution of CPARS among activities will be made through use of DoD's PPIRS at (<http://www.ppirs.gov/>) and transfer of CPARS from one activity CPARS focal point to another will be the secondary method. Access to the CPARS Automated Information System (AIS) and other PPI will be restricted to those individuals with an official need to know.

This revision of the CPARS guide supersedes the May 2002 guide and contains the following changes:

- Adds new paragraphs 2.3 and 2.7 to provide streamlining guidance to Systems Program Offices and reminds personnel that it is not necessary to complete all CPAR rating categories when the area is minimal or nonexistent. Existing paragraphs were renumbered accordingly.
- Revised table 1 to conform with DoD Deviation 99-O0002, dated 29 January 1999 that revised the past performance collection thresholds for DoD.
- Changed the reference to DoD's PPAIS to the Federal PPIRS.
- Revised Attachment 4, "List of Air Force CPARS POCs".

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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 CPARS 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 the CPARS is to ensure that data on contractor performance is current and available for use in source selections. Performance assessments will be used as an aid in awarding contracts and/or task orders to contractors that consistently provide quality, on-time products and services that conform to contractual requirements. CPARS can be used to effectively communicate contractor strengths and weaknesses to source selection officials. Senior Air Force and contractor officials may also use information derived from the CPARS for other management purposes consistent with DoD guidance and policy. 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 CPARS assesses a contractor’s performance and provides a record, both positive and negative, on a given contract during a specific period of time. Each assessment must be based on objective (or measurable subjective data when objective data is not available) data supportable by program¹ and contract management data, such as cost performance reports, customer comments, quality reviews, technical interchange meetings, financial solvency assessments, construction/production management reviews, contractor operations reviews, functional performance evaluations, and earned contract incentives, etc. Subjective assessments concerning the cause or ramifications of the contractor’s performance may be provided; however, speculation or conjecture must not be included. The attachments to this document contain the specific areas to be evaluated for the identified business sectors.
- 1.3 The value of CPARS to a future source selection team is inextricably linked to the care the assessing official² (program manager *or equivalent individual* responsible for program, project,

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

² Throughout this document, whenever “assessing official” is used, it means the program manager or equivalent individual responsible for execution of the program, project, task order or job order for services, information technology, operations support acquisitions, and S&T contracts funded with 6.4 money. It also means the “performance evaluator” or quality assurance evaluators for service efforts, the technical team requirements personnel or end users of the products/services. NOTE: For AFMC, systems acquisitions assessing official will always be the Program Manager. The term “program manager” is more precisely defined to be the System Program Director or Product Group Manager, who has overall responsibility for acquisition of a system within the approved Acquisition Program Baseline.

or task/job order execution), takes in preparing a quality narrative to accompany the CPAR ratings. It is of the utmost importance that the assessing official makes 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. A reviewing official³ must review and sign the assessment when there are significant differences between the assessing official and the contractor assessment (see paragraph 4.5 and 7.6.1) to ensure consistency with other evaluations, such as award fee board evaluations, throughout the activity as well as other program assessments. While the reviewing official may not change the assessing official's remarks, he may add comments and sign the CPAR. At this point the CPAR is considered final. In the event there are multiple assessments on one contract due to geographically separated units (GSUs), the assessing official of the GSU with the largest dollar amount will consolidate the multiple assessments and forward to his/her reviewing official before sending to the contractor. Review of all other assessments by the reviewing official is optional.
- 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. Further analyses of data from the CPARS database may be accomplished by the CPAR focal point for internal government use, but is not authorized for release outside the government.

NOTE: SAF/AQ requires that PEOs and DACs present summary data at PEO and DAC portfolio reviews as follows:

- Provide a single CPAR chart on each ACAT I, PEO program major development and production contract to SAF/AQ.
- The hard copy will be marked SSI/FOUO and will not be displayed on overheads.

2. Applicability and Scope

- 2.1 Past performance information (PPI) must be collected on contracts meeting the "Business Sector" definitions defined in Attachment 1. A CPAR must be completed on every business sector contract meeting the thresholds in Table 1. The nature of the effort to be acquired 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. Block B12A of the contract's DD Form 350 (on file in the contracting office) will be consulted in determining the type of CPAR required as well.

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 MAJCOM/DRU procedures. NOTE: For AFMC, the reviewing official must be the System Program Director (SPD), Product Group Manager (PGM), Wing Commander, a general officer, or a member of the Senior Executive Service. Local processes will designate this individual. For Program Executive Officer (PEO) and Designated Acquisition Commander (DAC) programs, the PEO or the DAC will be given the option of acting as the reviewing official. For S&T 6.4-funded contracts, the Air Force Research Laboratory (AFRL) Commander may delegate this authority to the center Technology Director.

- 2.2 When multiple orders are placed against a single contract and the sum of the orders exceeds the thresholds established in Table 1, the assessing official may elect to prepare a single CPAR that includes all orders vice preparing separate CPARs for each order. If a single order exceeds the threshold, the assessing official may prepare a separate CPAR for that order, or may include that order in a consolidated CPAR for that contract. If orders are placed against contracts let by other agencies, coordination must be effected with that agency to determine who will complete the CPAR. In the case of GSA contracts, ordering agencies will be responsible for completing CPARs since the ordering agency is best positioned to evaluate contractor performance. For those contracts where a provisioning line is established, the evaluation should include an assessment of that effort in Block 18 for "Other Areas". CPARs will be prepared on any order issued against a basic ordering agreement (BOA) that exceeds the dollar thresholds as cited in Table 1 since each BOA order constitutes an individual contract. Consolidation of multiple orders of similar effort into one CPAR is allowable. The standard procedure is for the ordering agency (recipient of services/items) to accomplish the past performance assessment and enter that assessment into their service's PPI database.
- 2.3 Large programs frequently write multiple CPARs because CPARs are required by contract, not by program. Therefore, if a program has 15 contracts that meet the CPAR threshold, that System Program Office (SPO) must write a total of 15 CPARs per year because one CPAR a year is required for each contract. Because CPAR preparation can be somewhat labor-intensive, some program offices streamlined the CPAR process by accomplishing all their CPARs in the same time during the year. This synergistic approach sharpens the focus on preparing CPARs within the SPO and is reported to be more efficient than accomplishing CPARs within a particular SPO at different months during the year. By using this approach, SPO personnel know that the CPAR process starts at a given month during the year, thus allowing them to schedule their time more efficiently. SPO management is also able to more efficiently dedicate resources and people to this task. CPAR focal points also indicate that the same personnel within a SPO are frequently involved in preparing CPAR inputs. For SPO assessing officials who prepare multiple CPARs in the same period of time, the CPAR learning curve is enhanced vs. doing the same number of CPARs throughout the year because "stops and starts" are eliminated. The SPO CPAR focal points also indicate that this process makes them more efficient. Preparing all CPARS during one period allows CPAR focal points and CPAR contributors to maximize their efforts. Grouping of the CPARs also facilitates CPAR accomplishment by both SPO and contractor management because the "learning curve" on CPARs only comes into play once rather than at many different times within a particular year.
- 2.4 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 and SAP contracts will be processed in accordance with program security requirements. Copies of classified CPARs will be maintained and distributed in accordance with AFPD 31-4, Information Security and AFI 31-401, Information Security Program Management. Copies of SAP CPARs will be marked in accordance with SAF/AO Security

Pamphlet 1, Marking guide for Special Access Required Material dated November 1997, written in accordance with NISPOM Sup and the implementers of the NISPOM Sup. Classified and SAP CPARs will not be entered into the CPARS AIS. (NOTE for AFMC: Hard copies of SAP CPARs will be provided to HQ AFMC/DRJ.)

- 2.6 CPARs will be accomplished on the applicable first tier subcontractor on contracts awarded to the Small Business Administration under the 8(a) program. If the agency is operating under the Direct 8(a) Awards Memorandum of Understanding between the DoD and the SBA, the CPARs would be prepared on the 8(a) contractor.
- 2.7 For small-dollar, relatively simple contracts requiring CPARS accomplishment, there can be a great deal of simplification when preparing a CPAR report. For example, the Systems CPAR Form contains 16 rating areas on the form that may need an assessment. Technical performance has seven assigned rating areas. Depending upon the complexity of system to be provided, the Program Manager (PM) could determine that only the area entitled "Technical (quality of product)" needs to be completed. In that case, the PM would justify the rating for technical performance in block 20 and indicate the other technical categories as "N/A" in the appropriate area on the form. This streamlining procedure is encouraged when appropriate and can be extended for "Management" and "Other Areas" as well. For example, it is possible that "subcontract management" is either non-existent or so minimal as to render a separate evaluation of this item under management as non value-added. Streamlining (on a smaller scale) may also be possible for the Services, Information Technology, and Operations Support CPARs. For example, the PM could determine that there are no "Other Areas" suitable for evaluation on a particular contract.
- 2.8 CPARS is a paperless contracting initiative directed by SAF/AQC. The Air Force will use the CPARS developed by the Navy 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 CPARS 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 and 3 with enhancements such as look-up tables for Commercial And Government Entity (CAGE) codes, Federal Supply Classification (FSC) codes, and North American Industrial Classification System (NAICS) codes.

<u>BUSINESS SECTOR</u>	<u>DOLLAR THRESHOLD</u> ¹	<u>REVIEWING OFFICIAL</u> ²
Systems (includes new development and major modifications)	>\$5,000,000	One level above the program manager. ³
Services	>\$1,000,000	One level above the assessing official.
Operations Support	>\$5,000,000 ⁴	One level above the assessing official
Fuels	>\$100,000	
Healthcare	>\$100,000	
Information Technology ⁵	>\$1,000,000	One level above the assessing official

¹ The contract thresholds for CPARS 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.

² Only required if there is a significant disagreement between the assessing official and the contractor on the assessment.

³ (Or equivalent individual) responsible for program, project, or task/job order execution (see paragraph 1.4 for AFMC guidance).

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

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

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

SECTION B - RESPONSIBILITIES ASSIGNED

3. Responsibilities

Major Commands, Direct Reporting Units, Wing Commanders, LGCs, are responsible for overseeing the implementation of this document for the business sectors, and for the overall implementation of the CPARS process in their respective organizations.

4. Field Activity Responsibilities. The installation commander or vice-commander of each field activity will:

- 4.1 Implement this instruction by assuring training requirements are satisfied for focal points and reviewing officials; establishing processes to monitor the integrity (e.g., Quality) of the report, soliciting input from the contractor on non-system reports regarding the areas to be evaluated in block 18a of the CPARS automated form and monitoring timely completion of CPARS. 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 Air Force Contract Reporting System (J001) with CPARS actually submitted.
- 4.1.1 Register all new contracts meeting the thresholds identified in Table 1 in the Air Force CPARS AIS within 30 days after contract award with the information for blocks 1-14 of the CPARS form.
- 4.2 Establish a CPAR focal point. The activity focal point is responsible for the collection, distribution, and control of CPARS. This CPAR focal point will assist the assessing official in implementing this instruction by providing training and other administrative assistance to ensure that reports are timely and in compliance with this instruction. See paragraphs 1.4 and 8.4 for specific guidance on CPAR focal point responsibilities when two centers are involved with the same contract.
- 4.3 Obtain CPARS for source selection from the Past Performance Information Retrieval System (PPIRS).
- 4.4 Ensure timely completion of reports by assessing officials (see paragraph 1.3). The assessing official is responsible for evaluating contractor performance. The assessing official has overall responsibility for execution and achievement of program goals.
- 4.5 Ensure timely review of CPARS by reviewing officials whenever there are significant disagreements between the assessing official and contractor concerning proposed CPAR ratings. The reviewing official provides the check-and-balance needed to ensure report integrity, especially when there are significant differences between the assessing official and the contractor (see paragraph 7.6.1).

SECTION C - CPAR PROCEDURES

5. CPARS Automated Information System (AIS)

- 5.1 Automation of collection and retrieval of Past Performance Information (PPI) is critical towards reducing the impact on limited resources and for sharing PPI across the services. SAF/AQC has directed the use of the Navy CPARS AIS by all Air Force activities. The CPARS AIS has connectivity with the Federal PPI warehouse (<http://www.ppirs.gov/>) so that PPI can be shared across Services. With the CPARS AIS, CPARS are prepared, submitted, and retrieved on an on-line, password protected, secure web site located at <http://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 "requirements" page that describes hardware and software required, security access levels, security features, how to obtain a user account and technical service support, and lists Frequently Asked Questions with answers on automation and Air Force policy.
 - 5.2.4 Link to the CPARS guide and the DoD PPI Guide.
 - 5.2.5 Link to the automated CPARS procedures manual.
 - 5.2.6 Link to CPARS Computer Based Training.
 - 5.2.7 Access Request form for a Focal Point.
 - 5.2.8 Access Request form for a Source Selection Official.
 - 5.2.9 Software Release history.
 - 5.2.10 Air Force automated metrics (updated quarterly).
- 5.3 CPARS AIS process
 - 5.3.1 Data entry - Full automation (Paperless). The CPARS process follows a defined workflow in which access levels are assigned to individual participants on a contract-by-contract basis based on the portion of the workflow for which they are responsible. The CPARS AIS supports complete processing of CPAR reports in an on-line environment.

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

6. Frequency of Reporting

6.1 Initial Reports. An initial CPAR is required for new contracts meeting the criteria of paragraph 2 above, and which have a period of performance greater than 365 days. The initial CPAR must reflect evaluation of at least the first 180 days of performance under the contract, and may include up to the first 365 days of performance. For contracts with a period of performance of less than 365 days, see “Final Reports” (See Paragraph 6.4).

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

6.3 Out-of-Cycle Reports

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

6.3.2 Prior to an assessing official departing (or contract being transferred to another organizational element within the contracting activity), the assessing official should complete an informational CPAR if at least four months have elapsed since the last CPAR was completed. This informational form need not be processed through the contractor and CPAR reviewing official; rather, it should be passed to the succeeding assessing official for background information for completing the next CPAR. Under no circumstances will an *informational* CPAR be finalized in the CPARS AIS.

6.3.3 Generally, no more than two CPARs per year should be completed on a contract. Out-of-cycle CPARs do not alter the annual reporting requirement. For example, if the normal CPAR period of performance ends on 31 October and an out-of-cycle CPAR is completed which covers a performance period that ends on 1 May, the next intermediate CPAR report is still required to cover the period of performance from 1 November to 31 October of that same year. This period of performance overlap is only permitted when an out-of-cycle CPAR report has been prepared.

6.4 Final Report. A final CPAR will be completed upon contract completion, transfer of program management responsibility outside the original buying activity, delivery of the final major end

item on contract, or completion of the period of performance. Final Reports are to be prepared on all contracts meeting the thresholds established in Table 1 with a period of performance of less than 365 days. The final CPAR does not include cumulative information, but is limited to the period of contractor performance occurring after the preceding CPAR.

- 6.5 Addendum Assessments. Addendum assessment reports may be prepared, after the final past performance evaluation, to record contractor's performance relative to contract close-out, warranty performance and other administrative requirements (e.g., final indirect cost proposals, technical data, etc.).

7. Preparing and Processing Reports

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

NOTE FOR AFMC: The System Program Director (SPD) or Product Group Manager for systems and Program Manager for all other acquisitions is responsible for preparing, reviewing, signing, and processing the CPAR. (See Attachments 2 and 3 for instructions on preparing reports). As a practical matter, the SPD in systems may delegate the preparation, review, and processing of the individual CPARs to the individual program managers. For example, the person completing some of the evaluation areas, could be the day-to-day technical manager, but this person would not be authorized to sign as the assessing official. For Base Operating Support (BOS) contracts, it may not be desirable for the Program Manager to prepare/sign the CPAR. Local processes will be established to provide for appropriate preparation or signature authority for BOS CPARs.

7.2 Completion of CPAR

- 7.2.1 Systems. As suggested above, the assessing official (see paragraph 1.3) responsible for the contract being reviewed prepares the documentation and assessment in coordination with the project team. This assessment should be based on multifunctional input from specialists (including ACOs) familiar with the contractor's performance.

NOTE: For AFMC, the assessing official should request input from the applicable Air Logistics Center as part of the multifunctional input referenced above. The System Program Director or Product Group Manager should ensure user input is provided via the program office integrated product team.

- 7.2.2 Services. Within 30 days after contract award, the assessing official will solicit input from the contractor regarding the discrete activities of functions to be assessed in Block 18a of the CPAR form. (These discrete activities should be individually listed and evaluated in this block). This is a recommended agenda item for the post-award conference. These discrete activities may be amended during the performance of the contract. The assessing official, however, should again solicit the contractor's input and must notify the contractor of any changes in a timely manner.

- 7.2.2.1 The assessing official prepares the Service-CPAR based on information for which he or she is personally cognizant and inputs received from ACOs and task or individual activity monitors. The assessing official may use the CPARs AIS Form, or some other means to obtain inputs. Task or individual activity monitors must fully substantiate and support each rating provided. When the assessing official does not properly support a score, the assessing official will discuss that rating with the task monitor to arrive at a consensus assessment. The assessing official will be the final determinant for individual task and overall assessment for each CPAR category. Nothing in this paragraph is intended to discourage open dialogue between assessing official and the contractor about performance on individual tasks throughout the performance period of each task.
- 7.2.3 Operations Support, Information Technology, S&T, and Fuels. Use guidance, as applicable, cited under paragraph 7.2.2 and 7.2.2.1 to complete CPARs.
- 7.2.4 Supporting narrative rationales for all 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 the timely identification of issues in controversy, as well as problems and successes with subcontractors. The ratings and supporting narrative rationales for the ratings of how well the contractor worked with the government to identify and resolve issues should focus on the contractor's cooperation in identifying and resolving issues without regard to the means of resolution of the issue. Contracting agencies should not lower an offeror's past performance evaluation based solely on its having filed claims under the Contract Disputes Act or bid protests under the Competition in Contracting Act. Questions or comments may be directed to the ADR Advisory Team.
- 7.2.5 Other contractors, such as advisory and assistance services contractors, may provide factual input as project team members, however, under no circumstances should they be allowed to write CPARs or have access to completed CPARs. To prevent possible conflict of interest issues, use of such contractors in support of CPARs should be very rare or limited in scope.
- 7.3 Narrative comments for both the assessing official and the contractor 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.
- 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 and Program Office is strongly encouraged for all meetings.

7.5 CPAR Review and Approval Process

- 7.5.1 The assessing official must notify the contractor being evaluated when a CPAR is ready for contractor review in the CPARS AIS [See FAC 97-12]. Local processes may require review by the activity CPAR focal point and/or reviewing official prior to sending the CPAR to the contractor. Hand delivery (with receipt) of paper copies of CPARS, in conjunction with face-to-face discussions, is also authorized. If requested by the contractor, certified mail or other methods of ensuring receipt are also acceptable. Meetings with contractor management to discuss CPAR ratings are recommended and may be pre-arranged by the Government or at the request of the contractor (see paragraph 7.5.2.6). If the contractor requests hand delivery or mail as the method of transmittal, a transmittal letter must accompany the CPAR. A sample letter can be found under Best Practices on the CPARS website. (Note: Paragraph 7.5.2.4 should be used in lieu of paragraph c of the sample letter.)
- 7.5.2 Transmittal Letter. The transmittal letter must provide the following guidance to the contractor (local processes will stipulate the levels of review and transmittal):
- 7.5.2.1 Protect the CPAR as “For Official Use Only/Source Selection Information – See FAR 3.104.” After review, transmit the CPAR back to the originating office marked and handled as “source selection information.” Request return of the CPAR by certified mail or some other controlled method.
- 7.5.2.2 The contractor must strictly control access to the CPAR while in the contractor’s organization.
- 7.5.2.3 The contractor must ensure the CPAR is never released to persons or entities outside the contractor’s control.
- 7.5.2.4 Prohibit the contractor’s use of or reference to CPAR data for advertising, promotional material, pre-award surveys, production readiness reviews, or other similar purposes.
- 7.5.2.5 Advise the contractor that comments are optional but are due to the originating office within 30 calendar days after receipt. The contractor may provide comments in response to the assessment, or sign and return the assessment without comment. If the contractor elects not to provide comments, he or she should acknowledge receipt of the CPAR electronically or by signing/dating Block 23 of the form and return the CPAR to the originating office. Comments should be focused on the assessing official’s narrative and provide views on causes and ramifications of the assessed performance. Contractor comments are subject to the same limitations set out in paragraph 7.3.
- 7.5.2.6 Advise that if the contractor desires a meeting to discuss the CPAR, it must be requested, in writing, no later than 7 calendar days from the receipt of the CPAR. This meeting will be held during the contractor’s 30-day review period. Assessing Officials are encouraged to foster communication between the Government and contractor about their CPARS evaluations during the entire CPAR process.

- 7.5.3 If the contractor does not complete blocks 22-23 in the AIS or return the hardcopy CPAR within the allotted 30 days, the assessing official may then finalize the CPAR. Block 22 should be annotated: "The report was delivered/received by the contractor on (date). The contractor neither signed nor offered comment in response to this assessment."
- 7.5.4 The CPAR is complete if the contractor agrees with the assessment and so annotates in Block 22. No further review is required.
- 7.5.5 After receiving and reviewing the contractor's comments on the CPAR, the assessing official may revise the assessment, including the narrative. The assessing official will notify the contractor of any revisions made to a report as a result of the contractor's comments. Such a revised report will not be sent to the contractor for further comment. The contractor will have access to both the original and revised reports in the CPARS AIS.
- 7.5.5.1 Revised CPARs should be noted "Revision to CPAR for period (insert period covered by report)," followed by the program title and phase of acquisition. Completely revise Block 18 and 19 to reflect the current ratings and explain only the revised ratings in Block 20. The assessing official (see paragraph 1.3) will then finalize Blocks 1-21. All revised CPARs must be forwarded to the reviewing official for final review.
- 7.6 The CPAR will be sent to the reviewing official if there is significant disagreement on ratings between the assessing official and the contractor or if the assessing official chooses to revise the assessment as a result of the contractor's comments. In this case, the assessing official will provide the reviewing official with an explanation of that decision, including instances where the assessing official does not change the assessment as a result of the contractor's comments.
- 7.6.1 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. In cases where the reviewing official is required to sign the CPAR, it will be considered complete when the CPAR is signed.
- 7.7 To facilitate future CPAR preparation, the assessing official may retain CPAR copies and working papers associated with CPAR evaluations. However, all retained CPAR copies and working papers must be marked "For Official Use Only/Source Selection Information - See FAR 3.104" and handled accordingly.
- 7.8 All records created under this document will be retained and disposed of according to AFI 37-138, Records Disposition-Procedures and Responsibilities and AFMAN 37-139, Records Disposition Schedule. CPAR data will be mailed according to the requirements for transmitting "source selection information" (see AFFARS 5315.207(b) and FAR 3.104).
- 7.9 The reporting requirements in this paragraph are exempt from licensing according to paragraph 3.16, AFI 33-324, The Information Collections and Reports Management Program, Controlling Internal, Public, and Interagency Air Force Information Collections.

NOTE: AFMC Classified CPARs for Special Access Programs will be distributed to HQ AFMC/DRJ and the program's cognizant PEO or DAC.

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. Focal points are also responsible for training including training contractors on CPARS. While focal points are specifically not responsible for the timely submission or content of CPARS reports, they can be a ready command resource for information regarding input and retrieval of CPARS information.

8.2 Access to entering CPAR 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.

NOTE: Access to AFMC SAP classified contracts may be requested through HQ AFMC/DRJK, DSN 787-5538. Information contained in the CPAR is available for all source selections; however, data may be sanitized as applicable.

8.3 CPAR focal points at each activity will be responsible for tracking and suspending CPARs as they become due. Notice will be provided; however, this does not relieve the assessing officials of the responsibility for processing reports in a timely manner.

NOTE: For systems contracting, the focal points will notify the PM at least 120 days prior to the CPAR due date, according to local processes.

8.4 The CPAR focal point at each activity is responsible for monitoring the status of late reports. Local processes should be established for the focal point to notify the activity Commander or PEO, if applicable, of reports more than 30 days overdue. (See Paragraph 1.4 when more than one activity is involved.)

NOTE: For AFMC - The Integrated Weapons System Management (IWSM) policy might result in CPARs originating at one center (where the contracting office is located), but being forwarded to another center for final signature. When such CPARs are completed, it is the responsibility of the CPAR focal point at the originating center to enter these CPARs into the automated database. The CPAR focal point at the originating center also assumes all the other responsibilities of a CPAR focal point.

8.5. Each CPAR focal point will file a paper copy of the signed CPARs and all attachments as FOUO/source selection sensitive information. CPARs for a given contract will also be retained for 3 years beyond the end of the period covered by the report on the final CPAR in the AIS. (Note CPAR can be electronically signed.)

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" according to AFI 37-131, Freedom of Information Act Program, FAR 3.104, and AFFARS 5315.207(b). CPARs have the unique characteristic of always being pre-decisional in nature. They will always be

source selection information because they will be in constant use to support ongoing and future source selections. This pre-decisional 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, and 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 PPIRS know this. 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. (See AFFARS 5315.207(b))

9.2.2 External Government Protection

- 9.2.2.1 Due to the sensitive and confidential nature of CPARs, disclosure of finalized CPAR data to contractors other than the contractor that is the subject of the report, or other entities outside the government, is not authorized. A contractor will be granted access to its CPARs maintained in the CPARS AIS.
- 9.2.2.2 On those occasions when a Freedom of Information Act (FOIA) request is received for CPAR records, the unit FOIA office must refer the request to the CPAR focal point for coordination.

10. Use of CPARS in Source Selection. CPARs provide an assessment of the ongoing performance of contractors. Each report consists of a narrative evaluation by the assessing official, the contractor's comments, if any, relative to the assessment and the reviewing official's acknowledged consideration and reconciliation of significant discrepancies between the assessing official's evaluation and the contractor's comments. Source selection officials using the Federal PPIRS may retrieve CPARs by using that system.

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

12. References:

- 12.1 Department of Defense (DoD) Guide to Collection and Use of Past Performance Information. May 1999
- 12.2 USD (AT) Memorandum dated 20 November 1997, "Collection of Past Performance Information in the Department of Defense"
- 12.3 USD (AT) DP Memorandum dated 29 January 1999, "Class Deviation -- Past Performance"

Attachments

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

ATTACHMENT 1

BUSINESS SECTORS

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

Key Business Sectors



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

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

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

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

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

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

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

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

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



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

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

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

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

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



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

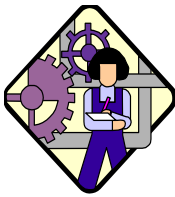
Generally, includes all computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources.

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

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

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

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



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

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

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

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

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

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

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

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

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

Unique Business Sectors (CPARS not applicable)



Architect - Engineering Services: Professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed or approved by a person licensed, registered, or certified to provide such services. These services include, research, planning, development, design, construction, alteration, or repair of real property. Incidental services include studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications (drawings, specifications and other data for and preliminary to the construction), value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manual, and other related services. (Use Architect-Engineer Contract Administration Support System (ACASS) for past performance collection 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 must 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 must be limited to relevant information as determined by the Source Selection team. Requests for PPI must be tailored to each procurement during the source selection process, with emphasis placed on the expertise of key personnel.

ATTACHMENT 2

FORM AND INSTRUCTIONS FOR COMPLETING A SYSTEMS CPAR

ATTACHMENT 2

SYSTEMS CPAR FORM

FOR OFFICIAL USE ONLY (When Filled In)

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

FOR OFFICIAL USE ONLY (When Filled In)

ATTACHMENT 2

SYSTEMS CPAR FORM (continued)

FOR OFFICIAL USE ONLY (When Filled In)

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

FOR OFFICIAL USE ONLY (When Filled In)

ATTACHMENT 2

INSTRUCTIONS FOR COMPLETING A SYSTEMS CPAR FORM

A2.1 The Systems Business Sub-Sectors are Aircraft, Shipbuilding, 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. Obtain assistance from the contracting officer to ascertain the DUNS, FSC, and NAICS or refer to blocks B5A, B12A, and B12D of the DD350, Individual Contracting Action Report located in the official contract file.

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

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/interim, or final report. If this is an out-of-cycle report, check "intermediate". If this is a report to record contractor performance relative to contract close-out or other administrative requirements, check "Addendum."

A2.4 **Block 3 - Period of Performance Being Assessed.** State the period of performance covered by the report (dates must be in MM/DD/YY format). In no instance should a period of evaluation include previously reported effort (i.e., CPARs are not cumulative or overlapping). CPAR assessments for "intermediate/interim" 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.** Self-explanatory.

A2.5.1 **Block 4b – DoD Business sector and Subsector.** Identify the DoD System business sector and subsector, Aircraft, Shipbuilding, Space, ordnance, Training Systems, Ground Vehicles, 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.

A2.8.1 **Block 7b. - Phone Number.** Self-explanatory.

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

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 not indicated elsewhere, include the cutoff date for the CPR or C/SSR used. If CPR or C/SSR data is not available, estimate percent complete by dividing the number of months elapsed by total number of months in contract period of performance and multiplying by 100. In the event an indefinite delivery (ID) contract is utilized, divide the dollars obligated through the end of the reporting period by the dollar value listed in Block 12 and multiply by 100.

A2.12 **Block 11 - Awarded Value.** Total value of contract including unexercised options and orders. (For IDIQ contracts, enter total estimated value of unexercised options and orders).

A2.13 **Block 12 - Current Contract Dollar Value.** State the current funded amount including options of the contract as of the report date. For incentive contracts, state the target price or total estimated amount.

A2.14 **Block 13 - Basis of Award.** Identify the basis of award by placing an "X" in the appropriate box.

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

A2.16 **Block 15 - Key Subcontractors and Description of Effort Performed.** Identify subcontractors performing either a critical aspect of the contracted effort or more than 25 percent of the dollar value of the effort. Provide a description of the effort being performed.

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

A2.18 **Block 17 - Contract Effort Description.** Provide a complete description of the contract effort that identifies key technologies, components, subsystems, and requirements. This section is of critical importance to future performance risk assessment groups (PRAGs) and source selection authorities. The description should be detailed enough to assist a future PRAG in determining the relevancy of this program to their source selection. Also, keep in mind that users of this information

may not understand program jargon. It is important to address the complexity of the contract effort and the overall technical risk associated with accomplishing the effort. For intermediate CPARs, a brief description of key milestone events that occurred in the review period may be beneficial (e.g., critical design review (CDR), functional configuration audit (FCA)), as well as, major contract modifications during the period. For task/delivery order contracts, state the number of tasks issued during the period, tasks completed during the period, and tasks that remain active. For contracts that include multiple functional disciplines or activities, separate them into categories to: (1) reflect the full scope of the contract, and (2) allow grouping of similar work efforts within the categories to avoid unnecessary segregation of essentially similar specialties or activities. Each category or area should be separately numbered, titled and described within Block 17 to facilitate cross-referencing with the evaluation of the contractor's performance within each category in Blocks 18 and 19.

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, data, 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 below in Figure A2.1, "Evaluation Ratings."

A2.19.9 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.

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.* The Overall Assessment Rating at the element level by the assessing official should be arrived after taking into account the criticality, level of risk, or difficulty of the work in the sub-elements to the success of the program. The sub-element assessments that are the most critical, have the greater risk, or are most difficult to perform should more strongly influence the overall assessment.

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

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. 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. As an example, this block may be used to address security issues such as compliance with the National Industrial Security Program Operation Manual (NISPOM, formerly the DOD Industrial Security Manual); program protection planning; or system security engineering management requirements. An assessment of provisioning line items may also be addressed here.

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 (to include timely identification of issues in controversy), 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 and women-owned business participation goals.

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

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. This should also include the use of Earned Value Management (EVM) when applicable as a management tool. 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 contract. 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 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. (This is an optional field.)

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 Narrative (See Paragraph 1.3 for definition of Assessing Official). 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 or might not, probably would or definitely would) award to him today given that I had a choice”.

A2.27 Block 21 - Assessing Official Signature (See Paragraph 1.3). The name title, organization and code, phone number and date of the Program Manager Assessing Official will go in this block. The assessing official "signs and dates" the form prior to making it available to the contractor for review. (See paragraph 7.5 for guidance on sending the CPAR to the contractor for review and comment.)

A2.28 Block 22 - Contractor Comments. At the option of the contractor.

A2.29 Block 23 - Contractor Representative Signature. Self-explanatory.

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. Self-explanatory. (See 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 SERVICES, INFORMATION TECHNOLOGY, OR OPERATIONS SUPPORT CPAR

ATTACHMENT 3

SERVICES, INFORMATION TECHNOLOGY, AND OPERATIONS SUPPORT CPAR FORM

FOR OFFICIAL USE ONLY (When Filled In)

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

FOR OFFICIAL USE ONLY (When Filled In)

* Not applicable to Operations Support

ATTACHMENT 3

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

FOR OFFICIAL USE ONLY (When Filled In)

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

FOR OFFICIAL USE ONLY (When Filled In)

ATTACHMENT 3

INSTRUCTIONS FOR COMPLETING A SERVICES, INFORMATION TECHNOLOGY, OR OPERATIONS SUPPORT 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. Obtain assistance from the contracting officer to ascertain the DUNS, FSC, and NAICS or refer to blocks B5A, B12A and B12D of the DD350, Individual Contacting Action Report located in the official contract file.

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

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.

A3.2 Block 2 - Type Report. Indicate whether, in accordance with section C, paragraph 6, the CPAR is an initial, intermediate/interim, or final report. If this is an out-of-cycle report, check "intermediate". If this is a report to record contractor performance relative to contract closeout or other administrative requirements, check "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/YY format). In no instance should a period of evaluation include previously reported effort (i.e., CPARs are not cumulative or overlapping). CPAR assessments for "intermediate/interim" 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 and Order Number.** Self-explanatory. If an order is issued under a Basic Ordering Agreement (BOA) state BOA number and order number under the BOA.

A3.4.1 **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, and Base Supplies.

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.

A3.7.1 **Block 7b - Phone Number.** Self-explanatory.

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

A3.9 **Block 9 - Contract Completion Date.** State current contract completion period including any authorized extensions, such as options that have been exercised.

A3.10 **Block 10 - N/A.** Not applicable.

A3.11 **Block 11 - Awarded Value.** Total estimated value of contract including unexercised options and orders, and for IDIQ contracts, the total estimated value of unexercised options and orders.

A3.12 **Block 12 - Current Contract Dollar Value.** State the current funded amount including options of the contract as of the report date, including options of the contract as of the report date. For incentive contracts, state the target price or total estimated amount.

A3.13 **Block 13 - Basis of Award.** Identify the basis of award by placing an "X" in the appropriate box.

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

A3.15 **Block 15 - Key Subcontractors and Description of Effort Performed.** Identify the subcontractors and provide a short description of the effort that they are performing. If possible, include the amount of subcontract costs of the total contract effort. Discussion of the prime contractor's management of the subcontractor should be included in Block 18d - Business Relations. State whether the contractor met small/small disadvantaged and women-owned business participation goals.

A3.16 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).

A3.17 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.

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

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

A3.18.5 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.

A3.18.6 The assessing official (see paragraph. 1.3) should use customary industry quantitative measures where they are applicable if the contract is for commercial products.

A3.18.7 Ratings will be in accordance with the definitions described below in Figure A3.1.

A3.18.8. 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.

A3.19 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). List and assess any subelements to indicate different efforts where appropriate.

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 paragraph. 1.3) must be flexible in how contractor success is measured; e.g., using data from field reliability and maintainability and failure reports, user comments and acceptance rates, and scrap and rework rates. These quantitative indicators may be useful later, for example, in source selection evaluations, in demonstrating continuous improvement, quality and reliability leadership that reflects progress in total quality management. Assess the contractor's control of the overall production process to include material control, shop planning and control, and statusing.

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

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

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.

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.

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).

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

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

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

Figure A3.1 – Evaluation Ratings

A3.20 Block 18b - Schedule. Assess the timeliness of the contractor against the completion of the contract, task orders, milestones, delivery schedules, and administrative requirements (e.g., efforts that contribute to or effect the schedule variance).

This assessment of the contractor's adherence to the required delivery schedule should include the contractor's efforts during the assessment period that contributes to

or effect the schedule variance. This element applies to contract closeout activities as well as contract performance. Instances of adverse actions such as the assessment of liquidated damages, or issuance of Cure Notices, Show Cause Notices, and Delinquency Notices are indicators of problems which may have resulted in variance to the contract schedule and should therefore be noted in the evaluation.

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.

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?

A3.22 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 (to include timely identification of issues in controversy), customer satisfaction, timely award and management of subcontracts, and whether the contractor met small/small disadvantaged and women-owned business participation goals.

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

A3.23 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?

A3.24 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.

A3.24.1 Use Block 18f in those instances where the assessing official (see paragraph. 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.

A3.25 **Block 19 - N/A.** Not applicable.

A3.26 **Block 20 - Assessing Official Narrative** (see paragraph 1.3 for definition of Assessing Official). 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 paragraph. 1.3) for the assessment may include customer/field surveys or evaluation of contractor reports. The PCO/ACO must be contacted to ensure that all applicable data has been incorporated. Block 20 comments may be up to 16,000 characters (approximately 3 pages in a word document in CPARS AIS).

A3.26.1 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 or might not, probably would or definitely would) award to him today given that I had a choice”.

A3.27 **Block 21 - Assessing Official Signature.** The assessing official "signs and dates" the form prior to making it available to the contractor for review. (See paragraph 7.5. for guidance on sending the CPAR to the contractor for review and comment.)

A3.28 **Block 22 - Contractor Comments.** Contractor comments are optional (see paragraph 7.5.2.5).

A3.29 **Block 23 - Contractor Representative Signature.** Self-explanatory.

A3.30 **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.

A3.31 **Block 25 - Reviewing Official Signature.** Self-explanatory. See paragraph 1.4 and Table 1 for guidance as to who may act as the reviewing official.

ATTACHMENT 4

AIR FORCE CPARS POINTS OF CONTACT (POCs)

ATTACHMENT 4

LIST OF AIR FORCE CPARS POCs

SECRETARY OF THE AIR FORCE **(CONTRACTING)**

SAF/AQC

1060 Air Force Pentagon
Washington DC 20330-1060
(703)588-7062, DSN 425-7062

MAJOR COMMANDS

Air Combat Command

ACC/LGC
130 Douglas Street, Suite 210
Langley AFB VA 23665-2791
(757) 764-5373, DSN 574-5373

Air Education & Training Command

AETC/LGC
555 E. Street East
Randolph AFB TX 78150-4440
(210) 652-2821, DSN 487-2821

Air Force Materiel Command

AFMC/PK
4365 Chidlaw Road, Suite 6
Wright-Patterson AFB OH 45433-5006
(937) 257-6057/4657, DSN 787-6057/4657

Air Force Reserve Command

HQ AFRC/LGC
155 2d Street
Robins AFB GA 31098-1635
(912) 327-1610, DSN 497-1610

Air Force Space Command

AFSPC/LGC
150 Vandenberg Street, Suite 1105
Peterson AFB CO 80914-4350
(719)554-2652/5498, DSN 692-2652/5498

Air Force Special Operations Command

AFSOC/PKM
100 Bartley Road, Ste 224
Hurlburt Field, FL 32544-5273
(850) 884-2042, DSN 579-2042

Air Mobility Command

AMC/LGC
402 Scott Drive, Unit 2A2
Scott AFB IL 62225-5308
(618) 229-4384, DSN 770-4384

Pacific Air Force

PACAF/LGC
25 E Street, Suite I-326
Hickam AFB HI 96853-5427
DSN 449-5516 x303

United States Air Forces – Europe

USAFE/LGC
Unit 3050, Box 110
APO AE 09094-0110 Ramstein, GE
DSN 314-480-2224

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Air Force Academy (USAFA)

10 Air Base Wing
10 ABW/LGC
8110 Industrial Drive, Suite 200
USAF Academy CO 80840-2315
(719) 333-2934, DSN 333-2934

11th Wing

11 CONS/LGC

110 Luke Avenue, Room 200
Bolling AFB DC 20332-0305
202-767-8107, DSN 297-8107

Air Force Operational Test and Evaluation Center (AFOTEC)

8500 Gibson Blvd SE
Kirtland AFB, NM 87117-5558
(505) 846-2455, DSN 246-2455

Air Force Materiel Command

Special Access Program

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Wright Patterson AFB, OH 43433-5006
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