

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



**November 2012**

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

The Federal Acquisition Regulation (FAR) requires that contractor performance information be collected (FAR Part 42) and used in source selection evaluations (FAR Part 15). Source selection officials rely on clear and timely evaluations of contractor performance to make informed business decisions when awarding government contracts and orders. This information is critical to ensuring that the Federal government only does business with companies that provide quality products and services in support of the agency's missions. In July 2009, the Office of Federal Procurement Policy (OFPP) issued a memorandum on *Improving the Use of Contractor Performance Information*<sup>1</sup> to reinforce the need to collect, report on and use the past performance information. The Administrator of the Office of Federal Procurement Policy identified the Contractor Performance Assessment Reporting System (CPARS) as the Federal Governmentwide solution for collection of contractor performance information. As of October 1, 2010, those agencies using the former National Institutes of Health Contractor Performance System (CPS) have transitioned to CPARS.

In OFPP's January 21, 2011 memorandum, *Improving Contractor Past Performance Assessments: Summary of the Office of Federal Procurement Policy's Review, and Strategies for Improvement*, the Administrator confirmed the requirement to using CPARS and also offered additional steps and strategies for improving the collection and reporting of quality past performance information into CPARS<sup>2</sup>.

The CPARS process establishes procedures for the collection and use of Past Performance Information (PPI) for all contracts/orders exceeding the thresholds listed in [Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official." CPARS-generated PPI is one of the tools used to communicate contractor strengths and weaknesses to source selection officials and Contracting Officers. Communication between the Government and contractor during the performance period is encouraged. The contractor performance evaluation contained in the CPARS is a method of *recording* contractor performance and is not the primary method for *reporting* performance information to the contractor. CPARS should be an objective report of the performance during a period against the contract/order requirements. Information in CPARS represents the contractor's performance appraisal; therefore the information to support the evaluation (including the rating and narrative to explain the rating) should accurately depict and correspond to the contractor's performance. Usage of the automated CPARS collection capability is aimed at reducing reliance on paper, improving the business process, and increasing efficiency. CPARS collects contractor performance information and passes it to the Past Performance Information Retrieval System (PPIRS), the Governmentwide performance information repository where it can be retrieved by Federal Government Agencies. The CPARS

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<sup>1</sup> [http://www.whitehouse.gov/sites/default/files/omb/assets/procurement/improving\\_use\\_of\\_contractor\\_perf\\_info.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/procurement/improving_use_of_contractor_perf_info.pdf)

<sup>2</sup> [http://www.whitehouse.gov/sites/default/files/omb/procurement/contract\\_perf/PastPerformanceMemo-21-Jan-2011.pdf](http://www.whitehouse.gov/sites/default/files/omb/procurement/contract_perf/PastPerformanceMemo-21-Jan-2011.pdf)

Automated Information System (AIS) collection tool and other CPARS information can be accessed at <https://www.cpars.gov>. The website also includes a comprehensive user manual that describes system functionality, including email notifications. For additional assistance, contact the Customer Support Desk at (207) 438-1690, or email: [webptsmh@navy.mil](mailto:webptsmh@navy.mil)

All CPARS information is treated as “For Official Use Only/Source Selection Information” in accordance with FAR 2.101 and 3.104 and 42.1503. A Contractor Performance Assessment Report (CPAR) is source selection information because it supports ongoing source selections. It contains sensitive data concerning a contractor’s performance under a specific business arrangement as covered by the FAR. A CPAR has the unique characteristic of always being pre-decisional in nature. Distribution of CPARS will be made solely through use of PPIRS at <http://www.ppirs.gov/>. Access to the CPARS AIS and other performance information is restricted to those individuals with an official need to know.

The agencies that participated in the conversion effort of this guide from a DoD guide to a Governmentwide guide include the Office of Federal Procurement Policy, Department of Defense, Department of Energy, Department of Homeland Security, Department of the Interior, Department of State, General Services Administration, and United States Agency for International Development. Comments on this guide may be submitted to the CPARS Program Office at [webptsmh@navy.mil](mailto:webptsmh@navy.mil). Comments that require a change to the guide will be approved by the CPARS/PPIRS/FAPIIS Configuration Control Board.

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

The guide will be maintained electronically on the CPARS Web site, at <https://www.cpars.gov>.

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## Section A – Guidance

### 1.0 Introduction

This document identifies roles and responsibilities, and provides guidance and procedures for systematically assessing contractor performance as required by Federal Acquisition Regulation (FAR) Part 42.15. This document pertains only to the CPARS module and not the Architect-Engineer Contract Administration Support System (ACASS), Construction Contractor Appraisal Support System (CCASS), and Federal Awardee Performance and Integrity Information System (FAPIIS) modules. For descriptions of CPARS technical functionality, workflow, and flowcharts, see the CPARS User Manual<sup>3</sup>. For ACASS and CCASS policy, see the Department of Defense (DoD) ACASS and CCASS Policy Guides<sup>4</sup>. For FAPIIS information, refer to FAPIIS training at [https://www.cpars.gov/allapps/cpartnrg/webtrain/webtrain\\_all.htm](https://www.cpars.gov/allapps/cpartnrg/webtrain/webtrain_all.htm).

### 1.1 Background

CPARS is a paperless contractor evaluation system.. Use of the CPARS for the thresholds found in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official” is mandatory. This ensures that evaluations will be entered into the CPARS database and provide a centralized data repository of contractor performance information. Paper copies of the evaluations are to be used only for classified and special access program contracts.

### 1.2 Purpose

The primary purpose of the CPARS is to ensure that current, complete and accurate information on contractor performance is available for use in procurement source selections. This is accomplished through the Past Performance Information Retrieval System (PPIRS). Completed performance evaluations are used as a resource in awarding best value contracts and orders to contractors that consistently provide quality, and on-time products and services that conform to contractual requirements. Information collected from contracting officers in PPIRS is used by agency source selection officials and contracting officers from across the government in making award decisions. It is imperative for the CPAR to include detailed, quality<sup>5</sup> written information because each CPAR submitted to PPIRS is used to effectively communicate contractor strengths and weaknesses to source selection officials. The Contracting Officer should use information available in PPIRS and other sources of information outlined in FAR 9.105-1(c) to support responsibility determinations of prospective contractors. Senior Government officials and contractors may also use the information derived from the CPARS for their own management purposes.

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<sup>3</sup> The CPARS User Manual is available at [https://www.cpars.gov/cparsfiles/pdfs/CPARS\\_User\\_Manual.pdf](https://www.cpars.gov/cparsfiles/pdfs/CPARS_User_Manual.pdf).

<sup>4</sup> The DoD ACASS Policy Guide is available at <https://www.cpars.gov/cparsfiles/pdfs/ACASSPolicyguide.pdf>. The DoD CCASS Policy Guide is available at <https://www.cpars.gov/cparsfiles/pdfs/CCASSPolicyGuide.pdf>.

<sup>5</sup> The CPARS website includes a quality checklist, see Appendix 6.

The CPAR collects the assessment of a contractor's performance, both strengths and weaknesses, providing a record of performance against a unique contract award or order. Each evaluation must include detailed and complete statements about the contractor's performance and be based on objective data (or measurable, subjective data when objective data are not available) supported by program<sup>6</sup> and contract/order management data ([see paragraph 1.4](#)). [Attachments 3](#) and [4](#) to this document contain the specific areas to be evaluated for Systems and Non-Systems contracts/orders. Performance expectations to be evaluated in the CPAR should be addressed in the Government and contractor's initial post-award meeting and should be shared with the Contracting Officer's Representative (COR), or Contracting Officer's Technical Representative (COTR).

### **1.3 Responsibility for Completing CPARs**

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

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 perspectives are captured on the CPAR form. The opportunity to review/comment on the CPAR by the designated Government and contractor personnel together makes a complete CPAR.

In the event there are multiple evaluations on one contract/order due to geographically separated organizations, the AO of the office or organization with the preponderance of the effort (based on largest dollar value) on the contract/order will consolidate the multiple evaluations and provide a consensus evaluation and rating of the performance prior to forwarding to the contractor.

### **1.4 CPAR Evaluation Methodology**

The value of a CPAR to a future source selection team is inextricably linked to the care taken in preparing a quality, timely, and detailed narrative that accurately reflects the contractor's performance under an award. . In order to have useful information available the next time an award is imminent, it is of the utmost importance that the AO submits a rating consistent with the definitions of each rating and thoroughly describes the circumstances surrounding a rating. The definitions of each rating, together with related guidance for preparing the narrative, are provided in the Evaluation Ratings Definitions found in [Attachment 2](#).

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<sup>6</sup> Throughout this document, whenever "program" is used, it means the program, project, or requirement for which the procurement was made.



Each evaluation must be based on objective data (or measurable, subjective data when objective data are not available) supportable by program and contract/order management records. The following sources of data should be considered:

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

Subjective evaluations concerning the cause or ramifications of the contractor's performance may be provided; however, speculation or conjecture should not be included.

## **1.5 Uses of Summary CPAR Data**

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. Further analysis of data from the CPARS database may be accomplished by the CPAR Focal Point for Government use but is not authorized for release outside the Government.

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

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

## **1.7 Summary of Past Performance Related Systems and Reporting Metrics for each System**

- Architect Engineer Contract Administration Support System (ACASS) – A module of CPARS which collects and manages past performance evaluations for Architect-Engineer contracts as required by FAR 42.1502.
- Construction Contractor Appraisal Support System (CCASS) – A module of CPARS which collects and manages past performance evaluations for Construction contracts as required by FAR 42.1502.
- Contractor Performance Assessment Reporting System (CPARS) – Collects and manages past performance evaluations as required by FAR 42.1502. CPARS is composed of three modules; CPARS, ACASS, and CCASS. The CPARS module contains evaluations for Systems and Non-Systems contracts. The ACASS module contains evaluations for Architect-Engineer contracts. The CCASS module contains evaluations for Construction contracts.
- Federal Awardee Performance and Integrity Information System (FAPIIS) – Contains information to support award decisions to entities with a history of proven performance and business integrity. FAPIIS contains information on Terminations for Default, Terminations for Cause, Terminations for Material Failure to Comply, Defective Pricing Actions, Non-Responsibility Determinations, Administrative Agreements, and DoD Determinations of Contractor Fault as required by FAR 9.105, 9.406-3, 9.407-3, and 42.1503, and DFARS 209.105-2.
- Past Performance Information Retrieval System (PIRS) – Single, authorized application to retrieve contractor performance information. PIRS consists of two components, Report Card (RC) and Statistical Reporting (SR). Both components support the FAR requirement to consider past performance information prior to making a contract award in accordance with FAR Parts 9, 13, 15, 36, and 42.

## **Section B - Applicability and Scope**

### **2.0 Business Sectors and Dollar Thresholds**

Contractor performance information must be collected, and a CPAR completed, on contracts/orders meeting the simplified acquisition threshold in FAR 42.15. For DoD contracts/orders, reference [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official” for applicable business sectors and dollar thresholds. The AO may elect to complete CPARs below the FAR 42.15 threshold or the thresholds in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official.” The nature of the effort to be acquired will determine whether a Systems or Non-Systems CPAR is required (Systems or Non-Systems). If a given contract/order contains a mixture of effort types, the contracting activity will determine which business sector is appropriate based upon the contract/order dollar value of the preponderance of the effort.

## **2.1 CPARS for Indefinite-Delivery Contracts, Basic Ordering Agreements (BOAs) and Blanket Purchase Agreements (BPAs)**

The AO at the contracting or requiring activity must complete a CPAR in accordance with the reporting thresholds cited in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official.” For indefinite-delivery contracts and BPAs, the office issuing the contract or agreement will determine whether CPARs will be completed:

- On each order
- On each order meeting the FAR threshold and combining all other orders into one CPAR
- By combining all orders into one CPAR, regardless of their dollar value

In cases where each order is below the reporting threshold and, by combining the orders, they add up to the reporting threshold, complete a CPAR at the basic contract or agreement level in CPARS, provided that a single ordering/requiring activity exists and the effort on each order is similar. Combining orders into one CPAR is generally not feasible when the requiring activities differ, when contracts are used by multiple activities or agencies, or when individual orders could be significantly different. When orders are combined, the narrative describing the contractor's performance on each order, both positive and negative, must be included so that the breadth and quality of information is available for source selection official use.

For BOA orders, a CPAR should only be completed on each order meeting the reporting threshold.

If a consolidated CPAR for all orders is created, the period of performance for the evaluation should be based on the effective date/award date of the basic contract and each subsequent, exercised option year period. Where possible, each order number and title should be included in Block 17. Narrative must be provided on the contractor's performance on each order (in Block 20) so that the breadth and quality of information on the order is available for source selection official use.

If separate CPARs for any single orders are created, the period of performance for the evaluations will be based on the effective date/award date of each individual order.

### **2.1.1 CPARs for Orders Placed Against Another Agency's Indefinite Delivery Vehicle, Including Federal Supply Schedules, Government Wide Acquisition Contracts, and Multiple Agency Contracts**

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

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

CPARs should be prepared on contracts/orders for joint ventures. When a joint venture is formed, a unique DUNS number is used which is, different from those of the individual companies that formed the joint venture. A single CPAR will be prepared for the joint venture using that DUNS. If there is a teaming arrangement on a contract where a specific joint venture is not formed, the CPAR is only prepared on the specific prime contractor identified on the contract. All other team members are considered subcontractors to the prime contractor. See Section 2.10 to address subcontractor performance.

## **2.3 Classified and Special Access Programs (SAPs)<sup>7</sup>**

Performance evaluations on classified and SAP contracts/orders are not exempt from past performance reporting requirements. Performance assessment reports on classified programs should be processed in accordance with program security requirements. Copies of classified performance assessment reports will be maintained and distributed in accordance with agency procedures.

## **2.4 Section 8(a) Direct Awards (FAR Section 19)**

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

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

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

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<sup>7</sup> 32 CFR 154.17: (DOD) A sensitive program, approved in writing by a head of agency with original top secret classification authority, that imposes need-to-know and access controls beyond those normally provided for access to confidential, secret, or top secret information. The level of controls is based on the criticality of the program and the assessed hostile intelligence threat. The program may be an acquisition program, an intelligence program, or an operations and support program. Also called SAP.

Evaluators should list the Licensed Blind Operator and Third Party Agreement Holder in Block 15, Key Subcontractors and Description of Effort Performed, since the preponderance of the effort under awards through the RSA is performed by the Licensed Blind Operator and the Third Party Agreement Holder. Additionally, the DUNS number for the Licensed Blind Operator and the Third Party Agreement Holder must be included in Block 15. By completing the information as outlined above, subsequent searches in PPIRS will allow source selection officials to obtain performance information when searching by SLA, Licensed Blind Operator or Third Party Agreement Holder.

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

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

Evaluators should list the Canadian subcontractor performing the work in Block 15, Key Subcontractors and Description of Effort Performed, since the Canadian subcontractor performs the award to the CCC. Additionally, the DUNS number for the Canadian subcontractor (if available) should be included in Block 15. By completing the information as outlined above, subsequent searches in the PPIRS will allow source selection officials to obtain performance information when searching by CCC or the Canadian subcontractor.

## **2.7 Awards under the AbilityOne Program**

Awards under the AbilityOne Program are exempt from CPARS reporting (with the exception of DoD awards) in accordance with FAR 42.1502. DoD awards under the AbilityOne Program should have annual performance evaluations completed on them if they meet or exceed the evaluation threshold in [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official” per [OSD Memorandum 2012-O0018 Class Deviation-Past Performance Evaluation Requirements dated September 20, 2012<sup>8</sup>](#).

## **2.8 Undefined Contractual Actions (UCAs)**

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

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<sup>8</sup> <http://www.acq.osd.mil/dpap/policy/policyvault/USA005502-12-DPAP.pdf>

## **2.9 Subcontractor Evaluations**

The Government does not complete CPARs evaluations on subcontractors. However, evaluation of a contractor's performance should include information on the ability of a prime contractor to manage and coordinate subcontractor efforts, if applicable, as well as compliance with statutory requirements of the Small Business Subcontracting Program. According to FAR 42.1502, Past performance evaluations shall include an assessment of contractor performance against, and efforts to achieve, the goals identified in the small business subcontracting plan when the contract includes the clause at [52.219-9](#), Small Business Subcontracting Plan.

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

In cases where the requiring activity and contracting activity are in separate agencies, it is recommended that the two agencies come to an agreement, preferably in writing, as to which agency is responsible for writing the CPAR prior to award and should so specify in the contract/order to ensure the CPAR is completed.

## **Section C – Responsibilities Assigned**

### **3.0 Responsibilities**

#### **3.1 Federal Agencies**

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

#### **3.2 Department Point of Contact**

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

- Obtaining Department Point of Contact access to CPARS
- Assigning of Agency Points of Contact

Other best practices include:

- Serving on CPARS Configuration Control Board
- Monitoring to ensure effective implementation of the CPARS process
- Implementing an effective CPARS training approach

### **3.3 Agency Point of Contact**

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

- Obtaining Agency Point of Contact access to CPARS by contacting the Department Point of Contact
- Coordination and submittal of subordinate organization CPARS Focal Points to the CPARS Program Office
- Providing metrics for management, as requested

Other best practices include:

- Evaluating quality and compliance metrics of subordinate organizations
- Assistance to subordinate organization CPARS Focal Points (e.g., training, monitoring and policy)
- Reviewing and providing subordinate organization issues to the CPARS Focal Point and/or the CPARS Program Office

### **3.4 Contracting or Requiring Office**

The contracting or requiring office should:

- Establish procedures to implement CPARS across the organization, including:
  - Developing training requirements for Focal Points (described in section 3.5), Assessing Official Representatives (AORs), AOs, ROs, and contractors
  - Monitoring the timely completion of reports, report integrity (e.g., quality of reports),
  - Overall CPAR system administration
  - Monitoring submittal requirements by dollar value threshold. This should be monitored by review of the Auto Register function in CPARS available at Agency POC and Focal Point access levels.
- Establish a CPAR Focal Point
- Register all new contracts/orders meeting the thresholds identified in [Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official" in the CPARS AIS within 30 calendar days after contract/order award with the information for blocks 1-14 of the CPAR form. Registering the contract/order will establish the record and facilitate subsequent CPARS reporting.

### **3.5 CPARS Roles and Responsibilities**

#### **3.5.1 CPARS Focal Point**

The CPARS Focal Point provides overall support for the CPARS process for a particular organization, to include registering contracts, set up and maintenance of user accounts,

and general user assistance. Each organization may assign as many Focal Points as required based on volume of CPARS eligible contracts and workload. The CPARS Focal Point will be designated by completing a [Focal Point Access Request Form](#) located at the CPARS web site and obtaining coordination/approval from the Agency Point of Contact authority (if applicable). Once approved by the Agency Point of Contact, the Focal Point's user account will be created by the CPARS Program Office. The CPARS Focal Point must be a Government employee. Contractors, including advisory and assistance support service contractors and personal services contractors, are not allowed to perform this function. Systems duties of the Focal Point include:

- Registering the contract/order in CPARS within 30 calendar days of award using the auto-registration function or by completing the basic contract/order information in Blocks 1-14
- Assigning access authorization for Government and contractor personnel (complete contract/order authorization access based on information from the Contracting Officer, Program/Project Manager, AO and contractor personnel authorized to appoint a designated representative)
- CPARS account management and maintenance (e.g., access changes)
- Control and monitoring of CPARS, including the status of overdue evaluations.

Other best practices include:

- Ensuring all users are properly trained in accordance with Department/Agency policy
- Ensuring that CPARS access by Reservists does not result in a conflict of interest or the appearance of a conflict of interest
- Local processes should be established for the Focal Point to notify the organization's management, if applicable, of reports more than 30 calendar days overdue
- Establishing processes to monitor the integrity (e.g., quality) of the report

While the CPARS Focal Point is not directly responsible for the timely submission or content of CPARS reports, they are a resource for information regarding input of CPARS information. A best practice is for the CPARS Focal Point to track and suspense CPARS as they become due. However, this does not relieve the AOs of the responsibility for processing quality reports in a timely manner.

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

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

- Manually registering contract information for specific contracts/orders within 30 calendar days after award (if determined by the contracting activity that this



responsibility belongs to an AOR). If the Focal Point has auto registered the contract/order, then the AOR does not need to register the contract/order.

- Providing a timely, accurate, quality, and complete narrative. Refer to the quality checklist at the CPARS website.

Other best practices include:

- Take the applicable CPARS module web-based training to include the Quality and Narrative Writing web-based training
- Coordinating, off-line, to determine which AOR will select “Validate and Send to the Assessing Official” since any AOR has that capability (once that choice is selected, AORs are no longer able to input evaluation information)
- Assisting the AO or RO, as necessary

### 3.5.3 Assessing Official (AO)

The AO is responsible for contracting or overall program execution and is responsible for preparing (see [Attachments 3](#) and [4](#) for instructions on preparing report), reviewing, signing, and processing the CPAR. The AO must be a Government employee. Normal Public Key Infrastructure (PKI) and UserID/password authorization access in the CPARS and its requirement for 128-bit encryption is equivalent to signature. The CPAR should be completed not later than 120 calendar days after the end of the contract or order evaluation period. AOs are encouraged to discuss contract/order performance with the contractor during the performance period and CPAR process. System duties of the AO include:

- Ensuring that the contract/order is registered in CPARS
- Reviewing evaluation information provided by the AORs
- Input of evaluation information
- Forwarding the Government evaluation information to the contractor (check with local policy whether the RO or Contracting Officer should be forwarded a copy prior to its submittal to the contractor)
- Reviewing comments from the designated contractor representative once the evaluation has been returned by the contractor or after 30 calendar days have lapsed
- Modifying the CPAR comments and/or ratings after review of contractor comments, as determined by the AO. After receiving and reviewing the contractor’s comments on the CPAR, the AO may revise the evaluation, including the narrative. The AO will notify the contractor of any revisions made to a report as a result of the contractor’s comments. Such a revised report will not be sent to the contractor for further comment. The contractor will have access to both the original and revised reports in the CPARS when the Government finalizes the evaluation.
- Forwarding evaluations to the RO which are in disagreement or when requested by the contractor or, in the alternative,
- Completing the evaluation if it does not require further RO review by closing the evaluation.

Other best practices include:

- Take the applicable CPARS module web-based training to include the Quality and Narrative Writing web-based training
- Ensuring performance input from program management, technical, functional, quality assurance, contracting and other end users of the product or service is included in the evaluation
- Ensuring frequent communication with the contractor throughout the performance period
- **Quality review of the entire evaluation**
- Coordinating the CPAR with the Contracting Office or Officer when the AO is not the Contracting Officer.

#### **3.5.4 Designated Contractor Representative**

The contractor should designate representatives to whom the evaluations will be sent automatically and electronically. The name, title, e-mail address and phone number of the designated contractor representative shall be obtained by the AO who will, in turn, provide that information to the CPARS Focal Point for authorization access. Any changes in designated contractor personnel shall be the sole responsibility of the contractor to inform the AO and the CPARS Focal Point. The designated contractor representative has the authority to:

- Receive the Government evaluation from the AO
- Review/comment/return the evaluation to the AO within 30 calendar days. If the contractor desires a meeting to discuss the CPAR, it must be requested, in writing, no later than seven calendar days from the receipt of the CPAR. This meeting will be held during the contractor's 30-calendar day review period
- Request RO review

#### **3.5.5 Reviewing Official (RO)**

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

- Provide narrative comment (the RO's comments supplement those provided by the AO; they do not replace the ratings/narratives provided by the AO)
- Sign the CPAR (at this point, it is considered final and is posted in the CPARS and is available for source selection official use in the PPIRS)
- It is also a best practice to coordinate the CPAR with the Contracting Officer when the AO or RO are not the Contracting Officer.

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

<u>Business Sector</u>	Dollar Threshold <sup>1</sup>	Reviewing Official <sup>2</sup>
<b>Civilian Agencies (excludes DoD):</b>		
<b>All Business Sectors (Systems and Non-Systems)</b>	>Simplified Acquisition Threshold	One level above the Contracting Officer, as determined by Department or Agency policy
<b>DoD Services and Agencies:</b>		
<b>Systems</b> (includes new development and major modifications)	>\$5,000,000	One level above the PM <sup>3</sup>
<b>Non-Systems</b>		
<b>Operations Support</b>	>\$5,000,000 <sup>4</sup>	One level above the AO
<b>Services</b>	>\$1,000,000	One level above the AO
<b>Information Technology</b>	>\$1,000,000	One level above the AO
<b>Ship Repair and Overhaul</b>	>\$500,000	One level above the AO
<b>Health Care</b>	>Simplified Acquisition Threshold	One level above the AO
<b>Fuels</b>	>Simplified Acquisition Threshold	One level above the AO
<p><sup>1</sup>The contract/order thresholds for CPAR collection (see FAR 42.1502) apply to the “aggregate” value of contracts/orders; that is, if a contract’s/order’s original award value were less than the applicable threshold but subsequently the contract/order was modified and the new value is greater than the threshold, then evaluations are required to be made, starting with the first anniversary that the contract’s/order’s face value exceeded the threshold. If the total contract/order value including unexercised options and orders (for IDIQ contracts, total estimated value of unexercised options and orders) is expected to exceed the collection threshold, initiate the collection process at the start of the contract/order. Buying activities may choose to collect performance evaluations for awards below these thresholds.</p> <p><sup>2</sup>Only required when the contractor indicates non-concurrence with the CPAR or if otherwise requested by the contractor during the 30-calendar day comment period.</p> <p><sup>3</sup>(Or equivalent individual) responsible for program, project or task/job order execution.</p> <p><sup>4</sup>For contracts/orders under the reporting thresholds, buying activities should continue to accumulate contractor performance data from existing management information systems, which already capture data on timeliness of delivery and quality of product or service (an example of a performance information collection systems is the Past Performance Information Retrieval System - Statistical Reporting Module).</p>		

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

### **4.0 Past Performance Reporting Requirement: Compliance and Quality Information**

The FAR requires agencies to report on and assess a contractor's performance at the time the work under the contract or order is completed. The FAR stipulates that past performance evaluations be conducted on contracts and orders over the simplified acquisition threshold. In addition, AOs will prepare past performance evaluations for construction contracts of \$650,000 or more and architect-engineer services contracts of \$30,000 or more. Construction and architect-engineer contracts and orders terminated for default must be documented in CCASS and ACASS regardless of dollar value.

This FAR requirement supports the Government's goal of awarding contracts to contractors that deliver the best value and quality products or services in support of Government agency missions. Agencies are required to follow the FAR and seek approval from OFPP before deviating from the FAR<sup>9</sup>.

A CPAR includes four evaluation areas to rate the contractor's performance - *Quality, Timeliness, Cost Control, and Management or Business Relations*. A quality written narrative is important, as it not only supports the rating assigned, but it also assists the source selection official in making an informed source selection and/or award decision. The narrative that supports the rating should be concise and provide sufficient supporting rationale that addresses questions about the performance that may be asked by a source selection team.

### **4.1 Interim Reports**

#### **4.1.1 Interim Reports: New Contracts/Orders**

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

#### **4.1.2 Annual Interim Reports**

Interim CPARs are also required at least every 12 months throughout the entire period of performance of the contract/order up to the final report. An interim CPAR is also required:

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<sup>9</sup> DoD's Class Deviation – Past Performance Reporting, see <http://www.acq.osd.mil/dpap/policy/policyvault/USA005502-12-DPAP.pdf>

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

#### **4.1.3 Note on Interim Reports**

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

## **4.2 Final Report**

A final CPAR should be completed upon contract/order completion or delivery of the final major end item on contract/order. Final Reports should be prepared on all contracts/orders meeting the thresholds established in [Table 1](#) "Business Sector, Dollar Threshold and Reviewing Official" with a period of performance of less than 365 calendar days. The final CPAR does not include cumulative information but is limited to the period of contractor performance occurring after the preceding CPAR. The CPAR Focal Point should coordinate with the AO any extensions when special circumstances arise.

## **4.3 Addendum Reports**

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

## **Section E – Administrative Information**

### **5.0 Records Retention and Disposition**

All hard copies and working papers generated as part of the CPARS process will be retained and disposed of in accordance with agency procedures and any applicable program security requirements. Refer to [paragraph 2.3](#) of this guide for classified and SAP programs.

## 5.1 CPAR Markings and Protection

Those granted access to the CPARS 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 2.101 and 3.104” according to Freedom of Information Act Program, FAR 3.104, and 41 USC Sect. 423. As CPARs contain Source Selection/Business Sensitive performance information, transmitting CPARs as an attachment to email is prohibited.

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

### 5.1.1 Internal Government Protection

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 source selection files. (See FAR 3.104 and 41 USC Sect. 423)

### 5.1.2 External Government Protection

Due to the sensitive nature of CPARs, disclosure of CPAR data to any contractor, including advisory and assistance contractors, other than the contractor that is the subject of the report, or other entities outside the Government, is strictly prohibited. Only the contractor that is the subject of the report will be granted access to its CPARs maintained in the CPARS by the Focal Point.

## 5.2 Freedom of Information Act (FOIA)

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

## 5.3 Use of CPARS in Source Selection

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

## **5.4 CPARS Forms**

For information on the CPARS Forms, see [Attachments 3](#) and [4](#) of this guide, or visit <https://www.cpars.gov>. The type of goods or services procured to be acquired will determine which type of CPAR is required (Systems or Non-systems). If a given contract/order contains a mixture of types of efforts, the contracting activity will determine which business sector is appropriate based upon the contract/order dollar value of the preponderance of the effort.

## **Section F – Reports**

### **6.0 To-Do List**

#### **6.0.1 To-Do List Access Levels**

Agency Point of Contact, Focal Point, Alternate Focal Point, Assessing Official, Assessing Official Representative, Contractor Representative, Senior Contractor Representative, Reviewing Official

#### **6.0.2 To-Do List Summary**

In the case of the Assessing Official, Assessing Official Representative, Contractor Representative, and Reviewing Official, the To Do List enables the user to see any evaluations that are awaiting their action in the workflow. In the case of the Agency Point of Contact, the To Do List enables the user to see any evaluations that are awaiting action from users within their Organization. In the case of the Focal Point and Alternate Focal Point, the To Do List shows any evaluations that are awaiting action from users that the Focal Point/Alternate Focal Point has created. In the case of the Senior Contractor Representative, the To Do List shows any evaluations that are awaiting action for contracts under their DUNS number.

### **6.1 Focal Point List**

#### **6.1.1 Focal Point List Access Levels**

Department Point of Contact, Agency Point of Contact

#### **6.1.2. Focal Point List Summary**

In the case of the Department Point of Contact, the Focal Point List shows all Focal Points and Alternate Focal Points under the user's Department. In the case of the Agency Point of Contact, the Focal Point List shows all Focal Points and Alternate Focal Points under the user's Organization within a specific Department. The report includes the point of contact information for each Focal Point/Alternate, as well as which modules of CPARS they are active in (i.e., CPARS, ACASS, CCASS, FAPIIS), and the date they last accessed the system.

## **6.2 Auto Register Report**

### **6.2.1 Auto Register Report Access Levels**

Agency Point of Contact, Focal Point, Alternate Focal Point

### **6.2.2 Auto Register Report Summary**

In the case of the Agency Point of Contact, the Auto Register report shows contracts that are eligible for CPARS/ACASS/CCASS reporting and that have not yet been registered. It also displays contracts that were removed from the Auto Register list as well as the Focal Point/Alternate Focal Point that removed them. In the case of the Focal Point and Alternate Focal Point, the Auto Register Report shows contracts that are eligible for CPARS/ACASS/CCASS reporting and that have not yet been registered. The report allows the user to register a contract by selecting the contract number, selecting the proper Organization that the contract belongs to, and clicking a "Register" button. The report also allows the user to remove contracts from the Auto Register List in instances where there is no intent to report on the contract. The Auto Register Report can be run by either Contract Office Code or Contract Number.

## **6.3 CPAR Status Report**

### **6.3.1 CPAR Status Report Access Levels**

Department Point of Contact, Agency Point of Contact, Focal Point, Alternate Focal Point, Contract Data Entry, Assessing Official, Assessing Official Representative, Contractor Representative, Senior Contractor Representative, Reviewing Official

### **6.3.2 CPAR Status Report Summary**

The CPAR Status Report shows all evaluations in the system (excluding those that have been archived) under the user's cognizance. The report can be run by Counts or List of CPARs. The Counts option provides metrics to show how many evaluations are currently at each stage of the CPARS workflow. The List of CPARs option provides a list of each evaluation under the user's cognizance along with its status in the workflow process. The List of CPARs report also includes a list of users for each evaluation and an activity log of actions that occurred on that evaluation. Individual evaluations can be opened and viewed from the report. The List of CPARs can also be shown in a



spreadsheet. The report for the List of CPARs option has many data elements that the user may choose to include such as Award Value, Focal Point, DUNS, and Due Date.

## **6.4 Contract Status Report**

### **6.4.1 Contract Status Report Access Levels**

Department Point of Contact, Agency Point of Contact, Focal Point, Alternate Focal Point, Assessing Official, Assessing Official Representative, Contractor Representative, Senior Contractor Representative, Reviewing Official

### **6.4.2 Contract Status Report Summary**

The Contract Status report shows a list of all contracts/orders (excluding those that have been archived) under the user's cognizance and whether the contract/order is Current, Due (for an evaluation), Overdue (for an evaluation), or Final. The report may be run by either Counts, List of Users, or List of Contracts. The Counts option shows how many contracts/orders there are that are Current, Due, Overdue, or Final under the user's cognizance. The List of Users option shows the individual contracts/orders under the user's cognizance, the individual users that are assigned to each contract/order, each user's point of contact information, whether the contract/order is Current, Due, Overdue, or Final, and the evaluation due date. The List of Contracts option shows the individual contracts/orders under the user's cognizance, whether the contract/order is Current, Due, Overdue, or Final, and the evaluation due date. Under the List of Contracts option, the user may choose to include additional data elements such as Award Date, Award Value, Focal Point, and DUNS. In both the List of Users option and the List of Contracts option, the user may select the individual contract/order number and view all evaluations for that contract/order. Both of these options may also be displayed in a spreadsheet.

## **6.5 Ratings Metrics Report**

### **6.5.1 Ratings Metrics Report Access Levels**

Department Point of Contact, Agency Point of Contact, Focal Point, Alternate Focal Point, Senior Contractor Representative

### **6.5.2 Ratings Metrics Report Summary**

The Ratings Metrics Report displays a summary of the various ratings/grades (i.e., Exceptional, Very Good, Satisfactory, Marginal, Unsatisfactory) for each assessment area on the evaluations under the user's cognizance. For instance, the report would show how many Exceptional ratings there are for the Business Relations category, how many Satisfactory ratings there are for the Schedule category, etc. The Ratings Metrics Report may be run to include all evaluations (except those that have been archived) or for evaluations within a specific date range. In the case of the Department Point of Contact,

the report displays metrics for all evaluations within the user's Department. In the case of the Agency Point of Contact, the report displays metrics for all evaluations within the user's Agency under a particular Department. In the case of the Focal Point and Alternate Focal Point, the report displays metrics for all evaluations for which the Focal Point/Alternate has assigned access. In the case of the Senior Contractor Representative, the report displays metrics for all evaluations under the user's DUNS.

## **6.6 Processing Times Report**

### **6.6.1 Processing Times Report Access Levels**

Department Point of Contact, Agency Point of Contact, Focal Point, Alternate Focal Point

### **6.6.2 Processing Times Report Summary**

The Processing Times Report displays a summary of the time it took to complete evaluations which were finished within the past year. The report is broken down by month and shows the number of evaluations that were completed during that month, as well as how many took less than 120 days to complete and how many took more than 120 days to complete. The report shows the average number of days it took to complete an evaluation during the month, as well as the average number of days it took to complete individual steps in the workflow. The Processing Times Report may be further broken down to show the month's metrics by Contracting Activity, Organization, and Focal Point. In the case of the Department Point of Contact, the report shows metrics for all evaluations under the user's Department. In the case of the Agency Point of Contact, the report shows metrics for all evaluations under the user's Organization within a Department. In the case of the Focal Point and the Alternate Focal Point, the report shows metrics for all evaluations to which the user has authorized access.

## **6.7 CPARS Monthly Metrics**

### **6.7.1 CPARS Monthly Metrics Access Levels**

CCB Distribution List (Email Distribution)

### **6.7.2 CPARS Monthly Metrics Summary**

This report lists the number of contracts, CPARS in process, completed CPARS, total completed and in process CPARS, and the total contract dollar amount broken down by Agency/DoD Service to the contract office level for CPARS.

## **6.8 Total Users by Agency**

### **6.8.1 Total Users by Agency Access Levels**

CCB Distribution List (Email Distribution)

### **6.8.2 Total Users by Agency Summary**

This report lists the number of users in CPARS broken down by Federal vs DoD to the Agency Level.

## **6.9 CPARS Consolidated Monthly Metrics**

### **6.9.1 CPARS Consolidated Monthly Metrics Access Levels**

CCB Distribution List (Email Distribution)

### **6.9.2 CPARS Consolidated Monthly Metrics Summary**

This report lists the number of Government users, Contractor users, registered contracts, total report cards, total completed report cards, percentage of overdue reports, percentage of Assessing Officials reporting the process effective, percentage of Contractors reporting the process effective, percentage of system availability, average help desk resolution time, number of calls to help desk, percentage of system calls to help desk, frequency in types of calls to help desk, in CPARS broken down by Agency and Service.

## **Section G – References**

- 6.0** [Office of Management and Budget Memorandum dated July 29, 2009, “Improving the Use of Contractor Performance Information”<sup>10</sup>](#)
- 6.1** [Office of Management and Budget Memorandum dated January 21, 2011, “Improving Contractor Past Performance Assessments: Summary of the Office of Federal Procurement Policy’s Review, and Strategies for Improvement”<sup>11</sup>](#)

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<sup>10</sup> [http://www.whitehouse.gov/sites/default/files/omb/assets/procurement/improving\\_use\\_of\\_contractor\\_perf\\_info.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/procurement/improving_use_of_contractor_perf_info.pdf)

<sup>11</sup> [http://www.whitehouse.gov/sites/default/files/omb/procurement/contract\\_perf/PastPerformanceMemo-21-Jan-2011.pdf](http://www.whitehouse.gov/sites/default/files/omb/procurement/contract_perf/PastPerformanceMemo-21-Jan-2011.pdf)

## **Key Business Sectors Applicable to All CPARs**

### **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. More specifically-

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

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.)

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.

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).

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

medical research, natural resources, marine fisheries, social services, aeronautics, space, transportation, and mining. Note: Does not include DoD programs. DoD efforts for demonstration, validation, engineering and manufacturing development and operational system development are included under the non-Science and Technology Systems business subsectors above (e.g. aircraft, shipbuilding, space, etc.)

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

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

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

### **Non-Systems**

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

### **Services**

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

Facilities Services: Includes services for grounds maintenance (grass cutting, shrubbery maintenance or replacement, etc.); janitorial services; painting, and making minor repairs to buildings and utilities services, etc.; contracted security and guard services; installation and maintenance of fencing; minor electrical repairs (e.g., replacing outlets, changing light bulbs, etc.), minor road surface repairs (patching cracks, filling in potholes, etc.), relocation of individual telephone lines and connections, snow removal, elevator inspection and maintenance, fire alarm system preventative maintenance and repair, facilities maintenance and management, utilities services. (See Construction for the installation services covered by that sector.)

Professional/Technical & Management Support Services: Includes all consultant and advisory services - those related to scientific, health care services, and technical matters (e.g., engineering, computer software engineering and development), as well as those related to organizational structure, human relations, etc. Includes office administrative support services (e.g., operation of

duplication centers, temporary secretarial support, etc.). Includes Integrated Hardware/Software/Services Solutions, Help Desk, and business continuity services.

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

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

### **Information Technology**

This sector includes any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission or reception of data or information. Generally, includes all computers, ancillary equipment, software, firmware and similar procedures, services (including support services), and related resources. This excludes any military-unique C4I systems and components included under Systems, such as Joint Tactical Information and Distribution System, Aegis, etc. More specifically-

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

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. This also includes information that may provide instructions for computers; data for documentation; and voice, video, and music for entertainment and education. Includes annual software maintenance service plans.

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

## Operations Support

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

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

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

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

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

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

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

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

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

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

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

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

Note: Does not include DoD projects funded by program budget accounts 6.1 (Basic Research), 6.2 (Exploratory Development), and 6.3 (Advanced Technology Development). For DoD, PPI for Science and Technology – Non-Systems 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 – Non-Systems PPI must be limited to relevant information as determined by the Source Selection team. Requests for PPI must be tailored to each procurement during the source selection process, with emphasis placed on the expertise of key personnel.

### **Architect-Engineer and Construction**

Architect-Engineer Services are evaluated in ACASS. Architect-Engineer Services include those professional services of an architectural or engineering nature, as defined by State law, if applicable, which are required to be performed by a person licensed, registered, or certified to provide such services. Construction Services are evaluated in CCASS. Construction includes the construction, alteration, or repair (including dredging, excavating, and painting) of buildings, structures, or other real property.



**Evaluation Ratings Definitions (Excluding Utilization of Small Business)**

<b>Rating</b>	<b>Definition</b>	<b>Note</b>
<b>Exceptional</b>	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.	To justify an Exceptional rating, identify multiple significant events and state how they were of benefit to the Government. A singular benefit, however, could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should have been NO significant weaknesses identified.
<b>Very Good</b>	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.	To justify a Very Good rating, identify a significant event and state how it was a benefit to the Government. There should have been no significant weaknesses identified.
<b>Satisfactory</b>	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.	To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract/order. There should have been NO significant weaknesses identified. A fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract/order.
<b>Marginal</b>	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.	To justify Marginal performance, 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).
<b>Unsatisfactory</b>	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.	To justify an Unsatisfactory rating, identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted the Government. A singular problem, however, 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 evaluation 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.

**Evaluation Ratings Definitions (Utilization of Small Business)**

<b>Rating</b>	<b>Definition</b>	<b>Note</b>
<b>Exceptional</b>	<p>Exceeded all negotiated subcontracting goals or exceeded at least one goal and met all of the other negotiated subcontracting goals for the current period. Had exceptional success with initiatives to assist, promote, and utilize small business (SB), small disadvantaged business (SDB), women-owned small business (WOSB), economically disadvantaged women-owned small business (EDWOSB), HUBZone small business, veteran-owned small business (VOSB) and service disabled veteran owned small business (SDVOSB). Complied with FAR 52.219-8, Utilization of Small Business Concerns. Exceeded any other small business participation requirements incorporated in the contract/order, including the use of small businesses in mission critical aspects of the program. Went above and beyond the required elements of the subcontracting plan and other small business requirements of the contract/order. Completed and submitted Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate and timely manner.</p>	<p>To justify an Exceptional rating, identify multiple significant events and state how they were a benefit to small business utilization. A singular benefit, however, could be of such magnitude that it constitutes an Exceptional rating. Ensure that small businesses are given meaningful, innovative work directly related to the project, rather than peripheral work, such as cleaning offices, supplies, landscaping, etc. Also, there should have been no significant weaknesses identified.</p>
<b>Very Good</b>	<p>Met all of the negotiated subcontracting goals in the traditional socio-economic categories (SB, SDB and WOSB) and met at least one of the other socio-economic goals (EDWOSB, HUBZone, VOSB, SDVOSB) for the current period. Had significant success with initiatives to assist, promote and utilize SB, SDB, WOSB, EDWOSB, HUBZone, VOSB, and SDVOSB. Complied with FAR 52.219-8, Utilization of Small Business Concerns. Met or exceeded any other small business participation requirements incorporated in the contract/order, including the use of small businesses in mission critical aspects of the program. Endeavored to go above and beyond the required elements of the subcontracting plan. Completed and submitted Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate and timely manner.</p>	<p>To justify a Very Good rating, identify a significant event and state how they were a benefit to small business utilization. Ensure that small businesses are given meaningful, innovative work directly related to the project, rather than peripheral work, such as cleaning offices, supplies, landscaping, etc. There should be no significant weaknesses identified.</p>
<b>Satisfactory</b>	<p>Demonstrated a good faith effort to meet all of the negotiated subcontracting goals in the various socio-economic categories for the current period. Complied with</p>	<p>To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor has addressed or taken corrective action. There should have been no significant weaknesses</p>

	FAR 52.219-8, Utilization of Small Business Concerns. Met any other small business participation requirements included in the contract/order. Fulfilled the requirements of the subcontracting plan included in the contract/order. Completed and submitted Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate and timely manner.	identified. A fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract/order.
<b>Marginal</b>	Deficient in meeting key subcontracting plan elements. Deficient in complying with FAR 52.219-8, Utilization of Small Business Concerns, and any other small business participation requirements in the contract/order. Did not submit Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate or timely manner. Failed to satisfy one or more requirements of a corrective action plan currently in place; however, does show an interest in bringing performance to a satisfactory level and has demonstrated a commitment to apply the necessary resources to do so. Required a corrective action plan.	To justify Marginal performance, identify a significant event that the contractor had trouble overcoming and how it impacted small business utilization. A Marginal rating should be supported by referencing the actions taken by the government that notified the contractor of the contractual deficiency.
<b>Unsatisfactory</b>	Noncompliant with FAR 52.219-8 and 52.219-9, and any other small business participation requirements in the contract/order. Did not submit Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate or timely manner. Showed little interest in bringing performance to a satisfactory level or is generally uncooperative. Required a corrective action plan.	To justify an Unsatisfactory rating, identify multiple significant events that the contractor had trouble overcoming and state how it impacted small business utilization. A singular problem, however, could be of such serious magnitude that it alone constitutes an Unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the actions taken by the government to notify the contractor of the deficiencies. When an Unsatisfactory rating is justified, the contracting officer must consider whether the contractor made a good faith effort to comply with the requirements of the subcontracting plan required by FAR 52.219-9 and follow the procedures outlined in FAR 52.219-16, Liquidated Damages-Subcontracting Plan.

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

NOTE 2: For subcontracting plans under the DoD Comprehensive Small Business Subcontracting Plan (Test Program), DFARS 252.219-7004 (deviation), the ratings entered in CPARS shall mirror those assigned by the Defense Contract Management Agency who is responsible for monitoring such plans.

NOTE 3: Generally, zero percent is not a goal unless the Contracting Officer determined when negotiating the subcontracting plan that no subcontracting opportunities exist in a particular socio-economic category. In such cases, the contractor shall be considered to have met the goal for any socio-economic category where the goal negotiated in the plan was zero.

## Instructions for Completing a Systems CPAR

A3.1 The Systems CPAR includes evaluations for Systems, Ship Repair and Overhaul.

A3.2 The Systems Business Sub-Sectors are Aircraft, Shipbuilding, Space, Ordnance, Ground Vehicles, Training Systems, Other Systems or Science and Technology - Systems.

A3.3 **Block 1 - Name/Address of Contractor.** State the name and address of the division or subsidiary of the contractor that is performing the contract/order. Identify the parent corporation (no address required). Identify the DUNS+4 number, Product or Service Code (PSC), and North American Industrial Classification System (NAICS) Code. All codes can be accessed by using the on-screen “lookup” function provided in the electronic form.

A3.4 **Block 2 - Report Type.** Indicate whether the CPAR is an interim, final, or addendum report. If this is a report to record contractor performance relative to contract/order closeout or other administrative requirements, select “Addendum.”

A3.5 **Block 3 - Period of Performance Being Assessed.** State the period of performance covered by the report (dates must be in MM/DD/YYYY format). The initial period of performance should not cover less than six months of actual performance.

A3.5.1 **Period of Performance for Delayed Starts, Protests or Phase-In Periods.** In the case of delayed starts or protests, the initial period of performance may cover more than twelve months of time since contract/order award, but normally no more than twelve months of actual contract/order performance. Initial periods reporting on performance greater than 12 months (such as for phase-in periods) must be approved by the CPAR Focal Point and coordinated with the contractor.

A3.5.2 **Period of Performance for Interim/Final Reports.** CPAR evaluations for interim and final reports should cover a 12 month period of performance. Exceptions to this rule for special circumstances, such as a period of performance that ends one month before contract/order completion or in those instances (up to six months beyond the annual period) where the performance has been extended must be approved by the CPAR Focal Point.

A3.6 **Block 4a - Contract Number.** Use the contract number as identified on the contract, except in the case of BOAs, BPAs, GSA schedule, GWACs/MACs and other agency orders. If an order/call is issued under a BOA, BPA, GSA schedule, GWAC/MAC or other agency contract/agreement, the contract number in CPARS should match the master contract number. The order/call number field should be used to reflect the contract/schedule/agreement number for the order/call.

A3.7 **Block 4b - Business Sector and Sub-Sector.** Identify the System business sector and subsector, Aircraft, Shipbuilding, Space, Ordnance, Ground Vehicles, Training Systems, Other Systems or Science and Technology - Systems.

A3.8 **Block 5 - Contracting Office (Organization).** Identify the contracting office by name.

**A3.9 Block 6 - Location of Contract Performance.** Provide a geographical reference if performance is not at the contractor's location including city, state, and zip code.

**A3.10 Block 7a – Contracting Officer.** Self-explanatory.

**A3.10.1 Block 7b. - Phone Number.** Include commercial phone number in the following format: (XXX)XXX-XXXX.

**A3.11 Block 8a - Contract Award Date.** Identify the date of contract/order award or select the date on the on-screen, pop-up calendar.

**A3.11.1 Block 8b – Contract Effective Date.** Identify the date (MM/DD/YYYY) that actual contract/order performance is set to begin or select the on-screen calendar only if that date is later than Block 8a, Contract Award Date.

**A3.12 Block 9 - Contract Completion Date.** Identify the last possible date of contract/order performance (e.g., the last calendar day of the last option period) or select the date on the on-screen, pop-up calendar.

**A3.13 Block 10 - Contract Percent Complete/Delivery Order Status.** State the current percent of the contract/order that is complete. If Cost Performance Reports (CPR) or Cost/Schedule Status Reports (C/SSR) data is available, calculate percent complete by dividing cumulative Earned Value by Contract Budget Base (CBB) (less management reserve) and multiply by 100. CBB is the sum or negotiated cost plus estimated cost of authorized undefinitized work. If CPR or C/SSR data is not available, estimate percent complete by dividing the number of months elapsed by total number of months in contract/order period of performance and multiplying by 100. In the event an Indefinite Delivery (ID) contract is utilized, estimate the percent complete.

**A3.14 Block 11 - Awarded Value.** Enter the total value of the contract/order, including unexercised options. For delivery/task/job order contracts where orders will be assessed under a single CPAR, enter the maximum ordering amount under the contract, including options. For delivery/task/job order contracts where orders will be assessed on an individual basis, enter the awarded value of the individual order. For BOAs/BPAs where orders/calls will be assessed individually, enter the awarded value of the individual order/call.

**A3.15 Block 12 - Current Dollar Value.** State the current obligated amount including modifications and options that have been exercised. For incentive contracts/orders, state the target price or total estimated amount. For delivery/task/job order contracts where orders will be assessed under a single CPAR, state the total amount obligated on all delivery orders, including modifications. For delivery/task/job order contracts where orders will be assessed on an individual basis, state the current obligated amount of the individual order, including modifications. For BOAs/BPAs where orders/calls will be assessed individually, state the current obligated amount of the individual order/call, including modifications.

A3.16 **Block 13 - Type of Buy.** Identify the basis of award by selecting competitive or non-competitive. If the CPAR is for a single order/call, select the basis of award for that order/call.

A3.17 **Block 14 - Contract Type.** Identify the contract/order type. For mixed contract/order types, select the predominant contract/order type and identify the other contract/order type in the "mixed" block.

A3.18 **Block 15 - Key Subcontractors and Description of Effort Performed.** Identify subcontractors, including DUNS +4 number, performing either a critical aspect of the contracted effort or more than 25 percent of the dollar value of the effort. See [paragraph 2.5](#) and [paragraph 2.6](#) for awards under the Randolph-Sheppard Act and to the Canadian Commercial Corporation, respectively.

A3.19 **Block 16a (Systems) - Program Title.** Provide a short descriptive narrative of the program. Spell out all abbreviations and acronyms.

A3.19.1 **Block 16b (Ship Repair and Overhaul) – Type of Availability.** Identify the type of repair availability being performed; e.g. Docking Selected Restricted Availability (DSRA), Selected Restricted Availability (SLA), Docking Phased Maintenance Availability (DPMA), Phased Maintenance Availability (PMA), Regular Overhaul (ROH), Docking Planned Incremental Availability (DPIA), Planned Incremental Availability (PIA), Restricted Availability (RAV), Technical Availability (TAV), Mid-Term Availability (MTA), Extended Docking Selected Restricted Availability (EDSRA), Planned Restricted Availability (PRA), or other.

A3.20 **Block 17 - Contract Effort Description.** This section is of critical importance to future source selection teams. The description should be detailed enough to assist a future source selection officials in determining the relevance of this program to their source selection. It is important to address the complexity of the contract/order effort and the overall technical risk associated with accomplishing the effort. For interim CPARs, a 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/order modifications during the period. Ensure all acronyms are identified.

Provide a complete description of the contract/order effort that identifies key technologies, components, subsystems, and requirements. For task/delivery/job order contracts, state the number of tasks issued during the period, tasks completed during the period, and tasks that remain active.

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

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

(2) allow grouping of similar work efforts within the categories to avoid unnecessary segregation of essentially similar specialties or activities. Each category or area should be separately numbered, titled and described within Block 17 to facilitate cross-referencing with the evaluation of the contractor's performance within each category in Blocks 18 and 19.

A3.21 **Small Business Utilization.** Answer the following questions:

- Does this contract include a subcontracting plan?
- Date of last Individual Subcontracting Report (ISR) or SF294 / Summary Subcontracting Report (SSR)

A3.22 **Block 18 - Evaluation Areas.** Evaluate each area based on the following criteria:

A3.22.1 Each area evaluation 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 AORs, AOs and other Government specialists familiar with the contractor's performance on the contract/order under review. Such specialists may, for example, be from engineering, manufacturing, quality, logistics (including provisioning), contracting, maintenance, security, etc.

A3.22.2 The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the contractor's performance. For example, if a contractor meets an extremely tight schedule, an exceptional may be appropriate, or meeting a tight schedule with few delinquencies, a satisfactory with a plus sign evaluation may be given in recognition of the inherent schedule risk. When a contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the narrative supporting the Block 18 ratings.

A3.22.3 The CPAR is designed to assess prime contractor performance. In those evaluation areas where subcontractor actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor actions in Block 20.

A3.22.4 Many of the evaluation areas in Block 18 represent groupings of diverse elements. The AO should consider each element and use the area rating to highlight significant issues. In addition, the AO should clearly focus on the contractor's "results" as they may be appropriate for the period being assessed in determining the overall area rating.

A3.22.5 Evaluate all areas which pertain to the contract/order under evaluation unless they are not applicable (N/A).

A3.22.6 When performance has changed from one period to another such that a change in ratings results, the narrative in Block 20 must address each change.

A3.22.7 The AO should use customary industry quantitative measures where they are applicable if the contract/order is for commercial products.

A3.22.8 Ratings will be in accordance with the definitions described in [Attachment 2, "Evaluation Ratings Definitions."](#)

A3.23 **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/order requirements must be assessed within one or more of these sub-elements. The overall rating at the element level is the AO's integrated evaluation as to what most accurately depicts the

contractor's technical performance or progress toward meeting requirements. This evaluation is not a roll-up of the sub-element evaluations.

**A3.23.1 Block 18a(1) - Product Performance.** Assess the achieved product performance relative to performance parameters required by the contract/order.

**A3.23.2 Block 18a(2) - Systems Engineering.** Assess the contractor's effort to transform operational needs and requirements into an integrated system design solution.

A3.23.2.1 Areas of focus should be: the planning and control of technical program tasks, the quality and adequacy of the engineering support provided throughout all phases of contract/order execution, the integration of the engineering specialties, management of interfaces, interoperability, and the management of a totally integrated effort of all engineering concerns to meet cost, technical performance, and schedule objectives.

A3.23.2.2 System engineering activities ensure that integration of these engineering concerns is addressed up-front and early in the design/development process. The evaluation should cover these disciplines: systems architecture, design, manufacturing, integration and support, configuration control, documentation, test and evaluation.

A3.23.2.3 The evaluation for test and evaluation should consider success/problems/failure in developing test and evaluation objectives; planning (ground/air/sea) test, simulations and/or demonstrations; in accomplishing those objectives and on the timeliness of coordination and feedback of the test results (simulations/demonstrations) into the design and/or manufacturing process.

A3.23.2.4 Other activities include: producibility engineering, logistics support analysis, supportability considerations (maintenance personnel/skills availability or work-hour constraints, operating and cost constraints, allowable downtime, turn-around-time to service/maintain the system, standardization requirements), survivability, human factors, reliability, quality, maintainability, availability, inspectability, etc. Although some of these activities will be specifically addressed in other elements/sub-elements (such as product assurance), the focus of the evaluation of systems engineering is on the integration of those specific disciplines/activities.

A3.23.2.5 The evaluation of systems engineering needs to remain flexible to allow the evaluator to account for program-unique technical concerns and to allow for the changing systems engineering environment as a program moves through the program phases, e.g., Engineering and Manufacturing Development, Production.

**A3.23.3 Block 18a(3) - Software Engineering.** Assess the contractor's success in meeting contract/order requirements for all applicable software engineering based activities and processes.

A3.23.3.1 Software engineering activities include, as appropriate, software development (design, code, and unit test); application of reuse, COTS, and other non-developmental software components; integration (including software component integration, system integration and test, and acceptance test support); and sustainment. Software processes include, for example:



software size, effort, and schedule estimation; requirements analysis, development, and management; software configuration management; software risk identification and management; metrics collection and analysis, technical reviews, decision analysis, and software quality assurance and control, each as they specifically address software engineering activities.

A3.23.3.2 Consider the contractor's success with respect to:

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

A3.23.4 **Block 18a(4) - Logistics Support.** Assess the success of the contractor's performance in accomplishing logistics planning. For example, maintenance planning; manpower and personnel; supply support; support equipment; technical provisioning data; training and support; computer resources support; facilities; packaging, handling, storage and transportation; design interface; the contractor's performance of logistics support analysis activities and the contractor's ability to successfully support fielded equipment. When the contract/order requires technical and/or engineering data deliverables, the cognizant cataloging and/or standardization activity comments should be solicited.

A3.23.5 **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 PM or contracting officer must be flexible in how contractor success is measured, e.g., data from design test/operational testing successes, field reliability and maintainability and failure reports, user comments and acceptance rates, improved subcontractor and vendor quality, and scrap and rework rates. These quantitative indicators may be useful later, for example, in source selection evaluations, in demonstrating continuous improvement, quality and reliability leadership that reflects progress in total quality management. Assess the contractor's control of the overall manufacturing process to include material control, shop floor planning and control, status and control, factory floor optimization, factory design, and factory performance.

**A3.23.6 Block 18a(6) - Other Technical Performance.** Assess all the other technical activity critical to successful contract/order performance. Identify any additional evaluation aspects that are unique to the contract/order or that cannot be captured in another sub-element.

**A3.24 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 evaluation period that contribute to or affect the schedule variance. Also, address significance of scheduled events (e.g., design reviews), discuss causes, and assess the effectiveness of contractor corrective actions.

**A3.25 Block 18c - Cost Control. (Not Applicable for Firm-Fixed Price or Firm-Fixed Price with Economic Price Adjustment).** Assess the contractor's effectiveness in forecasting, managing, and controlling contract/order cost. Is the contractor experiencing cost growth or underrun, discuss the causes and contractor-proposed solutions for the cost overruns. For contracts/orders where task or contract sizing is based upon contractor-provided person hour estimates, the relationship of these estimates to ultimate task cost should be assessed. In addition, the extent to which the contractor demonstrates a sense of cost responsibility, through the efficient use of resources, in each work effort should be assessed.

**A3.25.1** Evaluation information regarding performance under a Undefined Contract Action (UCA) including letter contracts and actions where price has not yet been negotiated shall be included in the annual evaluation. If the final negotiated contract/order type is not a cost-type, cost information for the period the UCA was in effect shall be included under the Cost element. If the final negotiated contract/order type is a cost-type, cost information for the entire period of performance shall be included under the Cost rating element. The narrative shall fully explain the contractor's performance during the UCA, including definitization of the contract/order. The contractor's performance under the UCA shall be separately identified but considered in the overall annual ratings.

**A3.26 Block 18d – Overall Management.** This element is comprised of an overall rating and three sub-elements. Activity critical to successfully executing the contract/order must be assessed within one or more of the sub-elements. This overall rating at the element level is the AO's integrated evaluation 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 evaluations.

**A3.26.1 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 UCAs), the contractor's history of reasonable and cooperative behavior, effective business relations, and customer satisfaction. Consider the contractor's responsiveness to the program as it relates to meeting contract/order requirements during the period covered by the report.

**A3.26.2 Block 18d(2) - Subcontract Management.** Assess the contractor's success with timely award and management of subcontracts.

- Assess the prime contractor's effort devoted to managing subcontracts and whether subcontractors were an integral part of the contractor's team.

- Consider efforts taken to ensure early identification of subcontract problems and the timely application of corporate resources to preclude subcontract problems from impacting overall prime contractor performance.

**A3.26.3 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/order; identifies and applies resources required to meet schedule requirements; assigns responsibility for tasks/actions required by contract/order; communicates appropriate information to affected program elements in a timely manner. Assess the contractor's risk management practices, especially the ability to identify risks and formulate and implement risk mitigation plans. If applicable, identify any other areas that are unique to the contract/order, or that cannot be captured elsewhere under the Management element.

A3.26.3.1 Integration and coordination of activities should reflect those required by the Integrated Master Plan/Schedule. Also consider the adequacy of the contractor's mechanisms for tracking contract/order compliance, recording changes to planning documentation and management of cost and schedule control system, and internal controls, as well as the contractor's performance relative to management of data collection, recording, and distribution as required by the contract/order.

**A3.27 Block 18e – Utilization of Small Business.** FAR Subpart 19.7 and 15 U.S.C. 637 contains statutory requirements for complying with the Small Business Subcontracting Program. Assess whether the contractor provided maximum practicable opportunity for Small Business (including Alaska Native Corporations (ANCs) and Indian Tribes) (including Small Disadvantaged Businesses (which also includes ANCs and Indian Tribes), Women Owned Small Businesses, Economically Disadvantaged Women Owned Small Business, HUBZone, Veteran Owned, Service Disabled Veteran Owned Small Business, and ANCs and Indian Tribes that are not Small Disadvantaged Businesses or Small Businesses) to participate in contract/order performance consistent with efficient performance of the contract/order.

A3.27.1 Assess compliance with all terms and conditions in the contract/order relating to Small Business participation (including FAR 52.219-8, Utilization of Small Businesses and FAR 52.219-9, Small Business Subcontracting Plan (when required)). Assess any small business participation goals, to include Ability One goals, which are stated separately in the contract/order. Assess achievement on each individual goal stated within the contract/order or subcontracting plan including good faith effort if the goal was not achieved.

A3.27.2 It may be necessary to seek input from the Small Business specialist or Contracting Officer in regards to the contractor's compliance with these criteria. For DoD, in cases where the contractor has a comprehensive subcontracting plan, request DCMA Comprehensive Subcontracting Plan Manager to provide input including any program specific performance information.

A3.27.3 For contracts/orders subject to a commercial subcontracting plan, the Utilization of Small Business factor should be rated "satisfactory" as long as an approved plan remains in place, unless liquidated damages have been assessed by the contracting officer who approved the

commercial plan (see FAR 19.705-7(h)). In such case, the Utilization of Small Business area must be rated “unsatisfactory”.

A3.27.4 This area must be rated for all contracts and task orders that contain a small business subcontracting goal.

A3.27.5 Ratings will be in accordance with definitions described in [Attachment 2, "Evaluation Ratings Definitions \(Utilization of Small Business\)."](#)

A3.27.6 In accordance FAR 19.705-2(e) a contract may have no more than one subcontracting plan. Evaluations of the utilization of small business are required for contracts and orders placed against basic ordering agreements (BOA), blanket purchase agreements (BPA), or GWAC/MAC if a subcontracting plan is required. Evaluations of utilization of small business for single-agency task orders and delivery orders (to include FSS) are not required and shall not be accomplished unless the contracting officer determines that such evaluations would produce more useful past performance information for source selection officials than that contained in the overall contract evaluation. Execution of any subcontracting plan may be addressed in block 20.

A3.28 **Block 18f - Other Areas.** Specify additional evaluation areas that are unique to the contract/order 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.

A3.28.1 If the contract/order contains an award fee clause, enter "award fee" in the "Other Areas" Block (18f). The AO should translate the award fee earned to adjectival ratings which could prove more useful for using past performance to assess future performance risk in upcoming source selections. If award fee information is included in the CPAR, use Block 20 to provide a description for each award fee. Include the scope of the award fee by describing the extent to which it covers the total range of contract/order performance activities, or is restricted to certain elements of the contract/order.

A3.28.2 If any other type of contract/order incentive is included in the contract/order (excluding DoD contract/order shareline incentives on fixed price or cost-type contracts/orders), it should be reported in a manner similar to the procedures described above for award fee (by entering "Incentive" in Block 18f).

A3.28.3 Use Block 18f in those instances where an aspect of the contractor's performance does not fit into any of the other blocks on the form. As an example, this block may be used to address security issues, provide an evaluation of provisioning line items or other areas as appropriate.

A3.29 **Block 19 - Variance (Contract-to-Date).** If Cost Performance Report (CPR) or Cost/Schedule Status Review (C/SSR) data are available, identify the current percent cost variance to date, the Government's estimated completion cost variance (percent), and the cumulative schedule variance (percent). Indicate the cutoff date for the CPR or C/SSR used.

A3.29.1 Compute current cost variance percentage by dividing cumulative cost variance to date (column 11 of the CPR, column 6 of the C/SSR) by the Earned Value and multiply by 100.

A3.29.2 Compute Variance at Completion (VAC) cost percentage by subtracting the Budget at Completion (BAC) from the Estimate at Completion (EAC) and multiplying by 100. The calculation is  $[VAC=(BAC - EAC)] \times 100$ . The BAC must be the current budget base against which the contractor is performing (including formally established Over Target Baselines (OTB)). If an OTB has been established since the last 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."

A3.29.3 Compute cumulative schedule variance percentage by dividing the Earned Value less Planned Value by Planned Value and multiply by 100. The calculation is  $[(Earned Value - Planned Value)/Planned Value] \times 100$ . If the schedule variance exceeds 15 percent (positive or negative), briefly discuss in Block 20 the significance of this variance for the contract/order effort.

A3.29.4 For additional information on [Variance, see the American National Standards Institute \(ANSI\) Electronic Industries Alliance \(EIA\) Standard for Earned Value Management Systems](#) and the [Department of Defense Earned Value Management Implementation Guide](#).

**A3.30 Block 20 – Assessing Official Narrative** ([see Paragraph 1.4](#)). A factual, detailed narrative is extremely important and required for all evaluations regardless of adjectival rating (e.g., even “satisfactory” ratings require narrative support). Cross-reference the comments in Block 20 to their corresponding evaluation area in Block 18 or 19. Each detailed narrative statement in support of the area evaluation must contain clear and concise objective information that accurately reflects the contractor’s performance under the contract or order. It is also important for the information reported to include current, accurate, and complete statements about the contractor’s performance because this information will be used to assist, inform, and influence future source selection and award decisions. An exceptional cost performance evaluation could, for example, cite the current underrun dollar value and estimate at completion. A marginal engineering design/support evaluation 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/order incentives; or award fee evaluations. The AO’s comments in Block 20 may be up to 24,000 characters (approximately four pages) in the CPARS AIS.

A3.30.1 The AO must select 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.”

**A3.31 Block 21 – Assessing Official Signature.** The AO enters his or her name, title, and organization, phone number (in the following format: (XXX)XXX-XXXX, email address, FAX number, and signs and dates the form prior to making it available to the contractor for review.

A3.32 **Block 22 - Contractor Comments.** Completed at the option of the contractor. The contractor's narrative comments may be up to 24,000 characters (approximately four pages).

A3.33 **Block 23 - Contractor Representative Signature.** The contractor representative reviewing/commenting on the CPAR will enter his or her name, title, phone number, email address, FAX number, and signs and dates the form prior to returning it to the AO.

A3.34 **Block 24 – Reviewing Official Comments.** The RO must acknowledge consideration of any significant discrepancies between the AO evaluation and the contractor's comments. The RO's narrative comments may be up to 16,000 characters (approximately three pages).

A3.35 **Block 25 – Reviewing Official Signature.** The RO will enter his or her name, title, organization, phone number (in the following format: (XXX)XXX-XXXX), email address, FAX number, and date when completing the CPAR. (See [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official” for guidance as to who may act as the RO.)

## **Instructions for Completing a Non-Systems CPAR**

A4.1 All business sectors, except Systems, Ship Repair and Overhaul and construction and architect-engineer, will be completed on this form.

A4.2 **Block 1 - Name/Address of Contractor.** State the name and address of the division or subsidiary of the contractor that is performing the contract/order. Identify the parent corporation (no address required). Identify the DUNS+4 number, Product or Service Code (PSC), and North American Industrial Classification System (NAICS) code. All codes can be accessed by using the on-screen “lookup” function provided in the electronic form.

A4.3 **Block 2 - Report Type.** Indicate whether the CPAR is an interim, final, or addendum report. If this is a report to record contractor performance relative to contract/order closeout or other administrative requirements, select “Addendum.”

A4.4 **Block 3 - Period of Performance Being Assessed.** State the period of performance covered by the report (dates must be in MM/DD/YYYY format). The initial period of performance should not cover less than six months of actual performance.

A4.4.1 **Period of Performance for Delayed Starts, Protests or Phase-In Periods.** In the case of delayed starts or protests, the initial period of performance may cover more than twelve months of time since contract/order award, but normally no more than twelve months of actual contract/order performance. Initial periods reporting on performance greater than 12 months (such as for phase-in periods) must be approved by the CPAR Focal Point and coordinated with the contractor.

A4.4.2 **Period of Performance for Interim/Final Reports.** CPAR evaluations for interim and final reports should cover a 12 month period of performance. Exceptions to this rule for special circumstances, such as a period of performance that ends one month before contract/order completion or in those instances (up to six months beyond the annual period) where the performance has been extended must be approved by the CPAR Focal Point.

A4.5 **Block 4a - Contract Number.** Use the contract number as identified on the contract, except in the case of BOAs, BPAs, GSA schedule, GWACs/MACs and other agency orders. If an order/call is issued under a BOA, BPA, GSA schedule, GWAC/MAC or other agency contract/agreement, the contract number in CPARS should match the master contract number. The order number field should be used to reflect the contract/schedule/agreement number for the order/call.

A4.6 **Block 4b - Business Sector and Sub-Sector.** The Non-Systems sub-sectors are: Professional/Technical and Management Support Services, Repair and Overhaul (excludes ship repair and overhaul), Facilities Services, Transportation and Transportation Related Services, Software, Hardware, Telecommunications Equipment or Services, Mechanical, Structural, Electronics, Electrical, Ammunition, Personnel

Support, Facilities Equipment and Supplies, Fuels, Vehicles and Other Related Equipment, and Science and Technology – Non-Systems.

**A4.7 Block 5 - Contracting Office (Organization).** Identify the contracting office.

**A4.8 Block 6 - Location of Contract Performance.** Provide a geographical reference if performance is not at the contractor's location or at a government owned, contractor operated facility, including city, state, and zip code.

**A4.9 Block 7a – Contracting Officer.** Self-explanatory.

**A4.9.1 Block 7b. - Phone Number.** Include the commercial phone number in the following format: (XXX)XXX-XXXX.

**A4.10 Block 8a - Contract Award Date.** Identify the date of contract/order award or select the date on the on-screen, pop-up calendar.

**A4.10.1 Block 8b – Contract Effective Date.** Identify the date (MM/DD/YYYY) that actual contract/order performance is set to begin or select the on-screen calendar date only if that date is later than Block 8a, Contract Award Date.

**A4.11 Block 9 - Contract Completion Date.** Identify the last possible date of contract/order performance (e.g., the last calendar day of the last option period) or select the date on the on-screen, pop-up calendar.

**A4.12 Block 10 - N/A.** Not applicable.

**A4.13 Block 11 - Awarded Dollar Value.** Enter the total value of the contract/order, including unexercised options. For delivery/task/job order contracts where orders will be assessed under a single CPAR, enter the maximum ordering amount under the contract, including options. For delivery/task/job order contracts where orders will be assessed on an individual basis, enter the awarded value of the individual order. For BOAs/BPAs where orders/calls will be assessed individually, enter the awarded value of the individual order.

**A4.14 Block 12 - Current Contract Dollar Value.** State the current obligated amount including modifications and options that have been exercised. For incentive contracts/orders, state the target price or total estimated amount. For delivery/task/job order contracts where orders will be assessed under a single CPAR, state the total amount obligated on all delivery orders, including modifications. For delivery/task/job order contracts where orders will be assessed on an individual basis, state the current obligated amount of the individual order, including modifications. For BOAs where orders will be assessed individually, state the current obligated amount of the individual order, including modifications.



A4.15 **Block 13 - Type of Buy.** Identify the basis of award by selecting competitive or non-competitive. If the CPAR is for a single order/call, select the basis of award for that order/call.

A4.16 **Block 14 - Contract Type.** Identify the contract/order type. For mixed contract/order types, select the predominant contract/order type and identify the other contract/order type in the "mixed" block.

A4.17 **Block 15 - Key Subcontractors and Effort Performed.** Identify subcontractors, including DUNS +4 number, performing either a critical aspect of the contracted effort or more than 25 percent of the dollar value of the effort. If possible, include the amount of subcontract costs of the total contract/order effort. Discussion of the prime contractor's management of the subcontractor should be included in Block 18d-Business Relations. See [Paragraph 2.5](#) and [Paragraph 2.6](#) for awards under the Randolph-Sheppard Act and to the Canadian Commercial Corporation, respectively.

A4.18 **Block 16 - Program Title.** Provide a short but detailed descriptive narrative of the program that informs the reader of the program's purpose and intent. A good source for this description can be found in the statement of work, requirements document, the acquisition plan, etc. Spell out all abbreviations and acronyms. Identify the type of services (for example, professional services, maintenance, facilities or information technology services).

A4.19 **Block 17 - Contract Effort Description.** Provide a detailed description of the contract/order effort that identifies the key requirements and/or type of effort. This section is of critical importance to future source selection officials. The description should be detailed enough so that it can be used in determining the relevance of this program to future source selections. It is important to address the complexity of the contract/order effort and the overall technical risk associated with accomplishing the effort. Ensure acronyms are identified. For task/delivery order contracts, state the number of orders issued during the period. A good source for this description can be found in the statement of work, requirements document, the acquisition plan, etc.

A4.20 **Small Business Utilization.** Answer the following questions:

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

A4.21 **Block 18 - Evaluation Areas.** Evaluate each area based on the following criteria:

A4.21.1. Each area evaluation must be supported by objective data (or subjective observations) that will be provided in Block 20. Facts to support specific areas of evaluation must be requested from the PM, Contracting Officer and other Government specialists familiar with the contractor's performance on the contract/order under review. Such specialists may, for example include the Contracting Officer's Representative

(COR) for the program and may also be from engineering, manufacturing, quality, logistics (including provisioning), contracting, maintenance, security, data, etc.

A4.21.2 The amount of risk inherent in the effort should be recognized as a significant factor and taken into account when assessing the contractor's performance. When a contractor identifies significant technical risk and takes action to abate those risks, the effectiveness of these actions should be included in the detailed narrative supporting the Block 18 ratings.

A4.21.3 The CPAR is designed to assess prime contractor performance. In those evaluation areas where subcontractor actions have significantly influenced the prime contractor's performance in a negative or positive way, record the subcontractor actions in Block 20.

A4.21.4 Evaluate all areas which pertain to the contract/order under evaluation, unless they are not applicable ("N/A").

A4.21.5 When performance has changed from one period to another such that a change in ratings results, the detailed narrative in Block 20 must address each change.

A4.21.6 The AO should use customary industry quantitative measures where they are applicable if the contract/order is for commercial products.

A4.21.7 Ratings will be in accordance with the definitions in [Attachment 2](#).

A4.21.8. A fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than satisfactory solely for not performing beyond the requirements of the contract/order.

A4.22 **Block 18a - Quality of Product or Service.** Assess the contractor's conformance to contract/order requirements, specifications and standards of good workmanship (e.g., commonly accepted technical, professional, environmental, or safety and health standards). List and assess any sub-elements to indicate different efforts where appropriate. Include, as applicable, information on the following:

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

**For Operations Support:** Assess how successfully the contractor meets program quality objectives such as producibility, reliability, maintainability and inspectability. The AO must be flexible in how contractor success is measured; e.g., using data from field reliability and maintainability and failure reports, user comments and acceptance

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

**A4.23 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 affect the schedule variance).

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

**A4.24 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/order cost. Include, as applicable, the following information:

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

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

**A4.25 Block 18d - Business Relations.** Assess the integration and coordination of all activity needed to execute the contract/order, specifically the timeliness, completeness and quality of problem identification, corrective action plans, proposal submittals, the contractor's history of reasonable and cooperative behavior (to include timely identification of issues in controversy), customer satisfaction, timely award and management of subcontracts. Include, as applicable, information on the following:

- Is the contractor oriented toward the customer?

- Is interaction between the contractor and the government satisfactory or does it need improvement?
- Include the adequacy of the contractor's accounting, billing, and estimating systems and the contractor's management of Government Property (GFP) if a substantial amount of GFP has been provided to the contractor under the contract/order.
- Address the timeliness of awards to subcontractors and management of subcontractors, including subcontract costs. Consider efforts taken to ensure early identification of subcontract problems and the timely application of corporate resources to preclude subcontract problems from impacting overall prime contractor performance.
- Assess the prime contractor's effort devoted to managing subcontracts and whether subcontractors were an integral part of the contractor's team.

**A4.26 Block 18e - Management of Key Personnel (Applicable when the contract/order contains a Key Personnel clause).** Assess the contractor's performance in selecting, retaining, supporting, and replacing, when necessary, key personnel. For example:

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

**A4.27 Block 18f – Utilization of Small Business.** FAR Subpart 19.7 and 15 U.S.C. 637 contains statutory requirements for complying with the Small Business Subcontracting Program. Assess whether the contractor provided maximum practicable opportunity for Small Business (including Alaska Native Corporations (ANCs) and Indian Tribes) (including Small Disadvantaged Businesses (which also includes ANCs and Indian Tribes), Women Owned Small Businesses, Economically Disadvantaged Women Owned Small Business, HUBZone, Veteran Owned, Service Disabled Veteran Owned Small Business, and ANCs and Indian Tribes that are not Small Disadvantaged Businesses or Small Businesses) to participate in contract/order performance consistent with efficient performance of the contract/order.

A4.27.1 Assess compliance with all terms and conditions in the contract/order relating to Small Business participation (including FAR 52.219-8, Utilization of Small Businesses and FAR 52.219-9, Small Business Subcontracting Plan (when required)). Assess any small business participation goals, to include Ability One goals, which are stated separately in the contract/order. Assess achievement on each individual goal stated within the contract/order or subcontracting plan including good faith effort if the goal was not achieved.

A4.27.2 It may be necessary to seek input from the Small Business specialist, Contracting Officer in regards to the contractor's compliance with these criteria. For DoD in cases where the contractor has a comprehensive subcontracting plan, request DCMA Comprehensive Subcontracting Plan Manager to provide input including any program specific performance information.

A4.27.3 For contracts/orders subject to a commercial subcontracting plan, the Utilization of Small Business factor should be rated "satisfactory" as long as an approved plan remains in place, unless liquidated damages have been assessed by the contracting officer who approved the commercial plan (see FAR 19.705-7(h)). In such case, the Utilization of Small Business area must be rated "unsatisfactory".

A4.27.4 This area must be rated for all contracts and task orders that contain a small business subcontracting goal.

A4.27.5 Ratings will be in accordance with definitions described in [Attachment 2, "Evaluation Ratings Definitions \(Utilization of Small Business\)."](#)

A4.27.6 In accordance FAR 19.705-2(e) a contract may have no more than one subcontracting plan. Evaluations of the utilization of small business are required for contracts and orders placed against basic ordering agreement (BOA), blanket purchase agreement (BPA), or GWAC/MAC if a subcontracting plan is required. Evaluations of utilization of small business for single-agency task orders and delivery orders (to include FSS) are not required and shall not be accomplished unless the contracting officer determines that such evaluations would produce more useful past performance information for source selection officials than that contained in the overall contract evaluation. Execution of any subcontracting plan may be addressed in block 20.

A4.28 **Block 18g - Other Areas.** Specify additional evaluation areas that are unique to the contract/order, or that cannot be captured elsewhere on the form. More than one type of entry may be included, but should be separately labeled. If extra space is needed, use Block 20.

A4.28.1 If the contract/order contains an award fee clause, enter "award fee" in the "Other Areas" Block (18g). The AO should translate the award fee earned to adjectival ratings which could prove more useful for using past performance to assess future performance risk in upcoming source selections. If award fee information is included in the CPAR, use Block 20 to provide a description for each award fee. Include the scope of the award fee by describing the extent to which it covers the total range of contract/order performance activities, or is restricted to certain elements of the contract/order.

A4.28.2 If any other type of contract/order incentive is included in the contract/order (excluding DoD contract/order shareline incentives on fixed price or cost-type contracts/orders), it should be reported in a manner similar to the procedures described above for award fee (by entering "Incentive" in Block 18g).

A4.28.3 Use Block 18g in those instances where an aspect of the contractor's performance does not fit into any of the other blocks on the form.

A4.29 **Block 19 – N/A.** Not applicable.

A4.30 **Block 20 - Assessing Official Narrative** ([see Paragraph 1.4](#)). A factual, detailed narrative is required for all evaluations regardless of rating. Cross-reference the comments in Block 20 to their corresponding evaluation area in Block 18. Each detailed narrative statement in support of the area evaluation must contain clear and concise objective information that accurately reflects the contractor's performance under the contract or order. It is also important for the information reported to include current, accurate, and complete statements about the contractor's performance because this information will be used to assist, inform, and influence future source selection and award decisions. An exceptional cost performance evaluation could, for example, cite the current underrun dollar value and estimate at completion. A marginal evaluation could, for example, be supported by information concerning personnel changes or schedule delinquency rate. Key personnel familiar with the effort may have been replaced by less experienced personnel. Sources of the data used by the AO for the evaluation may include customer/field surveys or evaluation of contractor reports. The Contracting Officer should be contacted to ensure that all applicable data has been incorporated. Block 20 comments may be up to 24,000 characters (approximately four pages) in the CPARS AIS.

A4.30.1 The AO must select 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."

A4.31 **Block 21 – Assessing Official Signature.** The AO enters his or her name, title, and organization, phone number (in the following format: (XXX)XXX-XXXX ), email address, FAX number, and signs and dates the form prior to making it available to the contractor for review.

A4.32 **Block 22 - Contractor Comments.** Completed at the option of the contractor. The contractor's narrative comments may be up to 24,000 characters (approximately four pages).

A4.33 **Block 23 - Contractor Representative Signature.** The contractor representative reviewing/commenting on the CPAR will enter his or her name, title, phone number, email address, FAX number, and signs and dates the form prior to returning it to the AO.

A4.34 **Block 24 – Reviewing Official Comments.** The RO must acknowledge consideration of any significant discrepancies between the AO evaluation and the contractor's comments. The RO's narrative comments may be up to 16,000 characters (approximately three pages).

A4.35 **Block 25 – Reviewing Official Signature.** The RO will enter his or her name, title, organization , phone number (in the following format: (XXX)XXX-XXXX), email address, FAX number, and date when completing the CPAR. (See [Table 1](#) “Business Sector, Dollar Threshold and Reviewing Official” for guidance as to who may act as the RO.)

**- A -**

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ACASS	Architect-Engineer Contract Administration Support System
AIS	Automated Information System
ANCs	Alaska Native Corporations
ANSI	American National Standards Institute
AO	Assessing Official
AOR	Assessing Official Representative

**- B -**

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

**- C -**

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C4I	Command, Control, Communication, Computer and Intelligence
CBB	Contract Budget Base
CCASS	Construction Contractor Appraisal Support System
CCB	Configuration Control Board
CCC	Canadian Commercial Corporation
CDR	Critical Design Review
CPAR	Contractor Performance Assessment Report
COR	Contracting Officer Representative
COTR	Contracting Officer Technical Representative
COTS	Commercial Off The Shelf
CPARS	Contractor Performance Assessment Reporting System
CPR	Cost Performance Report
CPS	Contractor Performance System
C/SSR	Cost/Schedule Status Report
CTA	Contractor Team Arrangement

**- D -**

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DCMA	Defense Contract Management Agency
DFARS	Defense Federal Acquisition Regulation Supplement
DOC	Department of Commerce
DoD	Department of Defense
DOI	Department of Interior
DPIA	Docking Planned Incremental Availability
DPMA	Docking Phased Maintenance Availability
DSRA	Docking Selected Restricted Availability
DUNS	Dun & Bradstreet Universal Numbering System

**- E -**

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EAC	Estimate At Completion
ECP	Engineering Change Proposal
EDSRA	Extended Docking Selected Restricted Availability



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EDWOSB	Economically Disadvantaged Women Owned Small Business
EIA	Electronic Industries Alliance
EVMS	Earned Value Management System

**- F -**

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FAPIIS	Federal Awardee Procurement and Integrity Information System
FAR	Federal Acquisition Regulation
FCA	Functional Configuration Audit
FOIA	Freedom of Information Act
FSS	Federal Supply Schedule

**- G -**

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

**- H -**

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

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IAE	Integrated Acquisition Environment
ID	Indefinite-Delivery
IDIQ	Indefinite-Delivery-Indefinite-Quantity
ISR	Individual Subcontracting Report

**- M -**

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MAC	Multi-Agency Contract
MTA	Mid-Term Availability

**- N -**

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N/A	Not Applicable
NAICS	North American Industrial Classification System

**- O -**

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OFPP	Office of Federal Procurement Policy
OSD	Office of the Secretary of Defense
OTB	Over Target Baseline

**- P -**

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PGM	Precision Guided Munitions
PIA	Planned Incremental Availability
PKI	Public Key Infrastructure
PM	Program Manager

PMA	Phased Maintenance Availability
POC	Point of Contact
PPI	Past Performance Information
PPIRS	Past Performance Information Retrieval System
PPIRS-RC	Past Performance Information Retrieval System-Report Card
PRA	Planned Restricted Availability
PSC	Product or Service Code

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- R -

RAV	Restricted Availability
RSA	Randolph-Sheppard Act
RO	Reviewing Official
ROH	Regular Overhaul

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- S -

S&T	Science and Technology
SAP	Special Access Program
SB	Small Business
SDB	Small Disadvantaged Businesses
SDVOSB	Service Disabled Veteran-Owned Small Business
SF	Standard Form
SLA	Selected Restricted Availability
SLA	State Licensing Agency
SSR	Summary Subcontracting Report

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- T -

TAV	Technical Availability
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- U -

UCA	Undefinitized Contract Action
USC	United States Code

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- V -

VAC	Variance at Completion
VOSB	Veteran-Owned Small Business

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- W -

WOSB	Women-Owned Small Business
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Features of the CPARS website (<https://www.cpars.gov>) include:

- The “[production](#)<sup>12</sup>” CPAR system where official CPARS evaluations are entered.
- The “[practice](#)<sup>13</sup>” 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.
- A “[requirements](#)<sup>14</sup>” 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.
- A [quality checklist](#)<sup>15</sup> that tutors users on completing a quality past performance evaluation. The quality checklist includes sample CPAR narratives.
- Link to [reference material](#)<sup>16</sup> including policy documents and user manuals.
- Link to CPARS [Training](#)<sup>17</sup>. There are online CPARS training classes including CPARS Overview, ACASS/CCASS Overview, Quality and Narrative Writing, Contractor Overview, FAPIIS Overview, and Focal Point Functions. Continuous learning points are awarded upon completion of training.
- [Access Request](#)<sup>18</sup> forms for Focal Points and Corporate Senior Contractor Representatives.
- A [Release History](#)<sup>19</sup> detailing enhancements and date of publication.
- [Metrics](#)<sup>20</sup> including number of CPARs, overall ratings, and degree to which the CPARS process improves communication. Metrics are updated quarterly.

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<sup>12</sup> <https://www.cpars.gov/cparsmain.htm>

<sup>13</sup> <https://www.cpars.gov/cparsmain.htm>

<sup>14</sup> <https://www.cpars.gov/allapps/sysreq.htm>

<sup>15</sup> <https://www.cpars.gov/cparsfiles/cpars/qual62701.htm>

<sup>16</sup> <https://www.cpars.gov/cparsfiles/cpars/refmatl.htm>

<sup>17</sup> <https://www.cpars.gov/allapps/cpcbtdlf.htm>

<sup>18</sup> <https://www.cpars.gov/accessforms/userforms.htm>

<sup>19</sup> <https://www.cpars.gov/allapps/cparsrel.htm>

<sup>20</sup> <https://www.cpars.gov/cparsfiles/cpars/metrics.htm>