



Goddard Procedures and Guidelines

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APPROVED BY Signature: _____
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Responsible Office: 210/PROCUREMENT OPERATIONS DIVISION

Title: SUPPLIER PERFORMANCE RECORDS

Preface

P1. PURPOSE

This Instruction establishes requirements for collecting and reporting supplier performance data for Goddard Space Flight Center purchases.

P2. APPLICABILITY

This procedure is applicable to Goddard acquisitions of products or services within the scope of the GSFC Quality Management System. In accordance with FAR 42.1502, Government Agencies shall prepare an evaluation of contractor performance for each contract in excess of \$1,000,000 (regardless of the date of contract award) and for each contract in excess of \$100,000 beginning not later than January 1, 1998 (regardless of the date of contract award), at the time the work under the contract is completed. In addition, interim evaluations should be prepared as specified by the agencies to provide current information for source selection purposes, for contracts with a period of performance, including options, exceeding one year. Agencies shall not evaluate performance for contracts awarded under Subparts 8.6 and 8.7. Agencies shall evaluate construction contractor performance and architect/engineer contractor performance in accordance with FAR 36.201 and FAR 36.604, respectively.

P3. AUTHORITY

NPD 8730.3, NASA Quality Management System Policy (ISO 9000)

P4. REFERENCES

- a. Federal Acquisition Regulation (FAR)
- b. NASA Federal Acquisition Regulation Supplement (NFS)
- c. NASA Procurement Notices
- d. GPG 1710.1 Corrective and Preventive Action
- e. GPG 4520.1, Incoming Inspection

f. GPG 5100.1, Procurement

g. GPG 9980.1, Internal Audit System

P5. CANCELLATION

None

Procedure

1. DEFINITIONS

Contract - The term “contract” as used in this document, refers to any purchase as defined in the Federal Acquisition Regulations (FAR).

Contracting Officer (CO) - A person, appointed in accordance with the FAR, with the authority to enter into, administer, and/or terminate contracts and make related determinations and findings. Unless prohibited by FAR regulations, CO duties may be delegated to a Contract Specialist or Contract Administrator.

Contracting Officer’s Technical Representative (COTR) - A person exercising authority and responsibility delegated by the CO. This individual represents the CO in the daily surveillance of the contractor, and provides overall technical management of the contract.

Contractor - Anyone providing products or services to GSFC under a contract.

Subcontractor - For the purposes of this procedure, an entity providing products and services through another contractor to GSFC.

Initiator - The person within the requiring organization who is responsible for initiating the purchase request.

2. IMPLEMENTATION

The reporting of Supplier Performance is accomplished by following the policies and procedures as outlined in the FAR and NASA FAR Supplements. Supplier performance data, whenever available, shall be utilized in the evaluation of potential suppliers and subcontractors. Supplier and subcontractor performance data shall be recorded during and at the completion of contract performance. Roles of the various organizations and personnel involved vary directly and significantly with the phase of the particular purchase, as identified in subsequent paragraphs. As it pertains to future source selection purposes, a potential supplier’s and subcontractor’s performance under previously awarded contracts, shall be evaluated. In accordance with FAR, within 60 days of the anniversary of the basic contract award, contracting officers shall conduct interim evaluations of performance on contracts subject to this subpart, FAR 42.15, and having a term exceeding one year. The final evaluation shall be cumulative.

2.1. Suppliers will be evaluated rated using the following rating scale: 1 (Poor/Unsatisfactory), 2 (Satisfactory), 3 (Good), 4 (Very Good), or (5) Excellent. A brief narrative will be provided supporting each rating in each category. The rating categories are: quality of product or service, price/control of cost, timeliness of performance, and business relations. These categories will evaluate the contractor or

subcontractor'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; and generally, the contractor's business-like concern for the interest of the customer.

2.2. The Supplier Performance Records shall generally provide for input to the evaluations from the technical office, contracting office and, where appropriate, end users of the product or service.

2.3. Evaluations of contractor performance prepared under this procedure shall be provided to the contractor as soon as practicable after completion of the evaluation. Contractors shall be given a minimum of 30 days to submit comments, rebutting statements, or additional information. A review at a level above the contracting officer shall be provided to consider disagreements between the parties regarding the evaluation. The ultimate conclusion on the performance evaluation is a decision of the Contracting Officer. Copies of the evaluation, contractor response, and review comments, if any, shall be retained as part of the evaluation. These evaluations may be used to support future award decisions, and should therefore be marked "Source Selection Information". 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. Evaluations used in determining award or incentive fee payments may also be used to satisfy the requirements of this subpart. A copy of the annual or final past performance evaluation shall be provided to the contractor as soon as it is finalized.

2.4. Contractor Performance Surveys (see attached GSFC Form) shall be prepared by the Contracting Officer and the Contracting Officer's Technical Representative (COTR) within 10 days after the end of the evaluation period.

2.4.1 A copy of the Contractor Performance Survey will be forwarded by the Contracting Officer to the contractor for review. In accordance with FAR 42.15, the contractor will have a minimum of 30 days to respond. If performance is determined to be unsatisfactory, the contracting officer, with recommendations from the COTR, will ensure that the contractor develops and implements a corrective action plan where appropriate. The corrective action plan will include a statement of the root cause of the nonconformance, actions required to correct the problem, and a schedule for completion of the plan. The contracting officer and COTR will maintain oversight of the plan to ensure its implementation and correction of non-conformances. Interim reports giving the status of the corrective action will be provided to the CO at the end of each calendar quarter for items where corrective action takes more than three months.

2.4.2 A copy of the Contractor Performance Survey shall be included in the contract file. A copy shall also be included in the contractor performance database. This database shall be used by all Source Evaluation Boards/Source Evaluation Committees in the evaluation of offeror's relevant experience and past performance.

2.5. The past performance information shall not be retained to provide source selection information for longer than three years after completion of contract performance.

2.6. GSFC personnel desiring to perform an audit of a supplier's quality management system shall contact the GSFC Audit Coordinator (see GPG 9980.1) to schedule the audit and to establish the means to document audit planning, completion, and close-out. The appropriate Contracting Officer(s) shall make notification to the supplier of scheduled audits by GSFC personnel. Results of supplier quality audits shall be considered by Contracting Officers for purposes of source selection and performance evaluation.

3. RECORDS

Contractor Performance Survey

CONTRACTOR PERFORMANCE SURVEY

FINAL SURVEY _____ INTERIM SURVEY _____ (Check one)

REPORTING PERIOD: (from) _____ (to) _____

CONTRACT NUMBER: _____ TASK NO: _____

CONTRACT TYPE:
CONTRACTOR NAME:
ADDRESS:

CITY: _____ STATE: _____ ZIP CODE: _____

CONTRACT AWARD DATE:
CONTRACT EXPIRATION DATE:
TIN:
CONTRACT VALUE: \$ _____ SIC: _____

DESCRIPTION OF REQUIREMENT

RATINGS

Summarize contractor performance and circle the number which corresponds to the rating for each rating category. (See attached Rating Guidelines) Limit comments to less than 2000 characters. Use additional sheets if needed.

QUALITY OF PRODUCT OR SERVICE Rating: 1 - 5

Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Excellent
1	2	3	4	5

Comments:

PRICE/CONTROL OF COST Rating: 1 - 5

Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Excellent
1	2	3	4	5

Comments:

Contractor Performance Survey (continued)

TIMELINESS OF PERFORMANCE Rating: 1 - 5

Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Excellent
1	2	3	4	5

Comments:

BUSINESS RELATIONS Rating: 1 - 5

Poor/ Unsatisfactory	Satisfactory	Good	Very Good	Excellent
1	2	3	4	5

Comments:

SUBCONTRACTS

Are subcontracts involved? Yes No (Circle One)

Comments (Please comment on those subcontractors that have provided a significant contribution to overall contract performance.)

CUSTOMER SATISFACTION

Is/was the contractor committed to customer satisfaction? Yes No (Circle one)

If this is the Final Report:

Would you recommend selection of this firm again? Yes No (Circle one)

Comments:

Contracting Officers Technical Representative (name):

SIGNATURE: _____

Date:

Phone:

FAX:

Internet Address:

Contractor Performance Survey (continued)

CONTRACTING OFFICER CONCURRENCE: (Initial)_____ Date:

CONTRACTOR'S REPRESENTATIVE (name):

Phone: _____ FAX: _____

Internet Address:

SIGNATURE: _____

SUMMARY RATINGS:

QUALITY: _____ PRICE/CONTROL OF COST : _____

TIMELINESS OF PERFORMANCE: _____ BUSINESS RELATIONS: _____

CONTRACTING OFFICER (name):

SIGNATURE: _____

Phone: _____ FAX : _____

Internet Address:

Date:

CONTRACTOR'S REVIEW:

Were comments, rebuttal, or additional information provided? Yes No (Circle one)

(If yes: They are:

On file in _____ (Location) _____ (Phone)

Attached _____ (Check if attached)

CENTER REVIEW:

Were contractor comments reviewed at a level above the contracting officer? Yes No (Circle one)

(If yes: They are:

On file in _____ (Location) _____ (Phone)

Attached _____ (Check if attached)

CONTRACTOR PERFORMANCE SURVEY INSTRUCTIONS

TOP SECTION

1. Check the appropriate block to indicate the type of report (Interim, Final).
2. Indicate the period covered by the report.
3. Identify the contract number of the contract being evaluated. Enter Task No. if applicable.
4. Identify the contract type.
5. List the name and address of the contractor.
6. Indicate the contract award date and contract expiration date.
7. Enter Taxpayer Identification Number and Standard Industrial Code.
8. State the contract value, including any option amounts.
9. Provide a brief description of the work being performed under the contract.

RATINGS

Using the rating guidelines, assign each area a rating of 1 (Poor/Unsatisfactory), 2 (Satisfactory), 3 (Good), 4 (Very Good), or (5) Excellent. Provide a brief narrative (2000 characters or less) for each of the categories to support the rating assigned. The categories are: quality of product or service, price/control of cost, timeliness of performance, and business relations.

SUBCONTRACTS

Indicate whether subcontracts are/were involved. Briefly summarize (2000 characters or less) the performance of any subcontractors that have major responsibilities under the contract or are required to perform a significant part of the contract requirement. This space may also be used to evaluate a prime contractor's management of a subcontractor.

CUSTOMER SATISFACTION

Circle the appropriate answer to indicate whether the contractor was committed to customer satisfaction. For the final report, indicate whether you would recommend selection of the firm again.

CONTRACTING OFFICERS TECHNICAL REPRESENTATIVE (COTR)

The COTR signs this block.

CONTRACTING OFFICER CONCURRENCE

The Contracting Officer initials this block, indicating concurrence with the initial rating, prior to being sent to the Contractor.

CONTRACTOR'S REPRESENTATIVE

The Contractor signs this next block indicating review of the rating.

SUMMARY RATINGS

Indicate the rating given for each of the rating categories: quality of goods or services, cost control, timeliness of performance, and business relations.

CONTRACTING OFFICER SIGNATURE

The contracting officer signs the report when all actions are completed. If changes were made to the ratings or the narrative during the rebuttal process, a copy of the report, as revised, shall be promptly furnished to the contractor.

CONTRACTOR'S REVIEW

Indicate whether the contractor submitted comments, a rebuttal, or additional information. This should be done in writing and ensures that all pertinent data was considered and no errors of fact were used as a basis for the decision. Both parties should recognize that frequent, less formal performance discussions are valuable in ensuring program success. Attach a copy of the contractor's rebuttal to this report, or indicate its location, if filed separately.

CENTER REVIEW

If the Contractor disagrees with the rating, the matter is to be referred to an individual at least one level above the contracting officer for review and conclusion. The ultimate conclusion of the performance evaluation is a decision of NASA. Attach a copy of the evaluation, contractor response and Center review comments to this report, or indicate its location, if filed separately.

CONTRACTOR PERFORMANCE RATING GUIDELINES

Use the guidance provided below to assign standard adjective ratings to each of the assigned areas: Quality of Product or Service, Price/Control of Cost, Timeliness of Performance, and Business Relations.

RATINGS	DESCRIPTIONS
1	Poor/ Unsatisfactory: Does not meet the minimum acceptable standards in one or more areas; remedial actions is required; deficiencies in one or more areas which may adversely affect the overall performance. These nonconformances are jeopardizing the achievement of the contract requirements.
2	Satisfactory: Meets or slightly exceeds minimum acceptable standards, adequate results; reportable deficiencies with identifiable, but not substantial, effects on the overall performance. The nonconformances are not substantial enough to jeopardize the achievement(s) of the contract.
3	Good: Effective performance, fully responsive to contract requirements; reportable deficiencies, but with little identifiable effect on the overall performance. Overall compliance is good, and does not impact achievement of contract requirements.
4	Very Good: Very effective performance, fully responsive to contract requirements accomplished in a timely, efficient, and economical manner for the most part; only minor deficiencies. There are no substantive quality problems.
5	Excellent: Of exceptional merit; exemplary performance in a timely, efficient, and economical manner; very minor (if any) deficiencies with no adverse effect on the overall performance. The contractor has demonstrated an excellent performance level, which clearly exceeds the performance requirements on the contract.