# FEDERAL RAILROAD ADMINISTRATION
# CONTRACTOR PAST PERFORMANCE SURVEY

## INTRODUCTION

The Federal Railroad Administration (FRA) is currently conducting a competitive procurement solicitation entitled **"BROAD AGENCY ANNOUNCEMENT (BAA) 2003-1"** for which the prospective offeror/applicant (excepting states or local governments, or universities) has been requested to identify Government agencies or commercial business firms it has previously contracted with or to whom it is currently under contract, to serve as potential references on its past performance record. You are being asked to complete the attached Contractor Past Performance Survey. **Parts I and II** are to be completed and returned by the offeror/applicant with its submission. **Part III should be completed by the evaluator/respondent and forwarded directly to FRA (See Note below regarding Part III transmittal.)** You may also be contacted by an FRA procurement official to arrange a telephone interview, using the survey as the focal point of the interview.

To ensure frank and open evaluations and expressions of opinions by evaluators, all parties are advised that the identity of respondents completing the survey will be held in confidence and will not be released or disclosed to the contractor or outside the Government. However, as specified under Federal Acquisition Regulation 15.306, conditions may exist in which the contractor may be provided an opportunity to discuss adverse past performance information on which the contractor has not had a previous opportunity to comment. Any relevant contractor performance/customer evaluations previously prepared within the last three years by the agency/firm providing this reference, and subsequent responses or rebuttals from the contractor, may be requested to augment or furnished in lieu of this survey or interview.

**NOTE: Part III – "Evaluator's Assessment" of this survey should NOT be returned or furnished in a copy to the subject offeror/applicant. The evaluator/respondent should mail or FAX Part III directly to: Federal Railroad Administration, Office of Acquisition & Grants Services, Mail Stop 50, 1120 Vermont Avenue NW, Washington, DC 20590. FAX to 202/493-6171.** If you have any questions, please contact Robert Carpenter, Tel: 202/493-6153, Email: robert.carpenter@fra.dot.gov; or Illona Williams, Tel: 202/493-6130, Email: illona.Williams@fra.dot.gov.

## EVALUATION RATING GUIDELINES

**Exceptional (5) -** Performance in the respective area of evaluation, consistently and reliably *far exceeded standards* or expectations as set forth in the contract, or as prior experience and knowledge of the industry would suggest or dictate. There were essentially *no major problems*, weaknesses, or deficiencies of consequence, nor negative performances issues as it applies to the respective area of evaluation. The contractual performance of the element or sub-element being assessed was accomplished with *few minor problems* for which the contractor took *highly effective and timely corrective action*.

**Very Good (4)** -Performance in the respective area of evaluation, consistently and reliably *exceeded standards* or expectations as set forth in the contract, or as prior experience and knowledge of the industry would suggest or dictate. There were essentially *no major problems*, weaknesses, or deficiencies of consequence, nor negative performances issues as it applies to the respective area of evaluation. The contractual performance of the element or sub-element being assessed was accomplished with *some minor problems* for which the contractor took *effective and timely corrective action*.

**Satisfactory (3)** - Performance in the respective area of evaluation, consistently and reliably *met standards* or expectations as set forth in the contract, or as prior experience and knowledge of the industry would suggest or dictate. There were essentially *no major problems*, weaknesses, or deficiencies of consequence, nor negative performances issues as it applies to the respective area of evaluation. The contractual performance of the element or sub-element being assessed was accomplished with *some minor problems* for which the contractor took *competent and timely corrective action*.

**Marginal (2)** - Performance in the respective area of evaluation, *did not meet standards* or expectations as set forth in the contract, or as prior experience and knowledge of the industry would suggest or dictate. There were problems, weaknesses, or deficiencies of consequence, or negative performances issues as it applies to the respective area of evaluation. The contractual performance of the element or sub-element being assessed was accomplished with *some minor problems and one or more major problems* for which the contractor took *minimal or ineffectual and/or untimely corrective action.*

**Unsatisfactory (1)** - Performance in the respective area of evaluation, *failed to meet standards* or expectations as set forth in the contract, or as prior experience and knowledge of the industry would suggest or dictate. There were problems, weaknesses, or deficiencies of consequence, or negative performances issues as it applies to the respective area of evaluation. The contractual performance of the element or sub-element being assessed was accomplished with *numerous minor and numerous major problems* for which the contractor took *virtually no, or minimal or ineffectual, and/or untimely corrective action*.

## PART I - ADMINISTRATION – Contractor Past Performance Survey

*(To be completed by Offeror/Applicant and submitted with its Offer/Submission)*

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|---|---|
| Name of Agency/Business Reference Conducting Assessment: | |
| Name of Offeror/Applicant Making Submission Under **BAA-2003-1**: | Name of Organization/Person To Whom Reference Applies If Other Than Offeror/Applicant: |
| Contract or Project Title: | |
| Contract No. | Delivery/Task Order No. |
| Performance Period(s): Base Period- from to | & Base plus All Options - from to |
| Dollar Value(s): Base Period - | & Base plus All Options - |

Contract Type and Method of Contracting: (*Check all that apply*)

☐ Full & Open Competition ☐ Other Than Full & Open Competition
☐ Negotiated ☐ Sealed Bid ☐ Simplified Acquisition ☐ FSS/MAS ☐ 2-Step or Phased
☐ Firm Fixed Price ☐ Other FP type _____ *(specify)*
☐ Cost (no fee) ☐ Cost Plus Fixed Fee ☐ Other Cost Reimbursement type _____ *(specify)*
☐ Other Contract type _____ *(specify)*
☐ SBA 8(a) ☐ SBIR ☐ HUBZone Set-Aside ☐ SDB Price Adjustment ☐ Small Business Set-Aside

## PART II - RELEVANCY/PERSPECTIVE – Contractor Past Performance Survey

*(To be completed by Offeror/Applicant and submitted with its Offer/Submission)*

For Part II, the offeror shall complete and insert a single page that addresses the following three areas of inquiry: Description of Prior Contract Services, Relevancy, and Problem Resolution and Quality Honors. The text of the offeror's responses for all three inquiries combined shall not exceed one page.

| | | |
|---|---|---|
| **Description of Prior Contract Services:** Provide a short description of supplies/services the offeror furnished in the referenced contract evaluated herein. *(Recommend 5 -10 lines.)* | **Relevancy:** Describe how the referenced contract evaluated herein is relevant (in terms of scope, magnitude, cost, human resources, or other aspects) to the research project, technology advancement and/or demonstration being proposed in the offeror's proposal concept paper submitted. Identify whether the offeror was the prime contractor or a major subcontractor (in terms of total contract cost, 25% or more), or served in some other capacity/role or relationship. Provide name, point of contact and phone number of prime contractor, if other than offeror. *(Recommend 20 -25 lines.)* | **Problem Resolution and Quality Honors:** The offeror may describe problems encountered in the identified contract and the demonstrated effectiveness of the offeror's corrective actions. Identify any Federal Government contracts/orders, of any type, at any dollar value, held by the offeror which were terminated for cause or for default (partial or complete) within the past three (3) years and subsequent corrective action. The offeror may also describe any specific quality awards or quality certifications received in connection with the referenced contract. *(Recommend 15 -20 lines.)* |

***NOTE:*** **Do not return or furnished a copy of this Part III to the subject offeror/applicant**. The evaluator/respondent should complete this part and **mail or FAX it directly to FRA, Office of Acquisition & Grants Services, Mail Stop 50, 1120 Vermont Avenue NW, Washington, DC 20590. FAX number: 202/493-6171.** If you have any questions, please contact Robert Carpenter, TEL: 202/493-6153, Email: robert.carpenter@fra.dot.gov; or Illona Williams, TEL: 202/493-6130, Email: illona.Williams@fra.dot.gov.

## PART III - EVALUATOR/RESPONDENT'S ASSESSMENT

*(To be completed and signed by refererred Evaluator/Respondent for* ***BAA-2003-1****)*

Contractor: _____ Contract No. _____

**1. Quality of Product or Service** - The offeror is to be evaluated on its compliance with contract requirements, accuracy of reports, technical excellence to include quality awards/certificates, or other quality-related contract standards.

| | |
|---|---|
| Were services and/or deliverables in compliance with contract requirements or specifications? | ☑ yes - ☐ no - ☐ n/a *(Check one)* |
| Were the services/tasks performed and/or deliverables furnished in conformance with standards of good workmanship and otherwise acceptable? | ☐ yes - ☐ no - ☐ n/a *(Check one)* |

| QUALITY OF PRODUCT/SERVICE | Corresponding Adjectival & Numerical Ratings *(Choose one)* | | | | |
|---|---|---|---|---|---|
| | Unsatisfactory | Marginal | Satisfactory | Very Good | Exceptional |
| | ☐ | ☐ | ☐ | ☐ | ☐ |

*Use remaining space (and additional cross-referenced sheets, as necessary) to–*
*(1) Explain the rationale for the assigned adjectival/numerical rating (i.e., recount specific extraordinary or poor contractor performance, or problems and responses that support assessment) , and (2) Describe the basis for any "no" responses to questions.*

**2. Timeliness of Performance** - The offeror is to be evaluated on meeting milestones, reliability, responsiveness to technical direction, deliverables completed on-time, adherence to contract schedules including contract administration, or other time-related contract standards.

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|---|---|
| Were all deliverable(s) and/or report(s) furnished on or before the time/event specified in or agreed to pursuant to the contract? | ☐ yes - ☐ no - ☐ n/a *(Check one)* |
| Were contract schedules consistently met and adhered to, and were timely adjustments made in response to technical direction so as to stay on agreed schedule(s)? | ☐ yes - ☐ no - ☐ n/a *(Check one)* |

| TIMELINESS OF PERFORMANCE | Corresponding Adjectival & Numerical Ratings *(Choose one)* | | | | |
|---|---|---|---|---|---|
| | Unsatisfactory | Marginal | Satisfactory | Very Good | Exceptional |
| | ☐ | ☐ | ☐ | ☐ | ☐ |

*Use remaining space (and additional cross-referenced sheets, as necessary) to–*
*(1) Explain the rationale for the assigned adjectival/numerical rating (i.e., recount specific extraordinary or poor contractor performance, or problems and responses that support assessment) , and (2) Describe the basis for any "no" responses to questions.*

Contractor:_____ Contract No._____

**3. Cost Control** - The offeror is to be evaluated on its ability to perform within or below budget, use of cost efficiencies, relationship of negotiated costs to actuals, submission of reasonably priced change proposals, and providing current, accurate, and complete billing in a timely fashion. For fixed price contracts, this area assesses whether the contractor met the original price/cost estimated or needed to negotiate cost changes to meet program requirements.

| | |
|---|---|
| Did the contractor operate at or below budget, or at the stated, fixed price? | ☐ yes - ☐ no - ☐ n/a *(Check one)* |
| Were actual cost expenditures reported by the contractor generally in line with projected costs (including approved shifts in effort) for designated time frames or specific supplies/services? | ☐ yes - ☐ no - ☐ n/a *(Check one)* |

| COST CONTROL | Corresponding Adjectival & Numerical Ratings *(Choose one)* | | | | |
|---|---|---|---|---|---|
| | Unsatisfactory | Marginal | Satisfactory | Very Good | Exceptional |
| | ☐ | ☐ | ☐ | ☐ | ☐ |

*Use remaining space (and additional cross-referenced sheets, as necessary) to–*
*(1) Explain the rationale for the assigned adjectival/numerical rating (i.e., recount specific extraordinary or poor contractor performance, or problems and responses that support assessment) , and (2) Describe the basis for any "no" responses to questions.*

**4. Business Relations** - The offeror is to be evaluated on its ability to provide effective management, meet applicable subcontractor and small, small disadvantaged, and women-owned business goals, cooperative and proactive behavior with the technical representative(s) and Contracting Officer, flexibility, responsiveness to inquires, problem resolution, and customer satisfaction with the overall performance, and final product or services.

| | |
|---|---|
| Was the contractor responsive to complaints and did the contractor commit adequate resources to meet contract requirements or otherwise provide effective solutions to solve problems as they arose? | ☐ yes - ☐ no - ☐ n/a *(Check one)* |
| Would you recommend or elect to contract with this contractor for future work of the same or substantially similar nature as that conducted under the contract evaluated in this survey? | ☐ yes - ☐ no - ☐ n/a<br>☐ n/a to assessment period |

| BUSINESS RELATIONS | Corresponding Adjectival & Numerical Ratings *(Choose one)* | | | | |
|---|---|---|---|---|---|
| | Unsatisfactory | Marginal | Satisfactory | Very Good | Exceptional |
| | ☐ | ☐ | ☐ | ☐ | ☐ |

*Use remaining space (and additional cross-referenced sheets, as necessary) to–*
*(1) Explain the rationale for the assigned adjectival/numerical rating (i.e., recount specific extraordinary or poor contractor performance, or problems and responses that support assessment) , and (2) Describe the basis for any "no" responses to questions.*

## 5. Evaluator's Identification/Signature

Contractor:_____ Contract No. _____

| | | |
|---|---|---|
| **Name of Evaluator/Respondent:**<br><br>**Position or Title:**<br>*(e.g., COTR, Task Monitor, Project Manager, etc.)*: | | |
| **Address of Activity/Business:** | | |
| **Telephone No.** | **Fax No.** | **Email Address:** |
| **Signature:** | | **Date:** |

*(To be completed by Gov't Interviewer only when survey is completed on behalf of Evaluator/Respondent. Otherwise leave blank.)*

| | | |
|---|---|---|
| Name of Interviewer: | | |
| Telephone No. | Fax No. | Email Address: |
| Signature: | | Date of Interview: |