



Department of Transportation  
Office of the Senior Procurement Executive

No. APL-2010-10  
Date 07/22/2010

## DOT ACQUISITION POLICY LETTER

This Acquisition Policy Letter is issued under the authority of the Senior Procurement Executive of the Department of Transportation

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**Subject:** Contractor Performance Information Program

### References:

FAR Part 9	Contractor Qualifications
FAR Subpart 15.3	Source Selection
FAR Subpart 36.2	Special Aspects of Contracting for Construction
FAR Subpart 42.15	Contractor Performance Information
DASH 2010-08	Federal Awardee Performance and Integrity Information System
DASH 2010-12	Contractor Performance Information

### When is this Acquisition Policy Letter (APL) Effective?

This APL is effective upon issuance.

### When Does This APL Expire?

This APL remains in effect until the resulting policy is incorporated into the Transportation Acquisition Manual (TAM).

### Who is the Point of Contact?

Contact Camille Reddick of the Office of the Senior Procurement Executive, Acquisition Policy, Oversight and Business Strategies Division (202) 366-7511 or by email at [camille.reddick@dot.gov](mailto:camille.reddick@dot.gov).

Visit our website at <http://www.dot.gov/ost/m60> for additional information on DOT Acquisition Policy Letters and other policy issues.

### What is the Purpose of this APL?

The purpose of this Acquisition Policy Letter (APL) is to establish a department-wide Contractor Performance Information Program for the Department of Transportation (DOT).

### What is the Background?

Past performance information is relevant information, for future selection purposes, regarding a contractor's actions under previously awarded contracts. It includes, for example, the contractor's record of conforming to contract requirements and to standards of good workmanship; the contractor's record of forecasting and controlling costs; the contractor's

adherence to contract schedules, including the administrative aspects of performance; the contractor's history of reasonable and cooperative behavior and commitment to customer satisfaction; the contractor's record of integrity and business ethics; and generally, the contractor's business-like concern for the interest of the customer.

To reinforce the Federal Acquisition Regulation (FAR) requirements and to provide policy and procedures to ensure quality evaluations are included in the Past Performance Information Retrieval System (PPIRS) and Federal Awardee Performance and Integrity Information System (FAPIS) and considered when making a determination regarding contractor's responsibility, the following internal procedures for evaluating and reporting contractor performance are established.

On July 29, 2009, the Office of Federal Procurement Policy (OFPP) issued a memorandum describing new requirements in the FAR strengthening the use of contractor performance information. The memorandum required each Chief Acquisition Officer (CAO) to:

- Submit an electronic record of contractor performance in the PPIR, [www.ppirs.gov](http://www.ppirs.gov). Records must be established for contract actions including orders placed under indefinite delivery, indefinite quantity contracts.
- Establish internal procedures for collecting and reporting past performance information to PPIRS.
- Identify agency officials responsible for preparing interim and final performance evaluations.
- Consider the achievement of small business goals in performance evaluations when the contract includes a Small Business Subcontracting Plan.

As announced by the Chief Acquisition Officer's Council, "to improve the collection of and access to past performance information, consistent with OFPP's July 29, 2009, memorandum, Improving the Use of Contractor Performance Information, the federal government will be moving to a single government-wide feeder system for past performance reporting - the Department of Defense's (DoD) Contractor Performance Assessment Reporting System (CPARS). Using a single system will better support the government's efforts to establish a standard method and criteria for conducting past performance reporting."

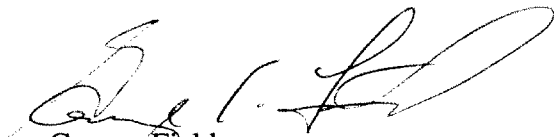
On June 29, 2010, the NIH announced its decision to retire its Contractor Performance System (CPS) and officially end service to all customers on September 30, 2010. An email was sent to NIH'S customers and the notice was posted on NIH's website at <https://www.cps.nih.gov>. While users can continue to add new evaluations to CPS until July 9, 2010, all CPS past performance evaluations must be completed and finalized by September 30, 2010. Otherwise, those evaluations will have to be re-entered in CPARS for their completion and transfer into Performance Information Retrieval Systems (PPIRS), because CPARS will be unable to accept records that were completed in CPS. All finalized CPS records will remain available in PPIRS. NIH is exploring other efficient methods of retaining archived completed records and will

provide additional information regarding the transition of these records.

This plan incorporates the requirements of the OFPP memorandum and provides guidance to the Operating Administrations (OAs) for completion of tasks to support the Contractor Performance Information Program.

## What is the Guidance?

1. In accordance with the FAR Subpart 9.103, purchases shall be made from, and contracts shall be awarded to, responsible prospective contractors only.
2. In accordance with FAR Subpart 9.104, contracting officers are required to
  - a. Review the information in FAPIIS in connection with contracts over the simplified acquisition threshold for the purpose of making a responsibility determination.
  - b. Document how the information in FAPIIS was considered in any responsibility determination – as well as the action that was taken as a result of the information.
  - c. Notify, prior to proceeding with award, the agency official responsible for initiating debarment or suspension, if information identified in FAPIIS appears appropriate for that official's consideration.
3. Per FAR Subpart 42.15, agencies shall submit past performance reports electronically to PPIRS at [www.ppirs.gov](http://www.ppirs.gov). PPIRS functions as the central warehouse for performance assessment reports received from external performance information collection systems.
4. In accordance with this APL, all Department of Transportation operating administrations are required to use the Department of Defense, Contractor Performance Assessment Reporting System (CPARS) to complete interim and final past performance evaluations on all contracts that exceed the simplified acquisition threshold.
  - a. Establish internal procedures for collecting and reporting past performance information to PPIRS.
  - b. Identify agency officials responsible for preparing interim and final performance evaluations.
  - c. Consider the achievement of small business goals in performance evaluations when the contract includes a Small Business Subcontracting Plan.



George Fields  
Senior Procurement Executive,  
Acting

Attachment

## 1. Contractor Performance Information Automated Systems Overview

A core mission of GSA's Integrated Acquisition Environment is to simplify, unify, and streamline the complex federal acquisition process for government buyers as well as vendors and sellers by:

- a. Creating a simpler, common, integrated business process for buyers and sellers that promote competition, transparency and integrity.
- b. Increasing data sharing to enable better decisions in procurement, logistics, payment and performance assessment.
- c. Taking a unified approach to obtaining modern tools to leverage investment costs for business related processes.

Per FAR Part 42.1503 (c) Agencies are required to submit past performance reports electronically to the PPIRS at [www.ppirs.gov](http://www.ppirs.gov). PPIRS is a web-enabled, enterprise application that provides timely and pertinent contractor past performance information to the Department of Defense and Federal acquisition community for use in making source selection decisions. PPIRS assists acquisition officials by serving as the single source for contractor past performance data. PPIRS 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 (FAR Parts 15, 36 and 42). PPIRS provides a query capability for authorized users to retrieve report card information detailing a contractor's past performance. Federal regulations require that report cards be completed annually by customers during the life of the contract. PPIRS functions as the central repository for performance assessment reports received from the following performance information collection systems:

- Naval Sea Systems Command *Contractor Performance Assessment Reporting System (CPARS)* CPARS is a web-enabled application that collects and manages the library of automated CPARS. A CPAR assesses a contractor's performance and provides a record, both positive and negative, on a given contractor during a specific period of time. Each assessment is based on objective facts and supported by program and contract management data, such as cost performance reports, customer comments, quality reviews, technical interchange meetings, financial solvency assessments, construction/production management reviews, contractor operations reviews, functional performance evaluations, and earned contract incentives.
  - U.S. Army Corps of Engineers (provided as CPARS Modules):
    - Architect-Engineer Contract Administration Support System (ACASS) is a web-enabled application that supports the completion, distribution, and retrieval of Architect-Engineer (A-E) contract performance evaluations (DD Form 2631). An evaluation assesses a contractor's performance and provides a record, both positive and negative, on a given contract. Each evaluation is based on objective facts and supported by contract management data, such as quality of A-E services by discipline, and assessments of the attributes of the engineering services as to accuracy,

thoroughness, schedules, cost constraints, technical capability, and other contract performance requirements.

- Construction Contractor Appraisal Support System (CCASS) is a web-enabled application that supports the completion, distribution, and retrieval of Construction contract performance evaluations (DD Form 2626). An evaluation assesses a contractor's performance and provides a record, both positive and negative, on a given contract. Each evaluation is based on objective facts and supported by contract management data, such as contract performance elements that evaluate quality, timely performance, effectiveness of management, and compliance with contract terms, labor standards, and safety requirements.
- *Federal Awardee Performance and Integrity Information System (FAPIS)* is a web-enabled application that is used to collect contractor and grantee performance information including Terminations for Cause or Default, Defective Cost and Pricing Data, Determinations of Non-Responsibility, Terminations for Material Failure to Comply (grants) and Recipient Not Qualified Determinations (grants). Once records are completed in FAPIS, they become available in the Federal Past Performance Information Retrieval System (PPIRS) where they are used to support future acquisitions.

## **2. Risk Management**

The previously identified systems supporting the collection and reporting of Contractor Performance Information are unclassified. The content of all data files referenced within this policy is sensitive but unclassified.

Contractor performance information is privileged source selection information. It is also protected by the Privacy Act and is not releasable under the Freedom of Information Act. Performance assessments may be withheld from public disclosure under Exemption 5 of the Freedom of Information Act. Further, FAR Subpart 42.1503 (b) states: "The completed evaluation shall not be released to other than Government personnel and the contractor whose performance is being evaluated during the period the information may be used to provide source selection information." Disclosure of such information could cause harm both to the commercial interest of the Government and to the competitive position of the contractor being evaluated as well as impede the efficiency of Government operations.

Internal control is a process, effected by an entity's staff, management, or other personnel, designed to provide reasonable assurance regarding the achievement of objectives in the following categories:

- Effectiveness and efficiency of operations.
- Reliability of reporting.
- Compliance with applicable laws and regulations, avoiding damage to its reputation and other consequences.

In managing Contractor Performance Information, the following internal controls must be implemented to effectively manage the identified risks:

The COCO shall ensure that all required Contractor Performance Evaluations are completed within the appropriate information system within thirty days of the period of performance end-date. Additionally, The COCO shall designate a staff member (Primary and Alternate) responsible for managing/coordinating and approving requests for access to the automated system(s) on behalf of the Operating Administration.

System Administrators shall ensure that personnel authorized access to the various systems have only those privileges and authorizations in place to execute the responsibilities of their role within the Contractor Performance Information Cycle. Additionally, system access shall be removed for users no longer requiring access to the information system.

Accountability to the Contractor Performance Information Program is encouraged and strengthened by the use of various management tools. I.e.:

- Inclusion in the individual annual performance plan.
- Including evaluation requirements in COTR Letters of Appointment.
- Including evaluation requirements in COTR Training/Refresher courses.
- Enforcing requirement to complete and finalize evaluation requirements prior to execution of contract option period of performance.

### **3. Contractor Performance Evaluation Process.**

To reinforce the FAR requirements and to ensure quality evaluations are included in PPIRS, modal CAOs and COCOs shall make certain that internal procedures for evaluating and reporting contractor performance are clear and include evaluation

- a. Chief of Contracting Office:
- b. Interim (Annual) Evaluations
  - i. Requirement: TAM 42.1502 requires interim evaluations on contracts that exceed one year in duration, including options.
  - ii. Contracting Officer: Contracting officers (or designated contract specialists) will initiate interim (annual) evaluations for all active contracts 90 days prior to the exercise of any option to extend the period of performance, or within 90 days of the anniversary of the contract award date for contracts without options. Contracting officers shall prepare an evaluation of contractor performance for each order that exceeds the simplified acquisition threshold placed against a Federal Supply Schedule contract, or under a task order contract or a delivery order contract awarded by another agency (*i.e.*, Governmentwide acquisition contract or multi-agency contract). For single-agency task order and delivery order contracts, the contracting officer may

require performance evaluations for each order in excess of the simplified acquisition threshold when such evaluations would produce more useful past performance information for source selection officials than that contained in the overall contract evaluation (e.g., when the scope of the basic contract is very broad and the nature of individual orders could be significantly different). Once the general contract information is input to the automated system, the Contract Specialist, using the “assign/submit” function, will cause the system to forward the evaluation to the COTR/PO. The system will also generate an email letting the COTR/PO know that the evaluation is awaiting their review. Once the COTR/PO has completed the evaluation, the CO / specialist will forward the evaluation to the contractor. An email notification will also be generated for the contractor. If the contractor does not respond within 30 days, the system will presume the contractor has no comment. Once the contractor evaluation phase is completed, and comments resolved, if any, the evaluation should be saved and finalized. A hardcopy should be placed in the contract file.

- iii. Program Officer/ COTR: Upon notice from the contracting officer that an interim evaluation is due, the COTR/PO shall enter the automated system and complete the interim evaluation. The COTR/PO will be given no more than 30 days to complete their portions of the evaluation. The COTR/PO shall complete the past performance evaluation form in the automated system. [NOTE: *The system will generate reminder emails after 20 days, but the specialist should keep track of the status of the evaluation to reduce delays.*]

b. Final Evaluations

- i. Requirement: FAR 42.1502 requires past performance evaluations upon completion of work under all contracts for supplies or services over \$100,000.
- ii. Contracting Officer / Contract Specialist: Contracting officers (or designated contract specialists) will initiate final evaluations within 30 days after the completion date of the contract. For Indefinite Quantity contracts with multiple Task Orders, the CO or designated Contract specialist will initiate the evaluation within 30 days of the completion of the final active Task order under the contract. Once the general contract information is input to the system by the CO / Contract Specialist, the evaluation will be assigned in the system to a COTR/PO, which will cause the system to forward the evaluation to the COTR/PO. The system will also generate an email notifying the COTR/PO that an evaluation is awaiting their review. Once the COTR/PO has completed the evaluation, the CO/specialist will forward the evaluation to the contractor; an email notification will also be generated for the contractor. If the contractor does not respond within 30 days, the system will presume the contractor has no comment. Once the contractor evaluation phase is completed, and comments resolved, if any, the evaluation should be saved and finalized. A hardcopy should be placed in the contract file.
- iii. COTR/PO: COTRs/POs shall complete a ***final*** evaluation within 30 days after notice from the contracting officer that a final evaluation is due. Once the COTR/PO has

completed the government's comments sections, the contract administrator will forward the evaluation to the contractor for the contractor's review and comments. The contractor will be given no more than 30 days to complete that portion of the evaluation. The COTR/PO shall complete the past performance evaluation form in the automated system. [NOTE: *The system will generate reminder emails after 20 days, but the specialist should keep track of the status of the evaluation to reduce delays.*]

4. **Contractor Performance Information Oversight.** Oversight of the Contractor Performance Information will be managed by the review and analyzation of various management reports.
  - a. On a quarterly basis, modal contracting activities will forward to the OSPE:
    - i. A report identifying all evaluations completed during the preceding quarter
    - ii. A Report identifying all evaluations required to be completed during the current quarter.
  - b. The OSPE on a quarterly basis will calculate a statistically valid sample population in support of random review of evaluations completed during the previous quarter. Using a 95% confidence level with a 5% margin of error, the selected sample will be evaluated for completeness and quality of report narrative.

5. **Roles and Responsibilities.**

- a. Senior Procurement Executive
  - i. Develop and maintain contractor performance information policy.
  - ii. Represent the department on federal contractor performance information working groups.
  - iii. Establish Contractor Performance Information Oversight Program.
  - iv. Maintain external liaisons necessary to maintain access to external contractor performance information systems.
  - v. Serve as departmental focal point for assistance and guidance regarding contractor performance information.
  - vi. On a quarterly basis review a statistically valid sample of completed evaluations for completeness and quality of report narrative.
- b. Head of Contracting Activity
  - i. Responsible for the implementation of this policy.
  - ii. Responsible for ensuring that all contract specialists are properly trained in the preparation of contractor past performance and in the use of the automated system.
- c. Chief of Contracting Office. The Chief of the Contracting Office (COCO) is responsible for:



- i. Determining who will evaluate the contractor's performance.
  - ii. Is the final authority on disagreements between the parties regarding a contractor's performance evaluation. **Exception:** In the event the COCO is also the contracting officer, the final authority to resolve a disagreement will be referred to a responsible individual one level above the COCO.
  - iii. On a quarterly basis, provide the OSPE a listing identifying all past performance evaluations completed during the previous quarter.
  - iv. On a quarterly basis, provide the OSPE a listing identifying all past performance information evaluations required to be completed during the current quarter.
- d. Contracting Officer . The Contracting officer (or designated contract specialist) is responsible for:
- i. Initiating evaluations.
  - ii. Entering of contractor performance information into the appropriate automated system.
  - iii. Distributing evaluations to the Contracting Officer's Technical Representatives (COTRs)/Project Officers (POs) and to the contractor.
  - iv. Reviewing all evaluations for the contract before they are finalized in the system.
  - v. Ensuring a copy of the completed evaluation is placed in the contract file.
- e. Contracting Officer's Technical Representative (COTR) and Project Officers (PO) are responsible for completing the past performance evaluation form in the automated system using the provided Evaluation Rating Definitions..
- f. Focal Point/System Administrators are responsible for:
- i. Registering contracts within CPARS within 30 calendar days of contract award.
  - ii. Training
  - iii. Assigning access authorization for government and contractor personnel (complete contract authorization based on information from the Contracting Officer, Program/Project Manager, AO and contractor personnel authorized to appoint a designated representative).
  - iv. CPARS account management and maintenance (e.g. access changes).
  - v. Control and monitoring of CPARS, including the status of overdue evaluations. The CPARS Focal Point is responsible for monitoring the status of late reports. Local processes should be established for the Focal Point to notify the Senior Modal Official.
  - vi. Establishing processes to monitor quality reports in a timely manner.
  - vii. Troubleshoot users errors --If you cannot mitigate the issue contact:
    - (1) DOT- OSPE System Administrator
    - (2) Appropriate System Help Desk

<b>DETERMINATION OF PROSPECTIVE CONTRACTOR RESPONSIBILITY</b>				1. IFB or RFP NUMBER			
2. NAME AND ADDRESS OF PROSPECTIVE CONTRACTOR				3. DESCRIPTION OF SUPPLIES OR SERVICES			
							4. TYPE OF CONTRACT
				5. SMALL BUSINESS (Check one) <input type="checkbox"/> YES <input type="checkbox"/> NO			
6. REMARKS							
<b>LEGEND: TYPE OF EVALUATION</b>  <b>TYPE A - On-Site Pre-Award.</b> This constitutes an inspection of the contractor's facility by the Contracting Officer or his/her authorized representative.  <b>TYPE B - Desk-Type Pre-Award.</b> This may consist of information obtained from the following sources:  Prospective contractor, Dun & Bradstreet reports, National Credit Offices report, Contractor Performance Evaluation reports, "List of Parties Excluded from Federal Procurement or Non Procurement Programs", records of past and present contractor performance, or Certificate of Competency issued by the Small Business Administration.  <b>TYPE C - Personal Knowledge.</b> When the Contracting Officer has sufficient personal knowledge of a company's capabilities which will enable him/her to make a determination regarding the responsibility of the company without benefit of either on-site or on-site or desk-type pre-award survey.  <b>Satisfactory-</b> There are no issues found that indicate that the Contractor cannot perform the task successfully.  <b>Unsatisfactory-</b> There were issues found that may indicate that the Contractor may not perform the task successfully.							
INSTRUCTIONS --- Check type of evaluation and rate each factor applicable to the proposed procurement. N/A shall be checked for those factors not applicable. All ratings assigned to type A or B evaluations shall be supported by attached survey reports, detailed written evaluations, documents, etc.							
<b>7. EVALUATION AND RATING</b>							
L I N E	FACTOR  All references to FAR 9.104-1, unless indicated	EVALUATION			RATING		N/A  (F)
		TYPE A (A)	TYPE B (B)	TYPE C (C)	S-SATIS- FACTORY (D)	U-UNSATIS- FACTORY (E)	
1	Management Personnel						
2	Technical Capability						
3	Production Capability						
4	Drug Free Workplace (23.504(a))						
5	Technical Equipment and Facilities						
6	Performance Record on Prior and Current Contracts						
7	Quality Assurance Program and Procedures						
8	Cost Estimating and Accounting System						
9	Purchasing System (Make-or-buy Program)						
10	Financial Capability						
11	Security Clearance and Plant Protection						
12	Equal Opportunity Policy (22.802)						
13	Small Business Subcontracting Compliance (9.104-3(a))						
14	Property and Inventory Control						
15	Ability to Meet Delivery or Performance Date						
16	Satisfactory Record of Integrity and Business Ethics						
17	Environmental/Energy Considerations (23.104(a))						
18	Safety						
19	FAPHS Records Checks						
DETERMINATION <input type="checkbox"/> <input type="checkbox"/> 19 NOT considered responsible in accordance with FAR Part 9.1.		8. OFFEROR (Check one)					
9. DATE		10. TYPED NAME OF CONTRACTING OFFICER			11. SIGNATURE OF CONTRACTING OFFICER		

## Evaluation Ratings Definition

<b>Evaluation Ratings Definitions (Excluding Utilization of Small Business)</b>		
<b>Rating</b>	<b>Definition</b>	<b>Note</b>
<b>Dark Blue/ 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 was 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>Purple/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>Green/ 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. There should have been NO significant weaknesses identified. Per DOD policy, a fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract.
<b>Yellow/ 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>Red/ 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 assessment status.

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

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

<b>Rating</b>	<b>Definition</b>	<b>Note</b>
<b>Dark Blue/Exceptional</b>	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), 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, 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. Completed and submitted Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate and timely manner.	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.
<b>Purple/Very Good</b>	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 (HUBZone, VOSB, SDVOSB) for the current period. Had significant success with initiatives to assist, promote and utilize SB, SDB, WOSB, 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, 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.	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.
<b>Green/ Satisfactory</b>	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 FAR 52.219-8, Utilization of Small Business Concerns. Met any other small business participation requirements included in the contract. Fulfilled the requirements of the subcontracting plan included in the contract. Completed and submitted Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate and timely manner.	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 identified. Per DoD policy, a fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract.

<b>Yellow/ 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. 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>Red/ Unsatisfactory</b>	Noncompliant with FAR 52.219-8 and 52.219-9, DFARS 252.219-7003 (deviation), and any other small business participation requirements in the contract. 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 assessment 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.

## Table of Acronyms

Acronym	Term
ACASS	Architect-Engineer Contract Administration Support System
APL	Acquisition Policy Letter
CAO	Chief Acquisition Officer
CCASS	Construction Contractor Appraisal Support System
COCO	Chief of Contracting Office
COTR	Contracting Officer's Technical Representative
CPARS	Contractor Performance Assessment Reporting System
DoD	Department of Defense
FAPIIS	Federal Awardee Performance and Integrity Information System
FAR	Federal Acquisition Regulation
GSA	General Service Administration
IAE	Integrated Acquisition Environment
MOA	Memorandum of Agreement
OA	Operating Administration
OFPP	Office of Federal Procurement Policy
OSPE	Office of the Senior Procurement Executive
PO	Project Officer
PPIRS	Past Performance Information Retrieval System
SPE	Senior Procurement Executive
TAM	Transportation Acquisition Manual

### Table of References

Source	Reference	Description
FAR	Part 9	Contractor Qualifications
	Subpart 12.2	Special Requirements for the Acquisition of Commercial Items
	Subpart 15.3	Source Selection
	Subpart 36.2	Special Aspects of contracting for Construction
	Subpart 36.6	Architect-Engineer Services
	Subpart 42.15	Contractor Performance Information
TAM	Chapter 9	Contractor Qualifications
	Subpart 1242.15	Contractor Performance Information
DASH	2010-08	Federal Awardee Performance and Integrity Information System
DASH	2010-12	Contractor Performance Information
OFPP	Memo of July 29, 2009	Improving the Use of Contractor Performance Information
DoD	March 2010	Contractor Performance Assessment Reporting System (CPARS) Policy Guide