



DEFENSE LOGISTICS AGENCY
DEFENSE ENERGY SUPPORT CENTER
8725 JOHN J. KINGMAN ROAD, SUITE 4950
FORT BELVOIR, VIRGINIA 22060-6222

IN REPLY
REFER TO DESC-CPB

January 24, 2001

CONTRACTING INSTRUCTION (CI): 01-4
MEMORANDUM FOR CI Distribution

SUBJECT: Preaward Survey (PAS) Procedures

This revised guidance supersedes Contracting Instruction 91-28 in its entirety.

The instruction has been reissued to provide updated directions for the preparation and documentation of PAS requests.

The following procedures are intended to provide personnel within each of the Commodity Business Units rationale for requesting Preaward surveys.

This CI is effective immediately and expires upon inclusion in the divisional SOP's. Point of contact is Mark Wirth, extension 7374.

A handwritten signature in cursive script that reads "Colleen A. Morris".

COLLEEN A. MORRIS
Associate Center Senior Procurement Official

Attachments



APPENDIX A

PREAWARD SURVEY (PAS) PROCEDURES

ELECTRONIC PAS PROCESING

DCMA has developed a secure Internet site designed to electronically request, track and retrieve the PAS. This virtual database is called the Supplier Information Service (SIS). The site is accessible via the DCMA web home page. Prior to obtaining Internet access authorized personnel must first complete a login process and select a password. You will need to enter both personal and agency information to complete the application. Login requires individuals to specify their security clearance level, type of investigation and date of investigation. Personnel with secret clearance or higher may verify their clearance with their respective DESC Security Representative. Non-critical sensitive employees will have to enter information pertaining to a background investigation, which is conducted on all DoD employees. Non-critical sensitive personnel may verify background investigation information by contacting the DLA Security Office. Points of contact for both DESC and DIA Security Representatives are provided in Appendix B. This security roster will be updated upon CBU advisement. After successful initial login, users may quickly enter the database by selecting "Authorized SIS users enter here".

LOGIN & APPLICATION PROCEDURE

Web access – <http://www.dcma.mil>

Go to Procurement Info and select "Supplier Info Services"

Under Passwords select "Visit SAM!"

Access request screen for DODAAC select "NOT ON LIST"

Type of access, select "SIS WEB USER"

Personal Info required: (Remember your entry's for future access)

1) Enter your own Personal Login ID. Select three letters followed by four numbers, e.g., aaa1111

2) Enter your own Personal Password. Select an alphanumeric imbedded password between 8 & 16 characters, e.g., "just4demo" or "where2go". Any combination is acceptable as long as your password has a letter on each end and at least one number within.

Application Info (other than self-explanatory)

DCMA ID: Use your own Personal Login ID in this field

DODAAC: The DESC code is SP0600

Personal Security Information:

1) Clearance Level: Select "Other" if you do not have a secret or top-secret clearance (access will not be granted if you select "None").

2) Type of Investigation: Example would be "Background NACI/OPM" or other acronym depending on what Agency requested the investigation and who performed it. *All US Government employees have had a background investigation.*

3) Date of Investigation: Enter appropriate date.

Note A: Security information may be verified by contacting your CBU Security Representative listed in Appendix B. If the information is unavailable contact the DLA Security Representatives also listed in Appendix B.

Note B: System access will not be granted for approximately five working days after successful completion of the online application. DCMA requires this time to verify your security status.

Information needed for database requests and queries:

A PAS may be requested via the Web-enabled SF 1403. The PAS request should include the supplier's Commercial and Government Entity (CAGE) Code and the Data Universal Numbering System (DUNS) identification number. DoD Central Contractor Registration (CCR) requires all suppliers to be registered prior to being awarded a contract (except for foreign suppliers performing work outside the United States). The supplier CAGE and DUNS numbers are used primarily to access database information; however, the buying activity may also search by Solicitation Number, Contractor Name or Serial Number (assigned by DCMA). The surveying activity will not delay the PAS process if CAGE or DUNS numbers are unavailable.

CONDITIONS FOR USE

A Preaward Survey (PAS) is normally required only when the information on hand or readily available to the Contracting Officer, including information from commercial sources, is not sufficient to make a determination regarding responsibility (DFAR 253.209-1). In addition, if the contemplated contract will have a fixed price at or below the simplified acquisition threshold the Contracting Officer should not request a PAS unless circumstances are warranted.

The PAS will assess whether the supplier has the necessary capabilities and financial resources to support the solicitation requirements. Generally, a PAS is requested only when award is contemplated to a low bidder/offeror. A PAS should be requested if the prospective supplier is new to government work or the Contracting Officer has doubts about the supplier's ability to perform. A PAS may also be requested to determine supplier responsibility for the establishment of a Basic Ordering Agreement (BOA) or Basic Agreement (BA). Concurrent PAS requests may be made in emergency situations or when multiple awards are contemplated. When the Contracting Officer determines that requesting a PAS is in the best interests of the Government, rationale for the request should be provided in the "Remarks" section of the SF 1403, Preaward Survey of Prospective Contractor (General).

REQUESTS FOR PREAWARD SURVEYS

PAS requests are directed to the appropriate Defense Contract Management Agency's (DCMA) contract administration office listed in the Federal Directory of Contract Administration Services (CAS) Components. These addresses are found by accessing the DCMA Home Page under "Locate Someone" and select "Find a CAO".

Informal Preaward Survey/Request for Information

It is in the best interests of DESC to involve DCMA prior to determining whether a formal PAS should be initiated. We may request DCMA to provide verbal/written information regarding a prospective supplier's current and past performance in lieu of a formal PAS. Additionally, DCMA may have recently completed a formal PAS on the prospective supplier and results may be made available immediately.

The Contracting Officer may submit informal PAS requests and/or requests for information regarding prospective supplier's. Normally, DCMA will respond to these type requests the same business day or within 24-hours. These requests can vary in scope from past delivery performance to multi-functional status requests. DCMA will utilize available resources and current supplier file documentation to respond to the informal PAS request. The response will be provided in the same manner in which it was received, i.e., telephone, fax, e-mail, etc.

When information on a prospective supplier indicates they are responsible and reliable, (i.e., satisfactory delivery performance, no quality problems, financial stability, etc.) the Contracting Officer will be notified accordingly. DCMA will advise the Contracting Officer to submit a formal PAS request if supplier data is unavailable, insufficient or negative/questionable.

Short Form Preaward Survey (Block 21; SF 1403)

A short form PAS is essentially the same as a formal survey; however, it is much faster and equally as detailed. This is the most efficient method of obtaining PAS results. When DCMA determines that sufficient information is readily available to satisfy PAS requests without the need for an on-site survey the Contracting Officer will be notified. If the Contracting Officer agrees, DCMA will generate a written report based on the available data.

Formal Preaward Survey

A formal PAS should be requested if any of the following conditions exist:

- (a) No relevant or current data is available;
- (b) Poor delivery performance (current and/or historical);
- (c) The offeror has had excessive Quality Deficiency Reports, or site level complaints;
- (d) Questionable Financial Capability;
- (e) When a Progress Payment Clause is in the solicitation and an accounting system review has not been performed in the past 12 months;
- (f) Concerns regarding ethics or integrity issues;
- (g) Substantially new product line;

Secondary Preaward Survey

If it is determined that a significant portion of work or service will be subcontracted by the prime supplier to a secondary place of performance, a secondary PAS may be warranted. DCMA should be notified immediately in these circumstances. DCMA will notify the Contracting Officer if they determine that a secondary PAS is warranted. If so, they will coordinate with the appropriate surveying activity to initiate the secondary PAS. DCMA is responsible for establishing a date for secondary input and *follow-up of the secondary PAS request*.

SCHEDULING

Normally allow at least 7 working days for conduct of the survey. Maximum allowable time for PAS completion should be allowed for the following:

- (a) Overseas PAS requests;
- (b) Complex Items;
- (c) New or inexperienced contractors;
- (d) Surveys with time consuming requirements, e.g., secondary survey, accounting system review, financial capability analysis or buying activity participation.

GENERAL PAS GUIDANCE

Prior to forwarding a PAS request be sure it has been staffed adequately. Request input from DESC organizational elements that may be aware of quality, performance or legal issues with the prospective supplier that may be unknown to the Contracting Officer. Additionally, if a negative PAS report is received from DCMA be sure to disseminate copies to all DESC elements that may be affected by the findings.

When requesting the PAS, direct DCMA to the DESC Internet web site for access to the solicitation and amendments. There may be additional information available that would assist the surveying activity, e.g., internal memoranda, technical reports or written observations that should be provided under separate cover.

Be sure to provide the surveying activity any statements from a prospective supplier indicating future compliance to solicitation terms and conditions, i.e., their need to obtain facilities, equipment or resources currently unavailable which will be made available at time of award or performance.

SF 1403 (Section III)

Block 23 – The buying activity should annotate any additional information relevant to the PAS request that will assist the surveying activity in processing the PAS. The type documentation needed has been explained in earlier text, e.g., rationale for requesting the PAS, buying activity participation, supplier's CAGE and DUNS numbers, etc.

Block 19 & 20 - These Blocks cover major and other factors to be investigated by the surveying activity during the PAS. It is recommended that the buying activity review the general definitions of these factors as described in (DFAR 253.209-1) to determine applicability of each factor to a specific PAS request. The Contracting Officer should tailor the PAS request to obtain only relevant information necessary to determine supplier responsibility.

APPENDIX B

1-Jan-01

DESC SECURITY REPRESENTATIVES	Point of Contact	Phone Number	E-mail Address
DESC-A/E	Sheila Valentine	703-767-8550	svalentine@desc.dla.mil
DESC-B	Margaret Lucian	703-767-9280	mlucian@desc.dla.mil
DESC-D	Lawerence Robinson	703-767-8420	lrobinson@desc.dla.mil
DESC-F	Ann Talkington	703-767-9379	mtalkington@desc.dla.mil
DESC-FD	Renee Thompson	609-562-6281	rthompson@desc.dla.mil
DESC-G	Martha Maxie	703-767-5012	mmaxie@desc.dla.mil
DESC-LA	Pam Bryson	310-900-6960 x1103	pbryson@desc.dla.mil
DESC-ME	Rick Chabot	011-9733-724-657	rchabot@desc.dla.mil
DESC-N	Isabel Richardson	703-767-8375	irichardson@desc.dla.mil
DESC-P	Marjorie Johnson	703-767-8500	mjohnson2@desc.dla.mil
DESC-R	Ana Mendez	703-767-9437	amendez@desc.dla.mil
DESC-S	Alice Rivenbark	703-767-8700	arivenbark@desc.dla.mil
DESC -SL	Henrietta Kifer	314-260-8786	hkifer@desc.dla.com
DLA SECURITY REPRESENTATIVES	Point of Contact	Phone Number	E-mail Address
DSS-SC	Carol Ferguson	703-767-7146	carol_ferguson@hq.dla.mil
DSS-SC	Bridget Pointer	703-767-7144	bridget_pointer@hq.dla.mil