



MARITIME ADMINISTRATION
OFFICE OF SHIP OPERATIONS
(MAR-610)

GUIDE FOR
CONDUCTING PRE-AWARD SURVEYS
OF SHIPWORK INDUSTRIAL ACTIVITIES
&
ASSOCIATED FORMS

Revised 1/00

Forward

The *Guide for Conducting Pre-Award Surveys of Shipwork Industrial Activities* was prepared by the Department of Transportation, Maritime Administration Management Analysis and Quality Programs Staff (MAR-610.3).

Additional copies may be obtained by calling (202) 366-0728.

Table of Contents

1.0 INTRODUCTION	1
1.1 GENERAL.....	1
1.2 OBJECTIVES	1
2.0 SURVEY SCOPE.....	3
2.1 SURVEY GROUPS AND FUNCTIONAL ELEMENTS.....	3
2.1.1 Management Group.....	3
2.1.1.1 Management/Administrative Capability.....	3
2.1.1.2 Material Procurement and Control Capability:.....	3
2.1.1.3 Quality Assurance/Control Capability:.....	3
2.1.2 Production Group	3
2.1.2.1 Production Capability:.....	3
2.1.2.2 Technical Capability:.....	3
2.1.3 Facility Group	4
2.1.3.1 Facilities:.....	4
2.1.3.2 Safety and Security:.....	4
2.1.4 Financial Group.....	4
2.1.4.1 Financial Capability:.....	4
2.1.4.2 Accounting System:.....	4
2.2 COMMON EVALUATION FACTORS	4
3.0 SURVEY PROCEDURES	7
3.1 SURVEY PROCESS	7
3.1.1 Need for Survey.....	7
3.1.2 Preparation for Survey.....	7
3.1.3 On-Site Survey.....	8
3.1.4 Investigative Techniques.....	9
3.1.5 Cautionary Notes.....	10
3.1.6 Standards of Conduct.....	11
4.0 SURVEY REPORTS	13
4.1 REPORT DEVELOPMENT.....	13
4.1.1 Capability Worksheets and Forms	13
4.1.2 Survey Team Discussions	14
4.1.3 Survey Team Recommendations.....	15
APPENDICES.....	17
APPENDIX 1 Pre-Award Survey Capability Worksheets.....	19
APPENDIX 1A Management/Administrative.....	21
APPENDIX 1B Material Procurement and Control.....	35
APPENDIX 1C Quality Assurance/Control.....	49
APPENDIX 1D Production Organization and Control.....	61
APPENDIX 1E Technical Support (Design/Engineering)	85
APPENDIX 1F Facilities.....	93
APPENDIX 1G Safety and Security.....	111
APPENDIX 2 SF-1400 Forms.....	129
APPENDIX 3 SF-17 Form.....	131
APPENDIX 4 Graving Dock and Floating Drydock Characteristic Summary Surveys.....	133
APPENDIX 5 DOT Form F 4220.1.....	135
APPENDIX 6 Performing Pre-Award Financial Surveys.....	137

Table of Contents

	Guide for Performing Pre-Award Surveys.....	139
Exhibit 1	Supplemental Analysis and Review.....	145
Exhibit 2	Sample Letter to MAR-580.....	147
Exhibit 3	Sample Memo from Region Finance Officer to MAR-593.....	149
Exhibit 4	Assisting in Evaluations.....	151
Exhibit 5	Statement of Financial Interest & Certificate of Non-Disclosure.....	153

1.0 INTRODUCTION

1.1 GENERAL

A pre-award survey is an evaluation by a procuring activity of a prospective shipwork contractor's capability to perform a proposed contract. A Maritime Administration (MARAD) Contracting Officer (CO) should request an on-site pre-award survey when sufficient information is not available to make an affirmative determination of a contractor's responsibility. Bear in mind that the burden of proof rests with the prospective contractor to demonstrate that it can perform under the contract. A prospective contractor for the purposes of this guide is the apparent low bidder for a specific solicitation.

This guide concentrates on the preparation for and execution of an on-site pre-award survey and is intended to be used primarily for government IFB type contracts. This guide may also be used by other parties, including Ship Managers, providing suggested areas to focus on when conducting pre-award surveys. Use of the guidance and worksheets in this guide will contribute to a complete assessment of the prospective contractor's capabilities relative to the requirements of a specific solicitation, and will provide a documented and permanent record of the survey's findings, recommendations, and determination.

1.2 OBJECTIVES

The on-site pre-award survey serves as a tool to assist the MARAD CO in determining whether the prospective contractor possesses the capability to satisfactorily perform in accordance with a solicitation's specific requirements regarding quantity, quality, schedule, and cost of services and products.

The pre-award survey must:

- a. Sufficiently evaluate a prospective contractor and determine whether that contractor possesses or has the ability to obtain the necessary equipment, facilities, and capability to perform the contract.
- b. Identify risks specifically related to a contractor's capability prior to contract award.
- c. Provide analysis of factual data to support a determination that a prospective contractor is or is not responsible.

The objectives of this guide are as follows:

- a. Set forth procedures for the pre-award survey process.
- b. Provide "standard" surveying and reporting formats.
- c. Identify and define the functional capability elements to be investigated and documented when surveying a prospective contractor.
- d. Provide insight into the analysis, evaluation, and assessment of a contractor's capability.

2.0 SURVEY SCOPE

2.1 SURVEY GROUPS AND FUNCTIONAL ELEMENTS

Several capability elements may need to be assessed when determining whether a shipyard or industrial activity possesses, or has the ability to acquire, the capability to perform satisfactorily.

These functional capability elements, as they may be possessed or reasonably obtained by a contractor, must be judged only in terms of a contractor's capability sufficient to successfully accomplish the requirements of a specific solicitation. Comparison of a contractor's capability to that of another contractor, or to any other criteria, is not appropriate.

The four Survey Groups and eight Functional Capability Elements are:

2.1.1 Management Group (refer to Appendices 1A, 1B, 1C)

2.1.1.1 Management/Administrative Capability

A management organization structured to provide clearly defined lines of authority, with the responsibilities and authority for each key position established, with qualified incumbents in key positions, and possessing documented operating procedures and information control adequate for the management of the proposed program.

2.1.1.2 Material Procurement and Control Capability:

The organization, management, personnel, and systems adequate to perform all functions required by the proposed programs for purchasing, subcontracting, accounting and control of OFM/CFM, material handling, and warehousing.

2.1.1.3 Quality Assurance/Control Capability:

An existing or planned quality program that meets the requirements of the proposed acquisition, and which has the necessary organization structure, management, plans, procedures, personnel, and conveyance of authority.

2.1.2 Production Group (refer to Appendices 1D, 1E)

2.1.2.1 Production Capability:

The management, organization, planning and control system, project management expertise, supervision, facilities and equipment, and labor resources required to produce the product or service in accordance with the requirements of that specification.

2.1.2.2 Technical Capability:

The management, organization, personnel, and systems necessary to accomplish all engineering design, logistics planning, technical document control, procurement support, production support, tests and trials planning functions, and the technical production skills required to perform the complex shipwork of the proposed acquisition.

2.1.3 Facility Group (refer to Appendices 1F, 1G)

2.1.3.1 Facilities:

The berths, drydocks, production shops, and equipment sufficient from a capacity, layout, and outfitting standpoint to facilitate the production shipwork and support requirements of the solicitation. Also, adequate support facilities and public utilities required for the operation of the offeror's facility, including transportation, electric, gas, water, sewage, etc.

2.1.3.2 Safety and Security:

Adequate facilities and procedures for storing and safeguarding OFI, OFE, OFM, and CFM. Adequate physical provisions for the safety of the plant, the protection of OFM, CFM, and owner's property, and the health and safety of personnel. Includes fire protection, police protection, heavy weather and disaster plans, and the facilities essential therefor. Evidence of adherence, or plans for achieving adherence, with the requirements of regulatory agencies as invoked by the contract, law, and statute, including OSHA, EPA, and USCG.

2.1.4 Financial Group (refer to Appendix 6)

2.1.4.1 Financial Capability:

The adequacy of the financial resources, either currently owned or obtainable, not currently pledged against another government contract, and required during the performance of the contract. The adequacy of the contractor's accounting system.

2.1.4.2 Accounting System:

An accounting system adequate for the management of the proposed program.

The ability to plan work, allocate resources and meet required schedules within the performance period must be affirmatively demonstrated by the offeror. Sufficient management, technical, production, material, financial, facility and quality control capabilities must be shown to be on hand or available to meet the proposed schedule, and to accommodate all other work to which the contractor will be committed during the period of performance.

A contractor's workload and available resources must be examined and analyzed for all work expected to run concurrent with the proposed availability in question.

While each topic is investigated as a segment of one of eight capability elements, most topics may relate to more than one of the capability elements. Because of this, it may be necessary for members of the survey team to share technical information and observations in order to arrive at an accurate assessment of a contractor's capability.

2.2 COMMON EVALUATION FACTORS

The evaluation factors listed below are generally common to each of the eight functional elements. They should be investigated from the perspective of each specific element, with the findings annotated on the appropriate survey worksheets. As an example, the survey may indicate that a contractor's corporate organization appears to be adequate, while the contractor's production organization may not be adequate. Thus, the common factor of organization must be evaluated within each functional element.

Evaluation factors common to most functional elements which must be evaluated within each element:

- a. Organization
Lines of communication and authority.
- b. Management/Supervision
Authority, experience, and depth.
- c. Personnel
Number, experience and depth.
- d. Policies/Procedures
Implemented and effective, not just on the shelf.
- e. Past Experience & Performance
In scope and complexity.
- f. Understanding of Solicitation Requirements
Both shipwork and administrative requirements.
- g. Special Requirements
Possession or availability of special skills, processes, equipment, etc.
- h. Surge Capability
Ability to accomplish new work and growth work.
- i. Planning/Scheduling Abilities
Includes production schedule recovery.
- j. Quality Controls
Through existing company programs, and ability to adapt to solicitation quality requirements.
- k. Record of Integrity and Business Ethics
Self-explanatory.

3.0 SURVEY PROCEDURES

3.1 SURVEY PROCESS

3.1.1 Need for Survey

Upon determination of an apparent low bidder, requisite management personnel will confer regarding the need for survey evaluation. Factors to be considered:

- a. All bid documents, solicitation package, and specifications.
- b. Any information indicating prior unsatisfactory performance by the prospective contractor.
- c. Performance period.
- d. Past performance and experience of the contractor.
- e. Knowledge of the contractor's current capability.
- f. Awareness of recent changes in contractor management, facility, organization, etc.
- g. Number of recent and similar contracts performed by the company.
- h. Any additional factors about which information is needed.
- i. Determine whether the prospective contractor is debarred, suspended, or ineligible for any reason.

3.1.2 Preparation for Survey

A Pre-Award Survey (PAS) Coordinator shall be selected. The PAS Coordinator will review the bid documents, solicitation and specifications. The PAS Coordinator will then assign appropriate people to the team.

The PAS Coordinator and the team members must become familiar with the bid and the requirements of the solicitation, specifically with regard for individual survey assignments. This familiarization must be accomplished in the time period between notification by the CO and commencement of the survey. Since a timely award is in the best interest of all parties, the PAS Coordinator will review the solicitation and inform the CO of the amount of time required for the team to prepare for the PAS. At this point, delays in assigning team members must be avoided so team members can prepare adequately for the PAS. Preparation for a PAS should normally require only one or two days.

When preparing for a survey, the PAS Coordinator will meet with the team to discuss requirements of the solicitation, to provide any special instructions and guidance applicable to the specific survey, and to ascertain whether or not the individual team members fully understand the requirements of the solicitation. Each team member will review available records on the past and current performance of the prospective contractor, with focus on their specific pre-award survey assignment. These actions must be completed prior to commencing the on-site survey.

Once the determination is made that an on-site survey is required, the CO or PAS Coordinator will advise the prospective contractor of the established starting date and time for the survey, and will provide the prospective contractor with the names and assignments of the team members. At this time the contractor will be requested to identify points of contact for each group and team member. The PAS Coordinator will forward the SF-17 and other information request forms, to the contractor for completion and return prior to the PAS. The advance information conveyed in these forms may provide the PAS team with useful information in advance of the actual survey.

The PAS Coordinator will coordinate survey and travel arrangements. Arrangements for the team's visit to the site, and liaison between the prospective contractor and the team, is the responsibility of the PAS Coordinator. If special survey expertise or assistance is required, the PAS Coordinator will arrange for such.

3.1.3 On-Site Survey

Once an on-site survey begins, the team must operate as an autonomous unit. The PAS Coordinator is ultimately responsible for conducting the on-site survey and for preparing the final report.

Except as provided in the Freedom of Information Act, information accumulated for the purposes of determining the responsibility of a prospective contractor shall not be released or disclosed. Survey information that may contain proprietary or source selection information should be marked with appropriate legend, and otherwise protected.

Upon arrival at the prospective contractor's facilities, an arrival conference will be held. This meeting will be used to introduce the pre-award survey team, convey the team's purpose, review the itinerary, explain the scope of the survey, introduce team members, and meet key contractor personnel.

In most instances, company information will be distributed and a facilities orientation tour will be conducted. The arrival conference concludes with each team member paired with a contractor counterpart to conduct the survey and the interviews.

When the contractor being surveyed is a small business that has received preferential treatment on an ongoing contract under Section 8(a) of the Small Business Act (15 U.S.C. 637) or has received a Certificate of Competency (COC) during the last 12 months, the Contracting Officer shall consult the appropriate Small Business Administration field office before making an affirmative recommendation regarding the contractor's responsibility or non-responsibility.

The PAS Coordinator will inquire of the contractor its current Section 8(a) status. The PAS Coordinator will also establish the status of the contractor with regard to having received a COC from the SBA within the last 12 months. This information will be documented by the PAS Coordinator for consideration and action by the CO.

It is important that the survey itinerary minimize work disruption to the contractor, while still facilitating a thorough survey. Survey team members will normally begin the day's involvement with their contractor counterparts one hour after the usual work starting time, and will complete each day one hour prior to end of the day shift.

The full survey team will normally meet twice daily while on-site; once in the morning prior to beginning survey activities, and once at the end of the day. These meetings should be used for team discussions, exchange of information on survey items, coordination of activities, and for the team members to review the progress of the survey. Only the team members attend. The information exchanged must be treated as privileged information and is not to be divulged outside of the team.

3.1.4 Investigative Techniques

With experience, team members will develop investigative techniques best suited for accomplishing their assigned survey tasks. A team member has full responsibility for conducting a thorough investigation of each assigned topic, and for rendering a complete and accurate report that provides for an objective assessment of the prospective contractor's capability regarding the specific topic.

Recommended techniques for investigating include:

a. Facility Tour

Observe facility for adequacy, size, layout, outfitting (capacities and redundancy), safety, security, cleanliness, protection from elements during production of work, pre-staging, and storage required in the solicitation. The facility tour should also examine and document pier and drydock adequacy, crane capacity and certification, navigational restrictions, and other relevant concerns regarding the physical plant.

b. Observe Work in Progress

Especially important, if the work or evolutions observed are the same or similar to the shipwork requirements of the solicitation.

c. Personnel Interviews

From first level supervisors to senior management. Question the existence and authenticity of capabilities claimed in writing or stated verbally to be possessed by the contractor. The existence of elements such as organization, procedures, production capability, etc. should not be taken as fact without verification by observation or other form of confirmation.

d. Review Procedure Implementation

The existence of "on-the-shelf" procedures (no matter how comprehensive) does not indicate the implementation or effectiveness of procedures within the organization. Verification of a procedure's effective application in actual past and current availabilities is essential.

e. Record Inspecting

Team members should thoroughly examine all existing records that relate to tests, policies, procedures, systems, inspections, qualifications, personnel, personnel experience, and equipment.

f. Demonstrations of Systems

The successful operation of complete physical and management systems (e.g. fire protection, material handling, quality control, production control, inventory, etc.) must be demonstrated.

g. Analyze/Verify Production Plans & Schedules

Review the contractor's current development of plans, manpower curves, schedules and other administrative standards required by the solicitation. Assess and record the contractor's ability to fully comply with such requirements.

h. Contact Other Customers

Commercial ship operating companies, U.S. Navy, USCG, etc.

It is not sufficient for a team member to accept at face value a contractor's public relations releases, proposal statements, internal instructions, written procedures, unconfirmed promises and allegations, or information provided on the SF 1400 series forms, as "de facto" evidence of successful prior performance or current ability.

While performing duties as team member and spokesman, the PAS Coordinator must also monitor the work of the other team members in the group, receive their element reports, review each report for completeness and format, compile all reports, and make a written summary report and recommendation to the Contracting Officer.

The PAS Coordinator shall not attempt to influence the findings or reports of individual team members, and shall not edit or otherwise alter the individual reports of team members.

When the PAS Coordinator has received notification from team members that all information needed to complete the capability worksheet reports has been acquired, the on-site investigative part of the survey is complete.

The PAS Coordinator will then hold a brief departure conference with the prospective contractor, but shall not engage in discussions relating to award of the contract, the initial findings, or the probable outcome of the survey. Such discussions are the prerogative of the Contracting Officer only, and should occur at the appropriate time after completion of the pre-award survey.

3.1.5 Cautionary Notes

There are limitations upon the authority of the pre-award survey team and its members, and there are precautions that must be observed during an on-site survey. In that regard:

- a. No reference or comment is to be made relative to the possibility that a prospective contractor will or will not be awarded a contract.
- b. The survey team has no contracting authority. Therefore, no negotiations, direct or implied, are to be engaged in. Only the Contracting Officer has the authority to negotiate.
- c. Discussions with a prospective contractor must be conducted to clarify questionable areas and to ascertain that the requirements of the solicitation are understood. On the other hand, discussions on how to correct deficiencies in order to achieve adherence with solicitation requirements will not be held. Team member opinions regarding possible corrective actions should be noted on the survey reports and conveyed to the PAS Coordinator and then the Contracting Officer.

- d. The scope of the pre-award survey is limited to the requirements of the specific solicitation for which the survey is being conducted. The survey will not be used to enforce efforts to administer other on-going shipwork programs, or to collect otherwise unneeded information.
- e. The prospective contractor will be advised that the sole purpose of the pre-award survey is to assist the Contracting Officer in making a determination of contractor responsibility in relation to the proposed procurement. This statement must be made by the PAS Coordinator at the beginning of the entry conference. At that conference the Coordinator must make it clear to the prospective contractor that the survey team members do not have contracting authority.

The Coordinator should also make clear that any discussions held for the purpose of clarification, or determining comprehension of the solicitation, as well as other team member comments, are not to be construed as negotiation with, or instruction to, the prospective contractor.

- f. Prior to commencing an actual survey, each PAS team member shall be required to sign a Statement of Financial Interest/ Certificate of Non-Disclosure attesting to the fact that neither they nor their immediate family hold stock, possess investments, or have any other direct or indirect financial or business relationship with the firm being surveyed, which would conflict or give the appearance of conflict with the member's duties on the PAS team. These statements will be retained in the PAS file.

3.1.6 Standards of Conduct

All members of the pre-award survey team shall, in all dealings with the contractor, conduct all matters in a fair, professional, and courteous manner. All actions and behavior of team members shall be above reproach. Members shall refrain from using abusive, discriminatory, threatening, offensive or any other language or gestures that may offend the contractor or bring discredit upon anyone.

4.0 SURVEY REPORTS

4.1 REPORT DEVELOPMENT

4.1.1 Capability Worksheets and Forms

Capability worksheets (Appendix 1) are the primary investigative tools that will be used by a team member when determining contractor capability. These worksheets cover several functional areas and are designed to facilitate the investigation of a prospective contractor about which little may be known regarding capability or past performance. The capability worksheets are not intended for the industrial activities to fill out. They are intended as an on-site survey form.

The SF-1400 series forms (Appendix 2), the SF-17 form (Appendix 3), and the Graving Dock and Floating Drydock Characteristic Summary forms (Appendix 4), are excellent forms to be provided to the industrial activity to fill out. These forms may be used to provide basic capability data on a regular basis, or to provide basic information that is current and is to be reviewed prior to conducting a pre-award survey.

The SF-1400 series forms (Appendix 2) for Pre-Award Survey of Prospective Contractor include:

SF-1403, General

SF-1404, Technical

SF-1405, Production

SF-1406, Quality Assurance

SF-1407, Financial Capability

SF-1408, Accounting System

The SF-17 form (Appendix 3) is Facilities Available for the Construction and Repair of Ships.

Form F4220.1, Determination of Prospective Contractor Responsibility (Appendix 5) provides a final summary tabulation of important elements and factors evaluated and rated. It is to be completed at the conclusion of the Pre-Award Survey.

Additional forms and guidance for conducting the financial portion of pre-award surveys and supplements to SF-1407 and SF-1408 are contained in Appendix 6.

Please note that the team members may also ask questions not contained in the worksheets, in order to gain insight into the prospective contractor's capabilities. These additional questions and responses thereto, shall be annotated on the worksheets.

Summary reports of each worksheet will address the following issues:

a. Strengths

In support of a responsibility finding.

b. Weaknesses

That may indicate non-responsibility.

c. Corrective Actions

Opinion of required corrective actions for deficiencies that may be correctable prior to the start of a contract.

d. Program Risk

The risk to the owner if award is made in the face of current contractor deficiencies.

e. Recommendation

Regarding the responsibility of the contractor, considering all of the findings that describe the contractor's current capability.

The team members will have assigned responsibilities for preparing summary reports on the element worksheets and for compiling the collected data items required (information contained in the SF-1400 series and the SF-17 forms mentioned below).

Each team member will make a summary statement of their assessment of the prospective contractor's capability as it relates to the topic investigated and the specific requirements of the solicitation. This summary statement is contained at the end of each capability worksheet.

Summary reports will be based on the information contained in and required by the capability worksheets. These reports must contain a discussion of the firm's capabilities, and will cite strengths and/or weaknesses as justification in supporting the written recommendation.

Team members will identify and assess all risks to satisfactory project performance. If risks are identified, the cause and possible impacts must be discussed. If no risk has been identified in connection with the topic investigated, a simple statement to that effect will be made. Team Members will provide a narrative discussion of their findings, along with the rationale for the summary assessment. For brevity, copies or attachments of, or references to available documents may be used, as they will support and clarify observations. Reports should be brief, but thorough.

Team Members should briefly explain how their investigations were conducted; e.g., walk-through of system, physical inspection, interviews, etc.

Team Members will make recommendations, based on their findings, regarding the contractor's responsibility.

4.1.2 Survey Team Discussions

Upon completion of the worksheets, the PAS Coordinator shall assemble the survey team members to discuss the initial assessments of information contained in the topic reports. Attendance at the discussions must be limited to the Coordinator and team members. The

ensuing summary report of the PAS Coordinator must represent a consensus of the team's findings, as well as the findings and recommendations of each team member.

4.1.3 Survey Team Recommendations

The PAS Coordinator will use the information from the individual worksheets to prepare a summary of the survey findings, and a recommendation. This summary should identify all areas of risk and deficiencies that could adversely impact the successful performance of the proposed shipwork program. Recommendations may call for corrective actions to be taken prior to an award, or may suggest that firm commitments, including plans of action with milestones for implementation, be obtained prior to an award.

Where shipwork procurements are involved, the survey team will not make recommendations for or against an award, as shipwork procurement may be awarded after consideration of the qualifications of more than one bidder, and with more than one pre-award survey being performed. The proper statement of the team assessment of capability is "The pre-award survey findings are (or are not) supportive of a determination of offeror responsibility".

The PAS Coordinator will transmit the completed survey, including all capability worksheets, with a recommendation to the CO.

Transmittal should be by memorandum, with copies to appropriate parties. The memorandum should state the date, place, and purpose of the survey, offer a very brief synopsis of the more significant findings of the survey, and contain a statement of the team's final recommendation.

APPENDICES

APPENDIX 1

PRE-AWARD SURVEY CAPABILITY WORKSHEETS

MANAGEMENT GROUP
MANAGEMENT/ADMINISTRATIVE
MARITIME ADMINISTRATION
PRE-AWARD SURVEY
CAPABILITY WORKSHEET
(Reviewed 01/00)

SHIPYARD: _____ LOCATION: _____ DATE: _____

SURVEYOR: _____ PHONE: _____

REGION: _____

VESSEL: _____ SOLICITATION NO: _____

MANAGER(S) INTERVIEWED: _____

NOTE: THE OBJECTIVE OF THIS PRE-AWARD SURVEY IS TO ASSESS THE OFFEROR'S CAPABILITY TO COMPLY WITH THE REQUIREMENTS OF THE ABOVE SOLICITATION.

1. Request a copy of the prospective contractor's organizational chart. Does the chart show that the company possesses the functions required of a fully functional ship overhaul and repair facility sufficient to successfully accomplish this availability (i.e., management, engineering, planning, scheduling, estimating, material, production, quality assurance)? _____

REVIEW AND COMMENT.

2. Are the company's lines of authority clear? Decision making points established? Relationships of functional and staff organizations identified? EXPLAIN.

3. Ask for the resumes of key personnel and for position descriptions of the important company positions. Do the PD's thoroughly describe the functional responsibilities of each important position? _____ Do the resumes accurately describe the current and prior positions held, the experience base, and scope and level of education possessed by key personnel? _____

COMMENT AND EXPLAIN.

4. Are any of the key management personnel responsible for more than one major company function? _____ (If yes, LIST instances and have the company explain what effect multiple roles has on the company's operation, efficiency, etc., during this availability.)

5. Ask about the relationship of the company with other businesses. Does the company have a parent corporation, and, if so, what is the relationship? _____ Are there any other corporate divisions or subsidiaries? _____ List all corporate affiliates or subsidiaries.

6. Ask the senior company official to describe the company's chain of command/line of authority flow (from president down to the supervisory level), as it relates to how the company makes major and minor business and operating decisions. **OBTAIN A COMPANY ORGANIZATION CHART.**

7. Does the contractor have an existing management information and control system (MIS)? Yes ___ No ___ If so,

a) Is the MIS maintained by hand, or by use of a computer? **COMMENT.**

b) Ask top management to exhibit and describe their MIS and the MIS-generated management tools. Assess how the MIS and the management tools will aid company officials in the management of this availability. **DISCUSS**

c) Where in the organization does the responsibility for control of the MIS system reside?

d) Does the MIS identify problems to management in a timely manner? Determine if the company actually uses the MIS to identify problems and to monitor corrective actions? **COMMENT.**

e) If no system exists, how will management remain informed and in a position to react to problems as they occur?

8. Who in the firm is responsible for developing, integrating and issuing the master work schedules?

a) Does upper management actively review and provide inputs to the master schedules?

b) How are master schedules maintained up-to-date?

c) How frequently are the schedules issued, revised and updated?

9. Is performance progressed against the master schedules? EXPLAIN.

a) Review and comment on the assessment of progress in relation to the master schedules.

b) Are any other tools used to identify problems and control workload? Identify and describe.

10. Which department is responsible for human resources? Where does that function reside within the company?

11. Review and comment on past employment and hiring practices. Review a copy of the employee handbook, if available.

12. Is a seniority system used in employee hire and recall? COMMENT.

13. Obtain the firm's employment levels for the past two years.

Administrative Production

a. Current

b. Highest

c. Lowest

14. Are there sufficient management, administrative, and trade skills and personnel presently onboard to properly staff and complete the subject availability? _____ If not, identify all personnel shortfalls.

15. Are there any other availabilities concurrent with the subject availability? _____ If yes, what is the projected manning requirements including supervision? Have the management demonstrate that sufficient manpower resources are available for all concurrent work. DISCUSS IN DETAIL:

16. Are there plans to acquire additional managers/supervisors to staff up for the current or projected workload? COMMENT.

17. Are there plans to acquire additional skilled labor to staff the current or projected workloads? COMMENT.

18. How will supplemental project management and shop supervision be provided during periods requiring multiple shifts or multiple jobs? COMMENT.

19. How many shifts does the company normally work? _____

20. How many shifts does the subject availability require? _____

21. If the subject availability requires more than one shift, is supervision, safety and Q.A coverage adequate? _____ COMMENT.

22. What is the maximum workforce that the company can manage with its existing management, supervision and administration? COMMENT.

23. How does this compare to the solicitation and other concurrent job requirements? COMMENT.

24. Is work subcontracted? _____ If so, how is the subcontractor's capability and personnel skills checked and evaluated? Explain the company's subcontractor selection process.

25. Review the company's list of subcontractors identified for this availability. Review the company's files for prior inspection by the prime of the subcontractors identified. COMMENT.

26. Review and comment on the training programs (formal or informal) for new managers, production personnel, administrative personnel, supervisors, and others. Comment specifically on the company's plans to indoctrinate or train employees or new hires in preparation for requirements of the subject availability.

27. Are personnel files maintained for all management, administrative and craft personnel? _____
REVIEW AND COMMENT.

28. Name all union affiliations. Provide the agreement expiration dates.

29. Does the firm have an Affirmative Action Plan (AAP)? _____ Review and comment on it. Has it been endorsed by top management? _____

30. Does the firm have an Equal Employment Opportunity (EEO) program? _____ Review and comment on it. Has it been endorsed by top management? _____ Has the firm been cited with any violations of its EEO policy? _____

31. Does the company hold current insurance policies in the following areas:

Y/N

_____ General Liability

_____ Workman's Compensation & Employer's Liability

_____ Ship Repairer's Legal Liability

(OBTAIN copies of the certificates for the above.)

32. PAST PERFORMANCE

A) Discuss known weaknesses or deficiencies in the past performance of this contractor. In the discussion include specific corrective measures the contractor has taken to preclude recurrence of deficiencies or poor performance.

B) Discuss known strengths of the contractor that are documented in the record of prior contracts.

33. Provide a detailed and thorough narrative of the firm's capabilities in the area of administration and management.

a) List the major strengths and weaknesses in this area.

b) List opinion of needed corrective actions for weaknesses that may be correctable prior to the start of contract performance.

c) Provide a statement regarding program risks to the government if award is made in the face of current contractor weaknesses.

d) Make a recommendation as to the contractor's responsibility. Support your recommendation with specific information gathered during the survey interview(s), by written documentation and references gathered during the survey, and by attributable quotes.

NOTE: CAPABILITY ASSESSMENT OF THE INFORMATION COLLECTED IN THIS WORKSHEET MUST BE FROM THE PERSPECTIVE OF THE REQUIREMENTS OF THE SPECIFIC SOLICITATION BEING CONSIDERED.

33. Narrative continued - Use additional sheets if needed).

MANAGEMENT GROUP
MATERIAL PROCUREMENT AND CONTROL
MARITIME ADMINISTRATION
PRE-AWARD SURVEY
CAPABILITY WORKSHEET
(Reviewed 01/00)

SHIPYARD: _____ LOCATION: _____ DATE: _____

SURVEYOR: _____ PHONE: _____

REGION: _____

VESSEL: _____ SOLICITATION NO: _____

MANAGER(S) INTERVIEWED: _____

NOTE: THE OBJECTIVE OF THIS PRE-AWARD SURVEY IS TO ASSESS THE OFFEROR'S CAPABILITY TO COMPLY WITH THE REQUIREMENTS OF THE ABOVE SOLICITATION.

1. Obtain a copy of the prospective contractor's organizational chart. Which department and personnel are responsible for material procurement and control, and what is their placement in the corporate structure? IDENTIFY AND EXPLAIN.

2. Are there separate organizational charts for the material department? OBTAIN A COPY.

3. Are the lines of authority clear? _____ Decision making points established? _____
 EXPLAIN.

4. Review position descriptions (PDs) if available, for completeness and consistency with operating requirements. Do the PDs match the credentials (resumes) of the purchasing or material control personnel? COMMENT AND EXPLAIN.

5. Obtain a list of the personnel in the purchasing or material department. Is the current staffing level adequate for current and/or projected workload? Provide the following information:

	<u>Number</u>	<u>Years of Experience</u>
Department Head	_____	_____
Buyers	_____	_____
P.O. Administrators	_____	_____
Inspectors	_____	_____
Expeditors	_____	_____
Warehousemen	_____	_____

6. Are any of the key Material Procurement personnel responsible for more than one company function? _____ COMMENT.

7. If there is only one individual in each key position, how is increased activity in material ordering, tracking, etc. handled by the company so as not to jeopardize production? EXPLAIN.

8. Does the company plan to augment their purchasing/material control staff for the subject availability? EXPLAIN.

9. Are any of the key personnel in the material procurement dept. involved in the material take-off phase of bidding? EXPLAIN.

10. How are material vendors selected? EXPLAIN.

11. Are there any standard operating instructions or procedures, directives or instructions in effect for the following functions? IDENTIFY, REVIEW AND EVALUATE.

- | | |
|--|---|
| <input type="checkbox"/> Material Identification | <input type="checkbox"/> Receipt Inspection/Control |
| <input type="checkbox"/> Material Scheduling | <input type="checkbox"/> Storage |
| <input type="checkbox"/> Purchasing | <input type="checkbox"/> Protection |
| <input type="checkbox"/> Subcontractor Control | <input type="checkbox"/> Segregation |
| <input type="checkbox"/> Monitoring | <input type="checkbox"/> Issue Control |
| <input type="checkbox"/> Inventorying | <input type="checkbox"/> Handling |
| <input type="checkbox"/> Progressing | <input type="checkbox"/> Disposal |

LIST those procedures that exist but are not comprehensive or adequate and COMMENT.

12. If documented procedures are lacking, is it evident that the contractor has effective procedures implemented to meet the requirements of the solicitation in each functional area listed in #11? EXPLAIN.

13. Are the Purchasing Agents knowledgeable of MIL-SPECS, and government procurement standards? COMMENT.

14. Are these requirements referenced on the purchase orders? REVIEW A PROVIDED SAMPLE.

15. Are lead time publications used for purchasing guides?

16. Is there a "make or buy" policy in effect? REVIEW AND EVALUATE.

17. What factors determine the decision to make or buy?

18. How are long lead time items identified?

19. Who identifies them?

27. Is there an automated/computerized system in use in the material department? Identify if it is used for:

_____ Purchase order tracking.

_____ Material Status.

_____ Inventory Control.

_____ Reporting.

28. What kind of material identification system is in use?

29. What type of material inventory system is in use? COMMENT.

30. Who is responsible for monitoring, status, and reporting inventory?

31. How is material received?

32. Who is responsible for receipt inspection and the reporting of incoming materials?

33. Who monitors for compliance to purchase order requirements?

34. What are the firm's policies and procedures regarding the receipt of non-conforming materials? EXPLAIN.
35. Is subcontractor control a separate department?
36. Who is responsible for monitoring and controlling subcontractors? DISCUSS.
37. Are there documented procedures addressing the requirements for subcontractor selection and control? _____ REVIEW AND EVALUATE.
38. What types of work are normally subcontracted?
39. What is the approximate average percentage of all work subcontracted?
40. Have the major subcontractors been identified for this availability? REVIEW LIST.

41. Have the identified subcontractors been used by the contractor previously?
42. Have the identified subcontractors been recently inspected by the prime for capability, including facility adequacy, quality assurance, supervision, etc.? REVIEW THE PRIME'S SUBCONTRACTOR FILES AND COMMENT.
43. Describe how GFM and CFM are stored, controlled, segregated, protected, secured and issued.
44. Does the firm have an established policy and written documentation identifying the specific GFM and CFM control requirements? _____ REVIEW AND EVALUATE.
45. Does the contractor possess an established policy and written documentation that governs the contractors ability to account for and control non-expendable personal property (also referred to as government-owned/contractor-held property) owned by the government, but possessed and used by a contractor?
YES / NO
46. If NO, describe the type of control system possessed by the contractor to enable it to account for and control government owned/contractor-held property.

47. Has a specific individual been assigned to administer the property management system?

YES / NO

48. Does the contractor's individual who is responsible for administering the property management system possess a copy of OMB Circular A-110; Property Management Standards?

YES / NO

49. Identify the approximate amounts (in square feet) of storage space for the following:

Total Warehouse _____ square feet

Environmentally Protected _____ square feet

Environmentally Controlled _____ square feet

GFM Storage _____ square feet

CFM Storage _____ square feet

Outside Storage _____ square feet

Contractor Toolroom _____ square feet

Contractor Storeroom _____ square feet

Gov't Surplus Storage _____ square feet

50. Is the storage space listed sufficient for this availability? EXPLAIN.

51. Does it appear that materials can be effectively transported throughout the facility without difficulty? _____ EXPLAIN.

52. Does the firm have an adequate amount of weight handling equipment and conveyances for proper and safe movement of material within the facility and to remote sites? _____ LIST AND DISCUSS.

53. Is the contractor familiar with the requirements for Provisional Technical Documentation (PTD)? _____ If so, identify any previous experience with PTD.

54. Has the contractor identified the configuration control requirements of the solicitation?

55. Does the firm have an adequate technical and logistics staff to support configuration control and PTD requirements or would the firm obtain the services of a subcontractor for assistance? Which one(s)?

56. PAST PERFORMANCE

A) Discuss known weaknesses or deficiencies in the past performance of this contractor. In the discussion include specific corrective measures the contractor has taken to preclude recurrence of deficiencies or poor performance.

B) Discuss known strengths of the contractor that are documented in the record of prior contracts.

57. Provide a detailed and thorough narrative of the firm's capabilities in the area of material procurement and control.

a) List the major strengths and weaknesses in this area.

b) List opinion of needed corrective actions for weaknesses that may be correctable prior to the start of contract performance.

c) Provide a statement regarding program risks to the government if award is made in the face of current contractor weaknesses.

d) Make a recommendation as to the contractor's responsibility. Support your recommendation with specific information gathered during the survey interview(s), by written documentation and references gathered during the survey, and by attributable quotes.

NOTE: CAPABILITY ASSESSMENT OF THE INFORMATION COLLECTED IN THIS WORKSHEET MUST BE FROM THE PERSPECTIVE OF THE REQUIREMENTS OF THE SPECIFIC SOLICITATION BEING CONSIDERED.

58. (Narrative continued - use additional sheets if needed).

MANAGEMENT GROUP
QUALITY ASSURANCE/CONTROL
MARITIME ADMINISTRATION
PRE-AWARD SURVEY
CAPABILITY WORKSHEET
(Reviewed 01/00)

SHIPYARD: _____ LOCATION: _____ DATE: _____

SURVEYOR: _____ PHONE: _____

REGION: _____

VESSEL: _____ SOLICITATION NO: _____

MANAGER(S) INTERVIEWED: _____

NOTE: THE OBJECTIVE OF THIS PRE-AWARD SURVEY IS TO ASSESS THE OFFEROR'S CAPABILITY TO COMPLY WITH THE REQUIREMENTS OF THE ABOVE SOLICITATION.

1. Obtain a copy of the prospective contractor's organizational chart. Which department and personnel are responsible for quality assurance/quality control, and what is their placement in the corporate structure? LIST.

2. Are there separate organizational charts for the facility maintenance department? _____
OBTAIN A COPY.

3. Are the lines of authority clear? _____
Have decision making points been established? _____ EXPLAIN.

4. Is the QA/QC department organizationally placed so as to ensure top management's attention to the importance of QA/QC? _____ COMMENT AND EXPLAIN.

5. Are any of the key Q.A/Q.C. personnel responsible for more than one major company function?
_____ COMMENT.

6. How are QA inspectors assigned (By craft, by project)? EXPLAIN.

7. Are QA inspectors dedicated to QA or do they serve in other functions concurrently?

8. Are there sufficient QA inspectors on the company's rolls to provide QA coverage for the subject solicitation, taking into account multiple shift production requirements and any concurrent availabilities?
_____ If no, how does the contractor plan provide the QA coverage needed? EXPLAIN.

9. Review position descriptions (PDs), if available, for completeness and consistency with operating requirements. Do PDs match the credentials (resumes) of the QA/QC personnel? COMMENT AND EXPLAIN.

10. Obtain a listing of the personnel in the QA/QC department.

	<u>Number</u>	<u>Years of Experience</u>
Manager	_____	_____
Inspectors (full time)	_____	_____
Inspectors (part time)	_____	_____

11. Does the firm have any written, documented quality assurance plans, procedures or a manual?
 _____ REVIEW AND EVALUATE.

12. If a NAVSEA QA manual is presented, have the company explain how it applies commercial standards as required by ABS, USCG and the customer?

13. Does the company claim to apply NAVSEA QA procedures verbatim to commercial work?

14. If no, where are the commercial procedures documented? COMMENT.

15. If not documented, have the contractor explain his Q.A./Q.C. system and procedures.

16. Have the contractor provide a QA file for the last commercial availability accomplished for review . Review for compliance with the contractor's QA procedures. COMMENT.

17. What are the steps taken by the contractor for developing an inspection plan?

18. Who is responsible for developing and approving inspection plans?

19. Review a copy of a company developed inspection plan for a recent commercial repair availability. Does it differentiate between customer and contractor Q.A. tests and checkpoints? _____ Does the inspection plan appear to be comprehensive? _____ EXPLAIN.

20. Is there an in-house quality deficiency reporting system? _____

21. Is it formalized? _____ REVIEW AND COMMENT.
22. Who is responsible for writing test memos, if required?
23. Is there an established metrology program? _____ Does it include facilities and equipment?
_____ DESCRIBE.
24. Is there a comprehensive Calibration Procedure for the company? _____ REVIEW AND COMMENT.
25. Is there a calibration recall system? _____
26. Is it traceable to national standards? _____
27. If calibration is performed by a subcontractor, who is the subcontractor and who is responsible for ensuring the quality of the subcontractor's work? EXPLAIN.
28. How is calibrated equipment segregated from uncalibrated equipment?

29. During the tour of the facilities, inspect the company's test, measuring, and diagnostic equipment. Is the equipment currently in calibration? _____ EXPLAIN (Look at a representative number of meters, gages, micrometers, calipers, standards, etc. in the toolroom and in the shops).

30. Inspect the test, measuring, and diagnostic equipment inventory list. Is the list current? _____ COMMENT.

31. Does the inventory list equipment, manufacturer, model #, serial #, calibration interval, calibration due date, etc.? _____ COMMENT.

32. Examine the latest monthly "Due For Calibration List". COMMENT.

33. Does the firm have a non-destructive testing (NDT) program in-house or is it subcontracted? Identify. Provide number of personnel qualified on the following types of NDT.

In-House PT	PT _____	MT _____	RT _____	UT _____
Sub-contracted	PT _____	MT _____	RT _____	UT _____

Obtain copies of certifications for all in-house personnel qualified in the above NDT processes for review.

34. Are there any procedures established for monitoring and controlling the quality performance of subcontractors? REVIEW AND COMMENT.

35. How are the subcontractors' quality control requirements documented? On the purchase orders? In the contract? COMMENT

36. How are subcontractors selected (low bid, past performance, etc.)?

37. Are there any established procedures governing subcontractor selection? _____ REVIEW AND COMMENT.

38. Are audits conducted on subcontractors prior to finalizing selection? _____ While work is on-going in shop, on board ship or at the subcontractor's facility? _____ DESCRIBE.

39. Are subcontractor performance files maintained? REVIEW sample files and COMMENT on the documentation.

40. What work is normally subcontracted? LIST.

41. How are the subcontractor's skills and personnel checked and evaluated? COMMENT.
42. Does the firm have documented welding procedures? _____ If so, have they been reviewed and approved by the local SUPSHIP?
43. Does the firm maintain a list of qualified welders? _____ Is it current? _____ OBTAIN A COPY.
44. Who is responsible for certifying welders?
45. Are records of defective weldments, and corrective actions taken for each welder kept?

46. Has a Quality Deficiency Report (QDR) log been established? REVIEW.

47. Does it provide a closed loop system for monitoring quality deficiencies?

48. Is trend analysis performed? _____ DISCUSS.

49. PAST PERFORMANCE

A. Discuss known weaknesses or deficiencies in the past performance of this contractor. In the discussion include specific corrective measures the contractor has taken to preclude recurrence of deficiencies or poor performance.

B. Discuss known strengths of the contractor that are documented in the record of prior contracts.

50. Provide a detailed and thorough narrative of the firm's capabilities in the area of facilities.
- a) List the major strengths and weaknesses in this area.

 - b) List opinion of needed corrective actions for weaknesses that may be correctable prior to the start of contract performance.

 - c) Provide a statement regarding program risks to the government if award is made in the face of current contractor weaknesses.

 - d) Make a recommendation as to the contractor's responsibility. Support your recommendation with specific information gathered during the survey interview(s), by written documentation and references gathered during the survey, and by attributable quotes.

NOTE: CAPABILITY ASSESSMENT OF THE INFORMATION COLLECTED IN THIS WORKSHEET MUST BE FROM THE PERSPECTIVE OF THE REQUIREMENTS OF THE SPECIFIC SOLICITATION BEING CONSIDERED.

50. (Narrative continued - use additional sheets as needed).

PRODUCTION GROUP
PRODUCTION ORGANIZATION AND CONTROL
MARITIME ADMINISTRATION
PRE-AWARD SURVEY
CAPABILITY WORKSHEET
(Reviewed 01/00)

SHIPYARD: _____ LOCATION: _____ DATE: _____

SURVEYOR: _____ PHONE: _____

REGION: _____

VESSEL: _____ SOLICITATION NO: _____

MANAGER(S) INTERVIEWED: _____

NOTE: THE OBJECTIVE OF THIS PRE-AWARD SURVEY IS TO ASSESS THE OFFEROR'S CAPABILITY TO COMPLY WITH THE REQUIREMENTS OF THE ABOVE SOLICITATION.

1. Obtain a copy of the firm's organizational chart. Which department and personnel are responsible for controlling the production effort, and what is their placement in the corporate structure.

2. Are the lines of authority clear? _____

Is the delegation of authority defined and understood by the various departments up and down the chain of command? _____ Is the chain of command formal or informal? _____ COMMENT.

3. Are any key production personnel responsible for more than one major company function?
_____ COMMENT.

4. Is there managerial and key supervision redundancy within the company to allow for adequate coverage for large jobs, multiple jobs, multiple shifts, and extended work weeks? _____ EXPLAIN.

5. If not, from where would the company acquire additional management and supervision?

6. Do these sources have an established relationship with the company? _____ LIST SOURCES.

7. Are these sources familiar with the company's standard operating procedures? _____

8. Does the company have comprehensive procedures documented and available for review by supplementary supervisory help? _____ REVIEW AND COMMENT.

9. Are Project Managers dedicated to single projects with no other major or collateral duty?
_____ COMMENT.

10. List the personnel planned to be used as project managers on subject availability. Are these individuals shown on the company or production organization chart? _____

LIST AND COMMENT.

11. Do all the major crafts have a dedicated shop/craft supervisor?

LIST AND COMMENT.

<u>CRAFT</u>	<u>SUPERVISOR</u>
Welding	_____
Pipefitting	_____
Sheetmetal	_____
Carpentry	_____
Blasting/Painting	_____
Machinist (IS/OS)	_____
Shipfitting	_____
Electrical	_____
Electronics	_____

Boilermakers _____
Rigging _____
Laborers/Helpers _____
Other _____

12. How is supervision provided to crafts working multiple shifts? EXPLAIN.

13. Obtain resumes for the key production personnel including Craft/Shop Supervisors and Project managers. REVIEW AND COMMENT

14. Review position descriptions (PDs), if available, for completeness and consistency with operating requirements. Do PDs match the credentials (resumes) of the key personnel? _____ COMMENT AND EXPLAIN.

15. Is the existing production organization adequately staffed with the necessary skills required to support the subject availability and concurrent workload projections? _____ COMMENT.

16. Obtain a listing of the firm's current personnel rolls, identified by trade discipline. List the number of employees for each trade:

___ Welders	_____ Machinists (IS/OS)	___ Electricians
___ Pipefitters	_____ Shipfitters	___ Riggers
___ Sheet Metal	_____ Electronics	___ Helpers
___ Carpenters	_____ Boilermakers	___ Laborers
___ Painters/Blasters		___ Others

17. What is the highest _____, lowest _____, (last three years) and current _____ levels of production manpower?

18. What is the ratio of supervisory personnel to workforce? Is it adequate? (Normal is usually 1:7)

19. What is the maximum workforce that the company feels it can effectively manage with its existing management, supervision, and administrative staff? _____ COMMENT.

20. If the available pier facilities are not contiguous to the shop, and administrative facilities, how is supervision, material control, progressing, etc. managed? EXPLAIN.

21. What effect does remote repair efforts have on the efficiency of the productive effort? EXPLAIN.

22. How many work shifts is the company currently staffed to manage? _____ COMMENT.

23. How many work shifts does the company normally operate? _____

24. If used, what types of production work is accomplished on off-shifts and why? LIST AND EXPLAIN.

25. Does the company utilized extended shifts (i.e. >8 hours)? _____

If YES, how many hours? _____

If YES, for how many consecutive days would the extended shifts be used? _____

26. Are extended or multiple shifts anticipated by the contractor for the subject availability? _____ If so, have the contractor provide a production organization chart showing supervisory assignments by name. REVIEW AND COMMENT.

27. Is the production supervision considered adequate for the period of performance? If applicable factor in multiple shift use and any scheduled concurrent availabilities. COMMENT.

28. How does the number of craftsmen on the rolls compare with the manpower requirements of the subject availability? COMMENT.

29. Has the contractor developed manpower curves, by trade, for the period of performance including curves for concurrent availabilities. REVIEW AND COMMENT.

30. Are there currently any trade shortfalls? _____ If so, what trades and from where will the prospective contractor obtain the additional skilled craftsmen needed? EXPLAIN.

31. Who in the organization has the authority for hiring and firing personnel to meet workload requirements?

32. How is it accomplished? _____ Is it responsive to the needs of the production department? COMMENT.

33. What tools does the company supply to the workers? LIST.

34. Is a company Toolroom inventory maintained? _____ OBTAIN A COPY.

41. Explain the interface of the corporate Personnel Manager with the production department in personnel action matters.

42. Are personnel files maintained for craft personnel? _____ Who maintains the files?
_____ REVIEW SOME FILES FOR CONTENT (Applications, resumes, training records, etc.):

43. Are there any formal or informal (incl. OJT) training programs for production supervisory and management personnel? _____, Trades personnel? _____ DESCRIBE:

44. Does the contractor anticipate the need for any training required by the solicitation, such as welder training/certification, fire watch training, etc.? COMMENT.

45. Are there company and safety indoctrination programs for newemployees? _____

If yes, are these programs formal and in written form? _____

Is there a record of when these programs have been held? _____

Who is responsible for holding these programs? _____

46. Which departments and personnel are responsible for:
- a) Production Control:
 - b) Production Planning:
 - c) Production Scheduling:
 - d) Production Progressing:
 - e) Production Report Input to MIS:
 - f) Estimating:
 - g) QA/QC:
 - h) Safety:
47. What is their placement within the organization?
48. What is their interface with other departments having scheduling responsibilities, such as design, purchasing, material, quality assurance, etc.?
49. How often are production meetings held? _____
50. Who attends production meetings? LIST.
51. Who presides over the production meetings? _____

52. What is the typical agenda of a production meeting? EXPLAIN.
53. What types of schedules are used routinely by the contractor (GANTT/CPM/PERT/Bar/Etc.)?
54. Does the contractor understand the planning/scheduling requirements of the solicitation? COMMENT.
55. Schedules required by the subject solicitation are to be broken down to what level? (Item, activity, etc.)
56. Has the contractor developed schedules for the subject solicitation performance period?
_____ If so, review and comment.
57. Will critical path scheduling be used for the subject availability? _____ If so, does the contractor understand the 'critical path method of scheduling? COMMENT.
58. For the subject availability, what are the critical paths and/or controlling work items as identified by the contractor? LIST AND COMMENT.

59. Review performance period milestones and schedules developed by the contractor for the subject availability. Review these for date validity, logic flow, duration accuracy, and adherence to solicitation requirements. COMMENT.

60. Are schedules maintained in-house, or by subcontracted personnel?

61. Are PC's used for Planning _____, Scheduling _____, Progressing _____, Report Generation _____?

If so, what software is utilized? _____

62. What role do schedules play in production meetings? EXPLAIN.

63. How is scheduling and progress information incorporated into the company's Management Information Systems (MIS)?
64. Obtain sample copies of working documentation, such as estimating work sheets, work orders, schedules, etc. REVIEW, EVALUATE AND PROVIDE COMMENTS.
65. What type of production reports are provided to upper management either directly or into the firm's MIS? LIST, REVIEW, AND COMMENT.
66. How is the work documentation released, distributed, and issued from the Planning, Scheduling and/or Estimating Departments? How frequently is the information updated and issued?
67. Are work-around schedules used to recover from areas in jeopardy? _____

68. What work around techniques are used? DISCUSS.
69. Describe the Production Control System (PCS). How is production monitored?
- a) Are there any working documents in the PCS, such as progress, status, jeopardy and/or control oriented reports?
- b) How are change orders, revisions, rework, hold-ups and cancellations handled?
- c) Is there a production control manual that delineates PD's authority, responsibilities, procedures, MIS information flow, report requirements, etc.?
70. Who is responsible for quality control within the production organization?

71. Are there any established production department Q.A./Q.C. programs applied by the production craft personnel? EXPLAIN.

72. What is the production quality control functional interface with the corporate quality assurance organization?

73. Is the company's Q.A./Q.C. a formal program with routine reports, etc.?

74. Does this program exist in documented form and address how commercial ABS and USCG standards are ensured? COMMENT.

75. If a NAVSEA Q.A. Manual is provided as proof that an established comprehensive program exists, have the contractor explain how the administration of his commercial Q.A./Q.C program differs from what is presented in the NAVSEA Q.A. Manual. EXPLAIN.

76. Obtain a copy of the contractor's Q.A. Manual. REVIEW AND COMMENT.

77. What department(s) and personnel are responsible for controlling and managing subcontractors' production efforts, both in the shop and on board ship?

78. Review any documented procedures governing subcontractor control. How is subcontracted work integrated into the overall production effort?

79. How are subcontractors selected? Low bid? Past performance? Reputation? EXPLAIN.

80. Are pre-award surveys conducted to verify subcontractor capabilities? COMMENT.

81. Are subcontractor files maintained containing capability statements, inspection/audit results, etc.? _____ REVIEW FILES AND COMMENT.

82. What is the total percentage of work to be subcontracted in this availability?

83. Identify all work which is normally subcontracted by prospective contractor by entering v.

- | | |
|--|---|
| <input type="checkbox"/> Stage/Scaffold building | <input type="checkbox"/> Fire Watches |
| <input type="checkbox"/> Heavy Lifts > <input type="checkbox"/> Tons | <input type="checkbox"/> Pipe Bending > <input type="checkbox"/> " |
| <input type="checkbox"/> Tank Cleaning | <input type="checkbox"/> Tube Bending > <input type="checkbox"/> " |
| <input type="checkbox"/> Gas Freeing | <input type="checkbox"/> Plate Rolling > <input type="checkbox"/> " |
| <input type="checkbox"/> Boiler Refractory | <input type="checkbox"/> Plate Brake > <input type="checkbox"/> " |
| <input type="checkbox"/> Boiler Retubing | <input type="checkbox"/> Plate Shear > <input type="checkbox"/> " |
| <input type="checkbox"/> Safety Valves | <input type="checkbox"/> Haz Mat. Handling |
| <input type="checkbox"/> Relief Valves | <input type="checkbox"/> Pump Operational Testing |
| <input type="checkbox"/> Hyd. Component Overhaul | <input type="checkbox"/> Refrig./A.C. |
| <input type="checkbox"/> Hyd. Sys. Flushing | <input type="checkbox"/> Sheetmetal Fabrication |
| <input type="checkbox"/> Topside Blasting & Coating | <input type="checkbox"/> Deck & Tile Work |
| <input type="checkbox"/> Tank Blasting & Coating | <input type="checkbox"/> Habitability Item |
| <input type="checkbox"/> Valve Overhaul | <input type="checkbox"/> Carpentry Work |
| <input type="checkbox"/> Electronics | <input type="checkbox"/> Cargo Gear Testing |
| <input type="checkbox"/> Elec. Motor overhaul | <input type="checkbox"/> Rigging/Weight Testing |
| <input type="checkbox"/> Elec. Motor Rewind | <input type="checkbox"/> Thermal Insulation |
| <input type="checkbox"/> Switchboard Rebuilding | <input type="checkbox"/> Gage & Instrument Cal. |
| <input type="checkbox"/> Lathe Cap.," Swing," Lgnt | <input type="checkbox"/> Hydrostatic Press. Tstg |
| <input type="checkbox"/> Non-ferrous Metal Welding | <input type="checkbox"/> Other |
| <input type="checkbox"/> Fiberglass/GRP Repairs | <input type="checkbox"/> Other |
| <input type="checkbox"/> Diesel Engine Repairs | <input type="checkbox"/> Other |
| <input type="checkbox"/> Diver Service | <input type="checkbox"/> Other |

Additional Comments:

84. Have the contractor provide a list of all major subcontractors identified for the subject availability. Have these subs been used by the contractor previously? _____ Review the contractor's survey and Q.A. files for each subcontractor. COMMENT.

85. Who in the organization is responsible for production progressing?

86. Describe the procedures and methods for transmitting progress information to management and to the customers such as:

a) How is physical progress monitored? (Budgeted versus expended, or actual versus scheduled)

b) How often are progress/status meetings held? Who attends?

c) What type of progress reports are issued and how often?

d) Is any type of feedback information used? Who provides the feedback data?

e) Is progressing methodology and reporting flowdocumented in a written procedure?
OBTAIN COPY

87. Which department and personnel are responsible for production material control, such as interferences, surplus, CFM, GFM, and materials that require special handling or control (Level I, toxic, hazardous, environmental limits, etc.)?

88. Where are each of the above stored? LIST.

89. Is there proper segregation of the above? COMMENT.

90. How are the above listed material types identified? COMMENT.

91. Are there documented material tagging & handling procedures? REVIEW.

92. Are there any procedures for ensuring management control and protection of production materials, both in the prime contractor's and subcontractor's facilities? REVIEW AND COMMENT.

Y/N

- Protection of Environmentally Sensitive Material
- Protection from Contamination (e.g. Open Hydraulic Components)
- Protection during Transporting & Rigging of Equipment = Handling, Storage & Disposal of Hazardous Material
- Protection from Loss
- Other _____

93. Who is responsible for the protection of property from damage or loss, and the protection of systems and equipment from contamination?

94. Who is responsible for production safety?

95. Are there any procedures addressing all aspects of production safety? _____ REVIEW AND COMMENT.

96. Identify the special production requirements, evolutions, complex work, etc. in the subject solicitation. Discuss with the production manager the technical approach to each, including interface with other shipwork, potential schedule conflicts, etc. LIST AND DISCUSS.

97. PAST PERFORMANCE

A. Discuss known weaknesses or deficiencies in the past performance of this contractor. In the discussion include specific corrective measures the contractor has taken to preclude recurrence of deficiencies or poor performance.

B. Discuss known strengths of the contractor that are documented in the record of prior contracts.

98. Provide a detailed and thorough narrative of the firm's capabilities in the area of production organization and control.

a) List the major strengths and weaknesses in this area.

b) List opinion of needed corrective actions for weaknesses that may be correctable prior to the start of contract performance.

c) Provide a statement regarding program risks to the government if award is made in the face of current contractor weaknesses.

d) Make a recommendation as to the contractor's responsibility. Support your recommendation with specific information gathered during the survey interview(s), by written documentation and references gathered during the survey, and by attributable quotes.

NOTE: CAPABILITY ASSESSMENT OF THE INFORMATION COLLECTED IN THIS WORKSHEET MUST BE FROM THE PERSPECTIVE OF THE REQUIREMENTS OF THE SPECIFIC SOLICITATION BEING CONSIDERED. NOTE: ASSESSMENT OF THE INFORMATION COLLECTED IN THIS FUNCTIONAL ELEMENT WORKSHEET MUST BE FROM THE PERSPECTIVE OF THE SPECIFIC SOLICITATION BEING CONSIDERED.

98. (Narrative continued - use additional pages as needed)

PRODUCTION GROUP
TECHNICAL SUPPORT (DESIGN/ENGINEERING)
MARITIME ADMINISTRATION
PRE-AWARD SURVEY
CAPABILITY WORKSHEET
(Reviewed 01/00)

SHIPYARD: _____ LOCATION: _____ DATE: _____

SURVEYOR: _____ PHONE: _____

REGION: _____

VESSEL: _____ SOLICITATION NO: _____

MANAGER(S) INTERVIEWED: _____

NOTE: THE OBJECTIVE OF THIS PRE-AWARD SURVEY IS TO ASSESS THE OFFEROR'S CAPABILITY TO COMPLY WITH THE REQUIREMENTS OF THE ABOVE SOLICITATION.

1. Obtain a copy of the prospective contractor's organizational chart. Which department and personnel are responsible for technical support?

2. What is their placement in the corporate structure?

3. If the firm does not have an in-house design/engineering department, name the subcontractor who will perform the engineering functions.

4. Are the lines of authority clear? _____ Decision making points established? _____
EXPLAIN.

5. Review position descriptions (PDs), if available, for completeness and consistency with operating requirements. Do the PDs match the credentials (resumes) of the personnel performing the engineering and technical support functions? _____ COMMENT AND EXPLAIN.

6. Are there sufficient skills and disciplines on board to effectively staff and complete the subject solicitation and/or projected concurrent workload? _____ IDENTIFY the number of skills are permanently employed.

_____ Dept. Head	_____ Engineers
_____ Draftsmen	_____ Naval Architects
_____ CAD/CAM Techs.	_____ Designers

7. Are these employees dedicated to these functions or are they assigned other responsibilities within the company? EXPLAIN.

14. Can the contractor's personnel and system handle the complexity of the solicitation requirements?

15. Can the system handle the volume of work required?

16. If the solicitation design/engineering requirements will involve regulatory body approval, is the contractor familiar with this process?

17. Are there any documented policies or procedures which govern the operation of the engineering department or the subcontractors who perform engineering support functions? _____ REVIEW AND EVALUATE FOR ADEQUACY.

18. PAST PERFORMANCE

A. Discuss known weaknesses or deficiencies in the past performance of this contractor. In the discussion include specific corrective measures the contractor has taken to preclude recurrence of deficiencies or poor performance.

B. Discuss known strengths of the contractor that are documented in the record of prior contracts.

19. Provide a detailed and thorough narrative of the firm's capabilities in the area of facilities.

a) List the major strengths and weaknesses in this area.

b) List opinion of needed corrective actions for weaknesses that may be correctable prior to the start of contract performance.

c) Provide a statement regarding program risks to the government if award is made in the face of current contractor weaknesses.

d) Make a recommendation as to the contractor's responsibility. Support your recommendation with specific information gathered during the survey interview(s), by written documentation and references gathered during the survey, and by attributable quotes.

NOTE: CAPABILITY ASSESSMENT OF THE INFORMATION COLLECTED IN THIS WORKSHEET MUST BE FROM THE PERSPECTIVE OF THE REQUIREMENTS OF THE SPECIFIC SOLICITATION BEING CONSIDERED.

19. (Narrative continued - use additional sheets as needed).

FACILITY GROUP
FACILITIES
MARITIME ADMINISTRATION
PRE-AWARD SURVEY
CAPABILITY WORKSHEET
(Reviewed 01/00)

SHIPYARD: _____ LOCATION: _____ DATE: _____

SURVEYOR: _____ PHONE: _____

REGION: _____

VESSEL: _____ SOLICITATION NO: _____

MANAGER(S) INTERVIEWED: _____

NOTE: THE OBJECTIVE OF THIS PRE-AWARD SURVEY IS TO ASSESS THE OFFEROR'S CAPABILITY TO COMPLY WITH THE REQUIREMENTS OF THE ABOVE SOLICITATION.

1. Obtain a copy of the prospective contractor's organizational chart. Which department and personnel are responsible for maintaining the contractor's facilities, and where are they placed in the corporate structure? LIST.

2. Are there separate organizational charts for the facility maintenance department? _____
OBTAIN A COPY.

3. Are the key facilities personnel responsible for more than one major company function? _____
COMMENT.

4. Are the lines of authority clear? _____

Have decision making points been established? _____ EXPLAIN.

5. Review position descriptions (PDs), if available, for completeness and consistency with operating requirements. Do the PDs match the credentials (resumes) of the facilities personnel? COMMENT AND EXPLAIN.

6. Are there any plans, procedures and schedules for the maintenance of either the plant or equipment? _____ REVIEW AND COMMENT.

7. Is maintenance carried out according to established schedules and documented? COMMENT.

8. Obtain a copy of the contractor's facility plan showing the location and purpose of buildings and waterfront facilities.

9. Are there multiple facilities within the company? _____ If so LIST, and for each facility list the address and DISCUSS the capability of each facility. (i.e. Administration, Production Shops, Drydock, Wet Berths, Storage Facilities, etc.)

FACILITY

CAPABILITY

10. Are the facilities under the company's control owned, leased, or accessible by agreement? SPECIFY FOR EACH FACILITY

FACILITY

OWNED/LEASED/COMMITTED ACCESS

11. If leased, OBTAIN copies of the lease documents which specify the lease terms and options. LIST LEASE TERMS

FACILITY

LEASE EXPIRATION

OPTIONS

12. If the facility is available via committed access, OBTAIN copies of the Letter of Commitment, indicating the availability and commitment to the prospective contractor for the performance period of the subject solicitation. This applies to piers, drydocks, production shops, etc. COMMENT.

13. If the facilities are not contiguous, specify the distances between facilities.

14. Are there any planned improvements or upgrades to the facilities that are required by, or will affect or impact the subject availability. If so, list the improvements and give timeframe for completion.

15. What is the source and adequacy of utilities to the contractor's facilities?

<u>SERVICE</u>	<u>CAPACITY</u>	<u>SOURCE</u> (Utility, well storage tank, etc.)
Electrical	_____ volts	_____
Fresh Water	_____ gpm	_____
Salt Water	_____ gpm	_____
Steam	_____ psi	_____
Compressed Gas	_____ psi	_____
Compressed Air	_____ psi	_____

COMMENTS:

16. Identify the drydock intended to be used for the subject availability. Identify whether is owned by the firm, leased, or available to the firm on a "committed access" basis. Identify the owner or lessor. Fill in the following data:

Drydock #: _____ Owns: _____ Has committed access to: _____

Tons _____ L _____ ft. W _____ ft. Water over blocks _____ ft.

17. OBTAIN from the company regulatory body certifications for the drydock identified above. Are the certifications current? _____

18. Identify the dockmaster and obtain a resume and certifications. What is the dockmaster's operational experience with the identified drydock? COMMENT.

19. Identify the pier(s) and berth(s) intended to be used for the subject availability:

Pier #: _____ Owns: _____ Has Committed access to: _____

Length: _____; Inboard/Outboard water depth* _____ ft./ _____ ft.

Pier #: _____ Owns: _____ Has Committed access to: _____

Length: _____; Inboard/Outboard water depth* _____ ft./ _____ ft.

* Water depths at MLW

20. Date of Last Soundings _____. OBTAIN COPY OF LATEST SOUNDINGS.

21. Are wet berths susceptible to silting? _____ If so, how often is dredging required?

22. COMMENT on the general condition of the piers. Comment on pilings, bulkheads, mooring lines, placement and number of mooring bitts, dolphins, camels, fenders, etc. OBTAIN copy of pier loading certifications.

23. When was the last inspection by an independent surveyor made of the pier and mooring fittings? (If no recent inspection, does the visible condition warrens a survey to be accomplished?)

24. Services to Drydock # _____ includes:

<u>SERVICE</u>	<u>CAPACITY</u>	<u>SOURCE (PERM./PORT.)</u>
Fresh Water	___ psi ___ gpm	_____
Salt Water	___ psi ___ gpm	_____
Electric	___ vlt ___ amp	_____
Sanitary	___ gpm ___ gal. cap.	_____
Gas _____	___ psi ___ cfm	_____
Steam	___ psi ___ flow	_____
Air	___ psi ___ cfm	_____

NOTE: GPM and PSI readings at the pier/drydock outlets not source. COMMENT.

25. Services to Pier # _____ includes:

<u>SERVICE</u>	<u>CAPACITY</u>	<u>SOURCE (PERM./PORT.)</u>
Fresh Water	___ psi ___ gpm	_____
Salt Water	___ psi ___ gpm	_____
Electric	___ vlt ___ amp	_____
Sanitary	___ gpm ___ gal. cap.	_____
Gas _____	___ psi ___ cfm	_____
Steam	___ psi ___ flow	_____
Air	___ psi ___ cfm	_____

NOTE: GPM and PSI readings at the pier/drydock outlets not source. COMMENT.

26. Do the services described for the drydock and the pier meet or exceed the requirements of the subject solicitation? COMMENT.

27. Are the gangways and safety nets in an acceptable condition?

28. Is the condition of the shore power cable and shore power connection box acceptable?

29. List the number of cranes owned by or rented for contractor.

Owns: _____ Largest: _____ tons

Rented: _____ Largest: _____ tons

30. Are cranes all currently in certificate? _____ INSPECT copies of the quadrennial and annual certificates for all cranes. COMMENT.

31. What is the channel depth to the facility? _____ ft.

32. Are there any vertical or horizontal navigational restrictions to the facility?

_____ ft./ _____ ft. Imposed by _____.

COMMENT.

33. Identify the shop capabilities and capacities in square feet, and comment on whether they are adequate in terms of size, accessibility, layout, equipment, lift capability, storage, and production flow for the requirements of the subject solicitation, and other projected concurrent production work.

(Note: If shops share a building, estimate the area dedicated to each individual shop)

	<u>Square Feet</u>	<u>Assessment</u> SAT/UNSAT
Structural:	_____	_____
Machine:	_____	_____
Pipe:	_____	_____
Electric	_____	_____
Electronics	_____	_____
Carpentry	_____	_____
Rigging	_____	_____
Paint/Blast	_____	_____
Sheetmetal	_____	_____
Other:	_____	_____

COMMENT.

34. Are the shops well lighted and ventilated? _____ COMMENT.

35. Which shops have overhead crane service? LIST AND STATE CAPACITY.

36. Are the shops clean and uncluttered? _____ COMMENT.

37. Do the shops have adequate work areas? _____ COMMENT.

38. Do any of the shops share the same floor space, worktables, platens, with other shops, etc.?
_____ BE SPECIFIC.

39. Are the shops organized to maximize production flow, or are they restrictive in terms of volume work? COMMENT.

40. Are the shop overhead heights and access doors of sufficient size as to not restrict handling of large material, structures, and equipment? COMMENT.

41. Other than the work areas, is there sufficient floor space to pre-stage a large volume of equipment, components, etc. for repairs? COMMENT.

42. Does each shop have a convenience and sufficient area to store tools, material, supplies? COMMENT.

43. OBTAIN, or make a list of the quantity and capacity of the major shop equipment. Include equipment such as lathes, milling machines, plate rolls, brakes, shears, punches, iron workers, drill presses, Hyd. presses, welding and cutting machines, pipe benders, etc.

<u>EQUIPMENT</u>	<u>CAPACITY</u>	<u>TYPE/CONDITION</u>	<u>QUANTITY</u>
------------------	-----------------	-----------------------	-----------------

44. Are the shops equipped so as to allow the working of multiple items simultaneously? (e.g. sufficient worktables, sufficient lathes, several welding machines, sufficient electrical test equip. etc.)
COMMENT.

45. Do the shops have adequate tooling and ancillary equipment such as grinders, gasket cutters, pipe threaders, vises, chain falls, band saws, etc.? COMMENT.

46. What tools and equipment does the company not own and plans to rent or lease for the subject availability?

- | | |
|---|--|
| <input type="checkbox"/> Air Compressors | <input type="checkbox"/> Welding Machines |
| <input type="checkbox"/> Hydrostatic Test Pumps | <input type="checkbox"/> Staging/Scaffolding |
| <input type="checkbox"/> Diaphragm Pumps | <input type="checkbox"/> Grit Hoppers |

- | | |
|------------------------|-------------------------|
| ___ Dewatering pumps | ___ Flushing Equipment |
| ___ Mobile Cranes | ___ Paint Pots |
| ___ Forklifts | ___ Storage Containers |
| ___ Hyd. Jacks/Presses | ___ Pipe/Tubing Benders |
| ___ Chain Falls | ___ Elec. Generators |
| ___ Other _____ | ___ Other _____ |

COMMENT.

47. Is there sufficient equipment currently on hand at the contractor's facility for the subject availability, from both a number and capacity standpoint? COMMENT.

48. What tools does the company supply to the craftsmen? LIST.

49. Does the company maintain an up to date Toolroom inventory? _____ If yes OBTAIN a copy. If no inventory list is available, inspect the toolroom and COMMENT on the quantity, selection and condition of tools available.

50. Does the company have required employee tool lists for each craft? _____ If YES OBTAIN a copy.

If NO list is available, briefly LIST worker tool requirement below by each major craft.

51. Indicate the size of the facility in acres.

52. Have the solicitation requirements for office space and other customer support items been adequately provided for?

53. Are there any requirements in the solicitation that will require special consideration or facility modification on the part of the contractor? LIST AND DISCUSS.

54. LIST any significant deficiencies or restrictions related to the contractor's facilities that the contractor indicates are correctable prior to the start of the availability. DISCUSS the feasibility of the contractor's position

55. PAST PERFORMANCE

A. Discuss known weaknesses or deficiencies in the past performance of this contractor. In the discussion include specific corrective measures the contractor has taken to preclude recurrence of deficiencies or poor performance.

B. Discuss known strengths of the contractor that are documented in the record of prior contracts.

56. Provide a detailed and thorough narrative of the firm's capabilities in the area of facilities.

a) List the major strengths and weaknesses in this area.

- b) List opinion of needed corrective actions for weaknesses that may be correctable prior to the start of contract performance.

- c) Provide a statement regarding program risks to the government if award is made in the face of current contractor weaknesses.

- d) Make a recommendation as to the contractor's responsibility. Support your recommendation with specific information gathered during the survey interview(s), by written documentation and references gathered during the survey, and by attributable quotes.

NOTE: CAPABILITY ASSESSMENT OF THE INFORMATION COLLECTED IN THIS WORKSHEET MUST BE FROM THE PERSPECTIVE OF THE REQUIREMENTS OF THE SPECIFIC SOLICITATION BEING CONSIDERED.

56. (Narrative continued - use additional sheets as needed).

FACILITY GROUP
SAFETY AND SECURITY
MARITIME ADMINISTRATION
PRE-AWARD SURVEY
CAPABILITY WORKSHEET
(Reviewed 01/00)

SHIPYARD: _____ LOCATION: _____ DATE: _____

SURVEYOR: _____ PHONE: _____

REGION: _____

VESSEL: _____ SOLICITATION NO: _____

MANAGER(S) INTERVIEWED: _____

NOTE: THE OBJECTIVE OF THIS PRE-AWARD SURVEY IS TO ASSESS THE OFFEROR'S CAPABILITY TO COMPLY WITH THE REQUIREMENTS OF THE ABOVE SOLICITATION.

1. Obtain a copy of the prospective contractor's organizational chart. Which department and personnel are responsible for safety, and what is their placement in the organization?

2. Which department and personnel are responsible for security, and what is their placement in the organization?

3. Are the lines of authority clear? _____ Decision making points established? _____
COMMENT.

4. Is the safety department organizationally placed so as to ensure top management's attention to the importance of a safe working environment? _____ COMMENT AND EXPLAIN.

5. Are any of the key Safety personnel responsible for more than one major company function?
_____ COMMENT.

6. Are the company's safety inspectors dedicated to that function? _____ COMMENT.

7. Are there sufficient safety inspectors in order to provide coverage for 24 hour work? _____ If not, how would the company provide safety coverage during significant work efforts on the night shifts?
COMMENT.

8. Review position descriptions (PDs), if available, for completeness and consistency with operating requirements. Do the PDs match the credentials (resumes) of the safety/security personnel? COMMENT AND EXPLAIN.

9. Does the firm have established, documented policies and procedures for the below listed areas? _____ REVIEW AND EVALUATE.

	<u>Y/N</u>		<u>Y/N</u>
Asbestos	_____	Heavy Weather	_____
Security	_____	Flammable Materials	_____
CHT Work	_____	Fire Protection	_____
Men Aloft	_____	Gas Freeing	_____
Hot Work	_____	Divers over the side	_____
Hazardous Waste/Materials			
Removal	_____		
Storage	_____		
Disposal	_____		

10. Has the REGION reviewed and approved of any of the procedures? _____ IDENTIFY which ones.

11. Does the firm have documented emergency procedures for the following situations? REVIEW

Y/N

Fire _____

Oil Spill _____

Injury/Illness _____

HAZMAT Mishap _____

12. Whether documented or not, does the company have effective procedures implemented for the areas listed in #10 & #11 that meet or exceed the requirements of the solicitation? _____
EXPLAIN.

13. Do the procedures specify actions to be taken and list responsibilities with assignments of company personnel by name? _____ COMMENT.

14. What are the company's procedures for fire watches in the area of hot work? _____
EXPLAIN.

15. Are the company's fire watch procedures in writing?

16. Where are fire watches provided from?

17. Who is responsible for fire watch assignment and supervision?
18. What fire fighting equipment is provided to fire watches?
19. What training is given to qualify fire watches?
20. Who is responsible for hazardous material and waste control? Name the individual.
21. Do the firm's Hazmat management and control procedures cite compliance with municipal and state laws and regulations? COMMENT.
22. Do the Hazmat procedures cover sampling and testing protocols?
23. Do the Hazmat procedures cover labeling and storage considerations?
24. Are there segregated storage areas for hazardous material and waste control?

25. Does the firm have documented records of hazardous waste disposal being-accomplished by licensed subcontractors? REVIEW SAMPLE RECORDS AND COMMENT.

26. Do the firm's Hazmat procedures adequately address notification of the customer (i.e. MARAD, Ship Mgr.) regarding inspection, testing, storage and disposal of hazardous materials

27. Does the firm have a hazardous waste generator number? _____ If yes, list the generator number and the state which issued it below. OBTAIN A COPY OF THE STATE ISSUED DOCUMENT.

28. What does the firm do with its spent blast grit? COMMENT

29. What does the firm do with its slop/waste oil? COMMENT.

30. What does the firm do with unused paints, solvents, and thinners? COMMENT.

31. Do employees receive any type of safety training? SPECIFY.

32. Does the contractor provide safety handbooks to its employees? _____ REVIEW AND COMMENT.

33. What safety equipment is required to be worn by the employees?

Eye protection _____

Steel toe shoes _____

Hearing protection _____

Hard hats _____

Other _____

34. Is any of this equipment supplied by the company? _____ COMMENT.

35. Where are the employee safety equipment requirements documented? REVIEW AND COMMENT.

36. Does the company stock and make available to employees when appropriate the following?

- Face Shields _____
- Safety lines _____
- Personnel Flotation devices _____
- Hearing Protection _____
- Respirators (Dust, mist, vapor, in-line, etc.) _____
- Other _____

(During facility tour make note of the inventory of these items in the company storeroom)

37. Are oil booms, oil absorbent pads maintained on the premises? _____

38. Where are they stored? COMMENT (Inspect for condition, quantity and accessibility).

- 39. Are safety meetings conducted on a regular basis?
- 40. Who attends?
- 41. How often?
- 42. Are attendance records maintained? _____ REVIEW A SAMPLE FILE.
- 43. Are safety and fire inspections conducted of the facilities and vessels under contract? _____
- 44. How are deficiencies and hazards reported? _____
- 45. Who takes corrective actions?

46. IDENTIFY and DESCRIBE the inspection system.

47. Does the firm have any medical facilities or services available on site? IDENTIFY below:

	<u>Y/N</u>		<u>Y/N</u>
First Aid Station	_____	Eye Wash Facilities	_____
Clinic	_____	Nurse	_____
Doctor	_____	Emerg'y Med. Tech	_____
Ambulance	_____	First Aid Boxes	_____

48. What is the response time from and the distance to the nearest:

Medical Facility/Hospital: _____ minutes/ _____ miles

Fire Station: _____ minutes/ _____ miles

Police Station: _____ minutes/ _____ miles

49. Are there any fire alarm boxes located at the facility? _____

50. Where are the alarm boxes located?

51. Are the buildings equipped with an automatic sprinkler?
52. What types of fire extinguishers are available?
53. Are extinguisher locations highly visible and are they sufficient in number?
54. What is the frequency of inspection and by whom?
55. Does the firm conduct fire drills? _____
56. Are the fire drills documented? _____
57. Does the company have a fire department or fire fighting team?
58. If the company has a fire fighting team OBTAIN a copy of the team roster that assigns specific duties and responsibilities. COMMENT.
59. Talk to a few key fire fighting team members to ascertain their familiarity with responsibilities, procedures, equipment location, etc. COMMENT.

- 60. Are fire lanes marked and kept clear?
- 61. What is the water pressure of the local fire hydrants?
- 62. What is the primary source of firemain?
- 63. Is there redundancy or a backup to the primary fire system? SPECIFY.
- 64. Does the facility have a diesel generator driven emergency fire system? DESCRIBE.
- 65. Has the company designated Competent Persons for matters related to gas freeing and hot work?
_____ If YES, REVIEW the certificates for those personnel.
- 66. Who does the company use as a certified Marine Chemist?
- 67. For what types of work is the contractor's facility zoned?
- 68. When was the last Occupational Safety and Health Administration (OSHA) inspection conducted? _____ REVIEW INSPECTION REPORT.

69. Were there any negative findings, fines associated with the last OSHA inspection?

70. Final resolution of the OSHA findings?

71. Who is responsible for providing industrial security on the water front and in the shops?
_____ REVIEW AND COMMENT ON ANY PROCEDURES ADDRESSING
THESE ISSUES.

72. Have there been any security violations in the past?

73. What were they, and what corrective actions have been taken since? DESCRIBE.

74. Does the contractor handle or possess any classified information? _____

75. Does the firm have any established procedures governing the safeguarding of classified information?

76. What is the firm's policy(ies) dealing with access to classified information by foreign nationals?

77. Does the firm have a safe for storing classified information? _____

78. Who has the combination?

79. Does the facility or any of the employees have security clearances? How many of the employees?

Employees: _____ Secret
 _____ Confidential
 _____ Company Confidential

Facility: _____ Secret
 _____ Confidential

80. Are employees issued identification badges?

81. Are visitors required to sign-in? _____

82. Are visitors issued badges? _____

83. Are they required to have escorts on the facilities? _____

84. Is the plant physically secure from both the waterfront and the landside perimeters? _____
DESCRIBE.

85. Is it fenced? _____ How high? _____

86. Are the gates guarded? _____ By whom? _____

87. Is the plant patrolled at night? _____ How often? _____

88. Is there an operational security alarm? _____

89. Is the contractor on 911? _____ And is it posted on all telephones? _____

90. PAST PERFORMANCE

A. Discuss known weaknesses or deficiencies in the past performance of this contractor. In the discussion include specific corrective measures the contractor has taken to preclude recurrence of deficiencies or poor performance.

B. Discuss known strengths of the contractor that are documented in the record of prior contracts.

91. Provide a detailed and thorough narrative of the firm's capabilities in the area of facilities.

a) List the major strengths and weaknesses in this area.

b) List opinion of needed corrective actions for weaknesses that may be correctable prior to the start of contract performance.

c) Provide a statement regarding program risks to the government if award is made in the face of current contractor weaknesses.

d) Make a recommendation as to the contractor's responsibility. Support your recommendation with specific information gathered during the survey interview(s), by written documentation and references gathered during the survey, and by attributable quotes.

NOTE: CAPABILITY ASSESSMENT OF THE INFORMATION COLLECTED IN THIS WORKSHEET MUST BE FROM THE PERSPECTIVE OF THE REQUIREMENTS OF THE SPECIFIC SOLICITATION BEING CONSIDERED.

92. (Narrative continued - use additional sheets as needed).

APPENDIX 2

SF-1400 SERIES, PRE-AWARD OF PROSPECTIVE CONTRACTOR

**PREAWARD SURVEY OF PROSPECTIVE CONTRACTOR
(GENERAL)**

1. SERIAL NO. (For surveying activity use)

OMB NO.: **9000-0011**
Expires: 10/31/97

Public reporting burden for this collection of information is estimated to average 24 hours per response, including the time for reviewing instructions, searching existing datasources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, DC 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0011), Washington, DC 20503.

SECTION I - REQUEST (For Completion by Contracting Office)

2. NAME AND ADDRESS OF SURVEYING ACTIVITY		3. SOLICITATION NO.	4. TOTAL OFFERED PRICE \$
		5. TYPE OF CONTRACT	
6A. NAME AND ADDRESS OF SECONDARY SURVEY ACTIVITY <i>(For surveying activity use)</i>		7A. NAME AND ADDRESS OF PROSPECTIVE CONTRACTOR	
6B. TELEPHONE NO. <i>(Include AUTOVON, WATS, or FTS, if available)</i>		7B. FIRM'S CONTACT	7C. TELEPHONE NO. <i>(with area code)</i>
8. WILL CONTRACTING OFFICE PARTICIPATE IN SURVEY? <input type="checkbox"/> YES <input type="checkbox"/> NO		13. NAME AND ADDRESS OF PARENT COMPANY <i>(If applicable)</i>	
9. DATE OF REQUEST	10. DATE REPORT REQUIRED		
11. PROSPECTIVE CONTRACTOR REPRESENT THAT IT <input type="checkbox"/> IS, <input type="checkbox"/> IS NOT A SMALL BUSINESS CONCERN.			
12. WALSH-HEALY CON ACT <i>(Check applicable box(es))</i>	A. IS NOT APPLICABLE B. IS APPLICABLE AND PROSPECTIVE CONTRACTOR REPRESENTS HIS CLASSIFICATION AS: <input type="checkbox"/> MANUFACTURER <input type="checkbox"/> REGULAR DEALER <input type="checkbox"/> OTHER <i>(Specify)</i>		14A. PLANT AND LOCATION <i>(If different from Item 7, above)</i>
15A. NAME OF REQUESTING ACTIVITY CONTRACTING OFFICER		14B. POINT OF CONTACT	14C. TELEPHONE NO. <i>(with area code)</i>
15B. SIGNATURE		16A. NAME OF CONTACT POINT AT REQUESTING ACTIVITY <i>(If different from Item 15A)</i>	
15C. TELEPHONE NO. <i>(Include AUTOVAN, WATS or FTS, if available)</i>		16B. TELEPHONE NO. <i>(Include AUTOVON, WATS, or FTS, if available)</i>	
17. RETURN PREAWARD SURVEY TO THIS ADDRESS: ATTN:			

SECTION II - DATA (For Completion by Contracting Office)

18A. ITEM NO.	18B. NATIONAL STOCK NUMBER (NEW) AND NOMENCLATURE	18C. TOTAL QUANTITY	18D. UNIT PRICE	18E. DELIVERY SCHEDULE					
				(a)	(b)	(c)	(d)	(e)	
		SOLICITED							
		OFFERED	\$						
		SOLICITED							
		OFFERED	\$						
		SOLICITED							
		OFFERED	\$						
		SOLICITED							
		OFFERED	\$						
		SOLICITED							
		OFFERED	\$						
		SOLICITED							
		OFFERED	\$						

SECTION III - FACTORS TO BE INVESTIGATED

19. MAJOR FACTORS	CHK. (a)	SAT. (b)	UN-SAT. (c)	20. OTHER FACTORS <i>(Provide specific requirements in Remarks)</i>	CHK. (a)	SAT. (b)	UN-SAT. (c)
A. TECHNICAL CAPABILITY				A. GOVERNMENT PROPERTY CONTROL			
B. PRODUCTION CAPABILITY				B. TRANSPORTATION			
C. QUALITY ASSURANCE CAPABILITY				C. PACKAGING			
D. FINANCIAL CAPABILITY				D. SECURITY			
E. ACCOUNTING SYSTEM				E. SAFETY			
21. IS THIS A SHORT FORM PREAWARD REPORT? <i>(For completion by surveying activity)</i>				F. ENVIRONMENTAL/ENERGY CONSIDERATION			
<input type="checkbox"/> YES <input type="checkbox"/> NO				G. FLIGHT OPERATIONS/FLIGHT SAFETY			
22. IS A FINANCIAL ASSISTANCE PAYMENT PROVISION IN THE SOLICITATION? <i>(For completion by contracting activity)</i>				H. OTHER <i>(Specify)</i>			
<input type="checkbox"/> YES <input type="checkbox"/> NO							
23. REMARKS <i>(For Contracting Activity Use)</i>							

SECTION IV - SURVEYING ACTIVITY RECOMMENDATIONS

24. RECOMMEND <input type="checkbox"/> A. COMPLETE AWARD <input type="checkbox"/> B. PARTIAL AWARD (Quantity _____) <input type="checkbox"/> C. NO AWARD	25A. NAME AND TITLE OF SURVEY APPROVING OFFICIAL	25B. TELEPHONE NO.
	25C. SIGNATURE	25D. DATE

**PREAWARD SURVEY OF PROSPECTIVE
CONTRACTOR
TECHNICAL**

SERIAL NO. (For surveying activity use)

OMB NO.: **9000-0011**
Expires: 10/31/97

PROSPECTIVE CONTRACTOR

Public reporting burden for this collection of information is estimated to average 24 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, DC 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0011), Washington, DC 20503.

1. RECOMMENDED

- a. COMPLETE AWARD b. PARTIAL AWARD (Quantity: _____) c. NO AWARD

2. NARRATIVE (Include the following information concerning key personnel who will be involved with the prospective contract: (1) Names, qualifications/experience and length of affiliation with prospective contractor; (2) Evaluate technical capabilities with respect to the requirements of the proposed contract or item classifications); (3) Description of any technical capabilities which the prospective contractor lacks. Comment on the prospective contractor's efforts to obtain the needed technical capabilities.)

IF CONTINUATION SHEETS
ATTACHED - MARK HERE

3. FIRM HAS AND/OR UNDERSTANDS (Give explanation for any items marked "NO" in 2. Narrative)

a. SPECIFICATIONS		<input type="checkbox"/> YES <input type="checkbox"/> NO	b. EXHIBITS		<input type="checkbox"/> YES <input type="checkbox"/> NO
c. DRAWINGS		<input type="checkbox"/> YES <input type="checkbox"/> NO	d. TECHNICAL DATA REQUIREMENTS		<input type="checkbox"/> YES <input type="checkbox"/> NO
4. SURVEY MADE BY	a. SIGNATURE AND OFFICE (Include typed or printed name)			b. TELEPHONE NO. (include area code)	c. DATE SIGNED
	5. SURVEY REVIEWING OFFICIAL			b. TELEPHONE NO. (include area code)	c. DATE REVIEWED

**PREAWARD SURVEY OF
PROSPECTIVE CONTRACTOR
PRODUCTION**

SERIAL NO. (For surveying activity use)

OMB No.: **9000-0011**
Expires: 09/30/91

PROSPECTIVE CONTRACTOR

Public reporting burden for this collection of information is estimated to average 24 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, DC 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0011), Washington, DC 20503.

SECTION I - RECOMMENDATION

1. RECOMMENDED

- COMPLETE AWARD b. PARTIAL AWARD (Quantity: _____) c. NO AWARD

2. NARRATIVE (Cite those sections of this report which substantiate the recommendations. List any other backup information in this space or on attached sheet if necessary. Identify any formal systems reviews and state results.)

IF CONTINUATION SHEETS
ATTACHED - MARK HERE

3. SURVEY MADE BY	a. SIGNATURE AND OFFICE (Include typed or printed name)	b. TELEPHONE NUMBER (Include are code)	c. DATE SIGNED
	4. SURVEY REVIEWING OFFICIAL	a. SIGNATURE AND OFFICE (Include typed or printed name)	b. TELEPHONE NUMBER (Include are code)

SECTION II - PLANT FACILITIES

1. SIZE OF TRACT		4. DESCRIPTION AND TYPE OF BUILDING(S)				
2. SQUARE FEET UNDER ROOF		3. NO. OF BUILDINGS	<input type="checkbox"/> OWNED <input type="checkbox"/> LEASED <i>(Give expiration date)</i>			
5. SPACE				6. MISCELLANEOUS PLANT OBSERVATIONS		
TYPE		SQUARE FEET	ADE- QUATE	INADE- QUATE	<i>(Explain any items marked "NO" on an attached sheet.)</i>	
MANUFACTURING	a. TOTAL MANUFACTURING SPACE				a. GOOD HOUSEKEEPING MAINTAINED	
	b. SPACE AVAILABLE FOR OFFERED ITEM				b. POWER AND FUEL SUPPLY ADEQUATE TO MEET PRODUCTION	
STORAGE	c. TOTAL STORAGE SPACE				c. ALTERNATE POWER AND FUEL SOURCE AVAILABLE	
	d. FOR INSPECTION LOTS				d. ADEQUATE MATERIAL HANDLING EQUIPMENT AVAILABLE	
	e. FOR SHIPPING QUANTITIES				e. TRANSPORTATION FACILITIES AVAILABLE FOR SHIPPING PRODUCT	
	f. SPACE AVAILABLE FOR OFFERED ITEM				f. <i>OTHER (Specify)</i>	
	g. AMOUNT OF STORAGE THAT CAN BE CONVERTED FOR MANUFACTURING, IF REQUIRED				g.	
					h.	

SECTION III - PRODUCTION EQUIPMENT

	LIST MAJOR EQUIPMENT REQUIRED <i>(Include GFP and annotate it as such)</i>	QUANTITY REQUIRED FOR PROPOSED CONTRACT (b)	TOTAL QTY. REQ. DURING LIFE OF PROPOSED CONTRACT (c)	QUANTITY ON HAND (d)	CONDI- TION (e)			QUANTITY SHORT* <i>(Col. (c) minus (d))</i> (f)	SOURCE, IF NOT ON HAND (g)	VERIFIED DELIVERY DATE (h)
					G	F	P			
1. MANUFACTURING										
2. SPECIAL TOOLING										
3. SPECIAL TEST										

* Coordinates shortage information for financial implications.

SECTION IV - MATERIALS, PURCHASED PARTS AND SUBCONTRACTS

1. PARTS/MATERIALS/SUBCONTRACTS WITH LONGEST LEAD TIME OR CRUCIAL ITEMS

DESCRIPTION (a)	SOURCE (b)	VERIFIED DELIVERY DATE TO MEET PROD. (c)

2. DESCRIBE THE MATERIAL CONTROL SYSTEM, INDICATING WHETHER IT IS CURRENTLY OPERATIONAL, AND EVALUATE ITS ABILITY TO MEET THE NEEDS OF THE PROPOSED ACQUISITION.

SECTION V - PERSONNEL

1. NUMBER AND SOURCE OF EMPLOYEES					2. SHIFTS ON WHICH WORK IS TO BE PERFORMED			
TYPE OF EMPLOYEES	NO. ON BOARD	ADD. NO. REQUIRED	AVAIL.		SOURCE	<input type="checkbox"/> FIRST	<input type="checkbox"/> SECOND	<input type="checkbox"/> THIRD
			YES	NO		3. UNION AFFILIATION		
a. SKILLED PRODUCTION								
b. UNSKILLED PRODUCTION								
c. ENGINEERING								
d. ADMINISTRATIVE								
e. TOT. (Lines A thru D)								

AGREEMENT EXPIRATION DATE

4. RELATIONSHIP WITH LABOR INDICATES PROBLEMS AFFECTING TIMELY PERFORMANCE OF PROPOSED CONTRACT (If "Yes," explain on attached sheet)

YES NO

SECTION VI - DELIVERY PERFORMANCE RECORD

**PREAWARD SURVEY OF PROSPECTIVE CONTRACTOR
QUALITY ASSURANCE**

SERIAL NO. (For surveying activity use)

OMB No.: 9000-0011
Expires: 10/31/2000

PROSPECTIVE CONTRACTOR

Public reporting burden for this collection of information is estimated to average 24 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (MVR), Federal Acquisition Policy Division, GSA, Washington, DC 20405.

SECTION I - RECOMMENDATION

1. RECOMMEND: AWARD NO AWARD (Provide full substantiation for recommendation in 4. NARRATIVE)

2. IF PROSPECTIVE CONTRACTOR RECEIVES AWARD, A POST AWARD CONFERENCE IS RECOMMENDED. YES NO

3. AN ON-SITE SURVEY WAS PERFORMED. YES NO

4. NARRATIVE

IF CONTINUATION SHEETS
ATTACHED - MARK HERE

5. SURVEY MADE BY			6. SURVEY REVIEWING OFFICIAL		
A. SIGNATURE		B. DATE SIGNED	A. SIGNATURE		B. DATE REVIEWED
C. NAME			C. NAME		
D. OFFICE			D. OFFICE		
E. AREA CODE	F. TELEPHONE NUMBER	G. EXT.	E. AREA CODE	F. TELEPHONE NUMBER	G. EXT.

SECTION II - COMPANY AND SOLICITATION DATA

1. BRIEFLY DESCRIBE HOW QUALITY ASSURANCE RESPONSIBILITIES ARE ACCOMPLISHED.

2. QUALITY ASSURANCE OFFICIALS CONTACTED

A. NAME	B. TITLE	C. YEARS OF QUALITY ASSURANCE EXPERIENCE

3. APPLICABLE CONTRACT QUALITY REQUIREMENTS

A. NUMBER	B. TITLE	C. TAILORING (If any)

4. IDENTICAL OR SIMILAR ITEMS HAVE BEEN PRODUCED, SUPPLIED, OR SERVICED BY PROSPECTIVE CONTRACTOR

(If similar items, identify: _____)

SECTION III - EVALUATION CHECKLIST

STATEMENTS			YES	NO
1. These items (where applicable to the contract) are understood by the prospective contractor.	A. Exhibits, technical data, drawings, specifications, and approval requirements.			
	B. Preservation, packaging, packing, and marking requirements.			
	C. Other (Specify)			
2. Records available indicate that the prospective contractor has a satisfactory quality performance record during the past twelve (12) months for similar items.				
3. Used, reconditioned, or remanufactured material and former Government surplus material will be furnished by the prospective contractor. (If Yes, explain in Section I NARRATIVE)				
4. Prospective contractor will require unusual assistance from the Government. (If Yes, explain in Section I NARRATIVE)				
5. Did prospective contractor fulfill commitments to correct deficiencies, as proposed on previous surveys, when awarded that contract? (If No, explain in Section I NARRATIVE)				
6. Quality verification personnel	NUMBER SKILLED	NUMBER SEMI-SKILLED		
7. Quality verification to production personnel ratio.	RATIO _____ :			
THE FOLLOWING ARE AVAILABLE AND ADEQUATE. (If not applicable, show "N/A" in "Yes" column.)				
8. Inspection and test equipment, gauges, and instruments for first article and production (including solicitation specified equipment).				
9. Calibration/metrology program.				
10. Quality system procedures and controls.				
11. Control of specifications, drawings, changes and modifications, work/process instructions.				
12. System for determining inspection, test, and measurement requirements.				
13. Purchasing: Processes for selecting qualified suppliers and assuring the quality of purchased materials.				
14. Product identification, segregation, traceability, and maintenance.				
15. Government furnished property controls.				
16. Process controls.				
17. Nonconforming product: System for timely identification, disposition, correction of deficiencies, and corrective and preventative action.				
18. Preservation, storage, packaging, packing, marking, and delivery controls.				
19. Records (such as: inspection, test, status, corrective actions, calibration, etc.)				
20. Controls for investigation of customer complaints and correction of deficiencies.				
21. Design controls system.				
22. Computer software (deliverable and/or non-deliverable) quality assurance program.				
23. Management review and internal quality audits.				
24. Quality assurance training program.				
25. Installation and servicing quality assurance program.				
26. Statistical techniques.				

**PREAWARD SURVEY OF PROSPECTIVE CONTRACTOR
FINANCIAL CAPABILITY**

SERIAL NO. (For surveying activity use)

OMB No.: **9000-0011**
Expires: 09/30/91

PROSPECTIVE CONTRACTOR

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SECTION I - RECOMMENDATION

1. RECOMMENDED

- a. COMPLETE AWARD b. PARTIAL AWARD (Quantity: _____) c. NO AWARD

2. TOTAL OFFERED PRICE

3. NARRATIVE (Cite those sections of the report which substantiate the recommendation. Give any other backup information in this space or on an additional sheet, if necessary.)

IF CONTINUATION SHEETS
ATTACHED - MARK HERE

4. SURVEY MADE BY	a. SIGNATURE	b. TELEPHONE NUMBER (Include area code)	c. DATE SIGNED
	a. SIGNATURE	b. TELEPHONE NUMBER (Include area code)	c. DATE REVIEWED

SECTION II - GENERAL

1. TYPE OF COMPANY <input type="checkbox"/> CORPORATION <input type="checkbox"/> PARTNERSHIP <input type="checkbox"/> SUBSIDIARY <input type="checkbox"/> DIVISION <input type="checkbox"/> PROPRIETORSHIP <input type="checkbox"/> OTHER (Specify)	3. NAME AND ADDRESS OF: a. PARENT CO. b. SUBSIDIARIES
2. YEAR ESTABLISHED:	

SECTION III - BALANCE SHEET/PROFIT AND LOSS STATEMENT

PART A - LATEST BALANCE SHEET			PART B - LATEST PROFIT AND LOSS STATEMENT			
1. DATE	2. FILED WITH		1. CURRENT PERIOD		2. FILED WITH	
			a. FROM	b. TO		
3. FINANCIAL POSITION			3. NET SALES			
a. Cash	\$		3. NET PROFITS BEFORE TAXES	a. CURRENT PERIOD		\$
b. Accounts Receivable		b. First prior fiscal year				
c. Inventory		c. Second prior fiscal year				
d. Other Current Assets				a. CURRENT PERIOD		\$
e. Total Current Assets				b. First prior fiscal year		
f. Fixed Assets				c. Second prior fiscal year		
g. Current Liabilities			PART C - OTHER			
h. Long Term Liabilities			1. FISCAL YEAR ENDS (Date)			
i. Total Liabilities			2. BALANCE SHEETS AND PROFIT AND LOSS STATEMENTS HAVE BEEN CERTIFIED			
j. Net Worth			a. THROUGH (Date) b. BY (Signature)			
4. WORKING CAPITAL (Current Assets less Current Liabilities)			3. OTHER PERTINENT DATA			
5. RATIOS						
a. CURRENT ASSETS TO CURRENT LIABILITIES	b. ACID TEST (Cash, temporary investments held in lieu of cash and current receivables to current liabilities)	c. TOTAL LIABILITIES TO NET WORTH				

SECTION IV - PROSPECTIVE CONTRACTOR'S FINANCIAL ARRANGEMENTS

Mark "X" in appropriate column.	YES	NO	4. INDEPENDENT ANALYSIS OF FINANCIAL POSITION SUPPORTS THE STATEMENTS SHOWN IN ITEMS 1, 2, AND 3
1. USE OF OWN RESOURCES			<input type="checkbox"/> YES <input type="checkbox"/> NO (If "NO", explain)
2. USE OF BANK CREDITS			
3. OTHER (Specify)			

SECTION V - GOVERNMENT FINANCIAL AID

1. TO BE REQUESTED IN CONNECTION WITH PERFORMANCE OF PROPOSED CONTRACT	2. EXPLAIN ANY "YES" ANSWERS TO ITEMS 1a, b, AND c.	
Mark "X" in appropriate column.	YES	NO
a. PROGRESS PAYMENT(S)		
b. GUARANTEED LOAN		
c. ADVANCE PAYMENTS		

3. FINANCIAL AID CURRENTLY OBTAINED FROM THE GOVERNMENT

a. PROSPECTIVE CONTRACTOR RECEIVES GOVERNMENT FINANCING AT PRESENT	Complete items below only if Item a., is marked "YES."				
<input type="checkbox"/> YES <input type="checkbox"/> NO	b. IS LIQUIDATION CURRENT?	c. AMOUNT OF UNLIQUIDATED PROGRESS PAYMENTS OUTSTANDING	DOLLAR AMOUNTS	(a) AUTHORIZED	(b) IN USE
	<input type="checkbox"/> YES <input type="checkbox"/> NO	\$	a. Guaranteed loans	\$	\$
			b. Advance payments	\$	\$

4. LIST THE GOVERNMENT AGENCIES INVOLVED

5. SHOW THE APPLICABLE CONTRACT NOS.

--	--

SECTION VI - BUSINESS AND FINANCIAL REPUTATION

1. COMMENTS OF PROSPECTIVE CONTRACTOR'S BANK

2. COMMENTS OF TRADE CREDITORS

3. COMMENTS AND REPORTS OF COMMERCIAL FINANCIAL SERVICES AND CREDIT ORGANIZATIONS *(Such as, Dun & Bradstreet, Standard and Poor, etc.)*

4. MOST RECENT CREDIT RATING	▶	a. DATE	b. BY
------------------------------	---	---------	-------

5. DOES PRICE APPEAR UNREALISTICALLY LOW? YES NO *(If Yes, explain in Section I NARRATIVE)*

6. DESCRIBE ANY OUTSTANDING LIENS OR JUDGMENTS

SECTION VII - SALES (000'S) FOR NEXT SIX QUARTERS

CATEGORY	1	2	3	4	5	6	TOTAL
1. CURRENT CONTRACT SALES (Backlog)	\$	\$	\$	\$	\$	\$	\$
A. GOVERNMENT (Prime & Subcontractor)							
B. COMMERCIAL							
2. ANTICIPATED ADDITIONAL SALES							
A. GOVERNMENT (Prime & Subcontractor)							
B. COMMERCIAL							
3. TOTALS							

**PREAWARD SURVEY OF PROSPECTIVE CONTRACTOR
ACCOUNTING SYSTEM**

SERIAL NO. (For surveying activity use)

OMB No.: 9000-0011
Expires: 10/31/97

PROSPECTIVE CONTRACTOR

Public reporting burden for this collection of information is estimated to average 24 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to FAR Secretariat (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, DC 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0011), Washington, DC 20503.

SECTION I - RECOMMENDATION

1. PROSPECTIVE CONTRACTOR'S ACCOUNTING SYSTEM IS ACCEPTABLE FOR AWARD OF PROSPECTIVE CONTRACT

YES

NO (Explain in 2. NARRATIVE)

YES, WITH A RECOMMENDATION THAT A FOLLOW ON ACCOUNTING SYSTEM REVIEW BE PERFORMED AFTER CONTRACT AWARD
(Explain in 2. NARRATIVE)

2. NARRATIVE (Clarification of deficiencies, and other pertinent comments, . If additional space is required, continue on plain sheets of paper.)

IF CONTINUATION SHEETS
ATTACHED - MARK HERE

3. SURVEY MADE BY	a. SIGNATURE AND OFFICE (Include typed or printed name)	b. TELEPHONE NO. (include area code)	c. DATE SIGNED
4. SURVEY REVIEWING OFFICIAL	a. SIGNATURE AND OFFICE (Include typed or printed name)	b. TELEPHONE NO. (include area code)	c. DATE REVIEWED

SECTION II - EVALUATION CHECKLIST

MARK "X" IN THE APPROPRIATE COLUMN <i>(Explain any deficiencies in SECTION I NARRATIVE)</i>	YES	NO	NOT APPLICABLE
1. EXCEPT AS STATED IN SECTION I NARRATIVE, IS THE ACCOUNTING SYSTEM IN ACCORD WITH GENERALLY ACCEPTED ACCOUNTING PRINCIPLES APPLICABLE IN THE CIRCUMSTANCES?			
2. ACCOUNTING SYSTEM PROVIDES FOR:			
a. Proper segregation of direct costs from indirect costs.			
b. Identification and accumulation of direct costs by contract.			
c. A logical and consistent method for the allocation of indirect costs to intermediate and final cost objectives. (A contract is a final cost objective.)			
d. Accumulation of costs under general ledger control.			
e. A timekeeping system that identifies employees' labor by intermediate or final cost objectives.			
f. A labor distribution system that charges direct and indirect labor to the appropriate cost objectives.			
g. Interim (at least monthly) determination of costs charged to a contract through routine posting of books of account.			
h. Exclusion from costs charged to government contracts of amounts which are not allowable in terms of FAR31, Contract Cost Principles and Procedures, or other contract provisions.			
i. Identification of costs by contract line item and by units (as if each unit or line item were a separate contract) if required by the proposed contract.			
j. Segregation of preproduction costs from production costs.			
3. ACCOUNTING SYSTEM PROVIDES FINANCIAL INFORMATION:			
a. Required by contract clauses concerning limitation of cost (FAR52.232-20 and 21) or limitation on payments (FAR52.216-16).			
b. Required to support requests for progress payments.			
4. IS THE ACCOUNTING SYSTEM DESIGNED, AND ARE THE RECORDS MAINTAINED IN SUCH A MANNER THAT ADEQUATE, RELIABLE DATA ARE DEVELOPED FOR USE IN PRICING FOLLOW-ON ACQUISITIONS?			
5. IS THE ACCOUNTING SYSTEM CURRENTLY IN FULL OPERATION? (If not, describe in Section I Narrative which portions are (1) in operation, (2) set up, but not yet in operation, (3) anticipated, or (4) nonexistent.)			

APPENDIX 3

SF-17, FACILITIES AVAILABLE FOR THE CONSTRUCTION AND REPAIR OF SHIPS

Standard Form 17
(OCT 1999)
DEPARTMENT OF THE NAVY
(NAVSEASYSYSCOM)
& MARITIME ADMINISTRATION
Coordinator for Ship Repair
and Conversion (DOD-DOC)

FACILITIES AVAILABLE FOR THE CONSTRUCTION OR REPAIR OF SHIPS

Form Approved
OMB No. 0703-0006
Expires Sep 30, 2002

The public reporting burden for this collection of information is estimated to average 4 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (0703-0006), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.
PLEASE DO NOT RETURN YOUR FORM TO THE ABOVE ADDRESS. RETURN COMPLETED FORM TO THE APPROPRIATE DEPARTMENT OF DEFENSE OFFICE OR MARITIME ADMINISTRATION.

DATE

TO: *(Complete departmental address)*

SHIPYARD AND ADDRESS

INSTRUCTIONS

Forward original copy to appropriate
Department of Defense Office or Maritime
Administration, Washington, D.C.

BUILDING WAYS (M.L.W.)

NO. OF WAY	LAUNCHING <i>(X one)</i>	DIMENSIONS	MAXIMUM SHIP SIZE <i>(Ton 2,240 lbs.)</i>	DEPTH OF WATER		CONDITION OF WAY	CRANES SERVING WAY		
				OVER WAY END	AT DROP OFF		NO.	TYPE <i>(Plus hook height for bridge cranes)</i>	LIFT CAPACITY <i>(Std. tons)</i>
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						
	END	LENGTH	LENGTH O.A.						
	SIDE	WIDTH	BEAM						
	BASIN	DEPTH	WEIGHT						

LENGTH OF LAUNCHING RUN

DEPTH OF RUN AT M.L.W.

TIDAL RANGE *(Difference M.L.-M.H.)*

IS FIRE PROTECTION AVAILABLE ON BUILDING WAY? YES NO

IS SNUBBING NECESSARY? YES NO

SHIP'S BERTHS (Piers, Wharves, Bulkheads, Mooring Dolphins (M.L.W.))										
NO.	TYPE	LENGTH (Actual and Usable)	WATER DEPTH		HEIGHT OF DOCK	USE REPAIR AND/OR OUTFITTING	SERVICE AVAILABLE (Use abbreviations of services and units of measure notated under legend)	CRANES SERVING BERTHS, ETC.		
			INBOARD	OUTBOARD				NO.	TYPE (Hook height above M.L.W.)	LIFT CAPACITY (Std. tons)
		ACT.								LIFT
		USE.								REACH
		ACT.								LIFT
		USE.								REACH
		ACT.								LIFT
		USE.								REACH
		ACT.								LIFT
		USE.								REACH
		ACT.								LIFT
		USE.								REACH
		ACT.								LIFT
		USE.								REACH
		ACT.								LIFT
		USE.								REACH

DRYDOCKS (Mean HIGH Water) (List building docks under building ways)

DOCK NO.	MATERIAL CONSTRUCTED OF - TYPE FLOATING-(FD); GRAVING-(GD); MARINE RAILWAY-(MR)	MAXIMUM SHIP SIZE ACCOMMODATED LENGTH OA - BEAM	LENGTH			CLEAR WIDTH		DEPTH/DRAFT			LIFTING CAPACITY (Ton 2,240 lbs.)
			OVERALL	AT COPING (GD); ON PONTOONS (FD)	AT KEEL BLOCKS; ON CRADLE (MR)	AT TOP; CRADLE (MR)	AT KEEL BLOCKS	OVER SILL (GD)	OVER FLOOR	OVER KEEL BLOCKS	

LEGEND (Abbreviations of Services)

Fresh water - F.W. - G.P.M. - P.S.I.
Salt water - S.W. - G.P.M. - P.S.I.

Steam - S - P/HR - P.S.I.
Air - A - C.F.M. - P.S.I.

Electric power - E-V-AC-AMP
Electric power - E-V-DC-AMP

Fire protection - FP - G.P.M. - P.S.I.
Sanitary sewer - SS - Yes or No

PRINCIPAL SHOPS AND BUILDINGS						ALL OTHER SHOPS <i>(List names and dimensions, include mold loft, if any)</i>
NAME OF SHOP OR BUILDING	DIMENSIONS OF SHOP OR BUILDING	MATERIALS PROCESSED <i>(See Note)</i>	LARGEST EXIT		WEIGHT OF MATERIAL OR NUMBER AND SIZE OF UNITS PRODUCED PER 8 HOURS <i>(See Note)</i>	
			WIDTH	HEIGHT		
FABRICATING						
PLATE						
SHEET METAL						
SUBASSEMBLY						
CARPENTER						
WOODWORKING						
BOAT ASSEMBLY OR MOLDING						
MACHINE						
ELECTRICAL						
ELECTRONIC						
PIPE						
GALVANIZING						
FOUNDRY						
RIGGER						

NOTE: Indicate materials as steel, aluminum, reinforced plastic, wood, plywood, sheet metal, etc.

SHOP OR YARD CRANES <i>(5 tons or over)</i>											
BRIDGE TYPE				STATIONARY, RAIL OR MOBILE							
CAP. <i>(Std. tons)</i>	MAX. SPAN	HEIGHT OF HOOK	AREA/SHOP SERVICED	TYPE	CAP. <i>(Std. tons)</i>	MAX. REACH	CAPACITY AT REACH	BOOM LENGTH	HEIGHT HINGE	AREA SERVICED	HGT. OF HOOK ABOVE BASE AT OUT REACH

MAJOR ITEMS OF MACHINE TOOLS AND EQUIPMENT *(List briefly such of the large items as will indicate the capacities of all important shops in maximum work piece size, e.g., 30' plate bending rolls, 10' plate shears, 400 ton Hydraulic press, 30' plate furnace, engine lathe 36" x 20" b.c., etc.)*

STORAGE SPACE (Sq. ft.) FOR COMPONENTS AND MATERIALS *(Less boat storage) (List dimensions for each area, plus type material stored)*

RAW STEEL STORAGE (Sq. ft.)	WELDING AND ASSEMBLY (Sq. ft.)
-----------------------------	--------------------------------

ACREAGE LEGALLY CONTROLLED

IN USE	DEVELOPED <i>(Including in use)</i>	TOTAL <i>(Including undeveloped)</i>
--------	-------------------------------------	--------------------------------------

EXISTING LOCAL ORDINANCES LIMITING PRODUCTIVE USE

LIMITATIONS IMPOSED BY PROPERTY ZONING CLASSIFICATION

YARD LAYOUT - PLEASE FURNISH A PLOT PLAN OF YARD OR PLANT, IF AVAILABLE.

LOCATION OF PRODUCTION FACILITIES FOR PRODUCTS LISTED IN ITEM 8 OF SF 129				ON WATERFRONT <input type="checkbox"/> YES <input type="checkbox"/> NO		PROJECTS UNDER CONSTRUCTION WHICH WILL ALTER NAVIGATIONAL RESTRICTIONS (Specify projects and state effect and estimated completions.)
EMPLOYMENT	CURRENT	CURRENT NO. SHIFTS	MOBILIZATION - SHIFTS			
MANAGEMENT, ADMINISTRATION						
PROFESSIONAL, ENGINEERING						
PROFESSIONAL, TECHNICAL (All others)						
PRODUCTION, SKILLED						
PRODUCTION, SEMISKILLED						
PRODUCTION, UNSKILLED						
NONPRODUCTION						
TOTAL						
NUMBER OF PRODUCTION PERSONNEL PRESENTLY ENGAGED IN SHIP AND/OR BOAT CONSTRUCTION (); REPAIR ().						DESCRIPTION OF TYPES OF WORK NORMALLY SUBCONTRACTED
APPROXIMATE TOTAL EMPLOYMENT OF ALL AFFILIATED CONCERNS ONLY LISTED IN ITEM 6 OF SF 129 (NOTE: An affiliate is a concern that directly, or indirectly through one or more intermediary controls, or is controlled by, or is under common control with, the reporting firm. Common ownership of stock by individuals does not in itself constitute affiliation.)						
DISTANCE TO NEAREST RAILROAD CONNECTION			DISTANCE TO NEAREST AIRPORT - IDENTIFY			
LARGEST CONVEYANCE AVAILABLE AND MAXIMUM DIMENSIONS OF LOAD, FOR OVERLAND TRANSPORTATION OF FINISHED PRODUCTS (Not to exceed limitations imposed by local ordinances)						
NAVIGATIONAL RESTRICTIONS (Indicate all at M.L.W.)						
MINIMUM CHANNEL TO TIDEWATER			MINIMUM HORIZONTAL AND VERTICAL BRIDGE CLEARANCES TO TIDEWATER (Identify structures)			
LIMITING LOCK DIMENSIONS TO TIDEWATER (Identify locks)						

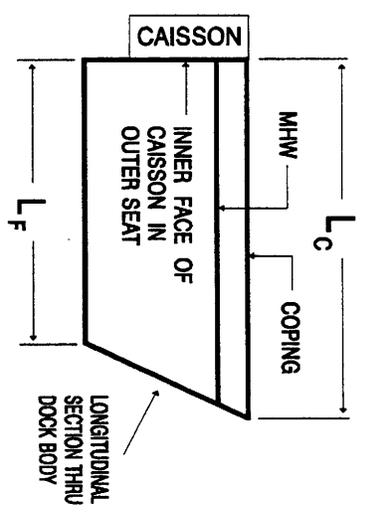
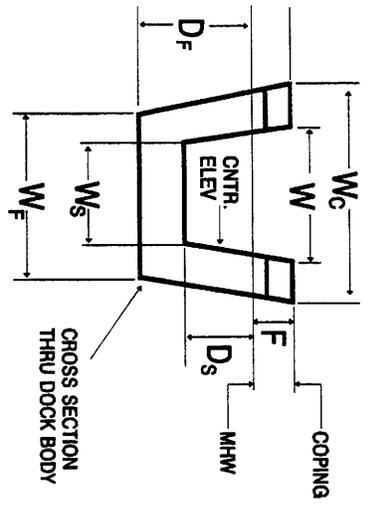
PRODUCTION EXPERIENCE *(List at least three of the largest and the most complex ships or boats constructed, indicating (1) date completed, (2) hull length, beam, and molded depth, (3) type propulsion unit (fully described), (4) horsepower, (5) electrical and/or electronic installation, (6) special piping features, (7) size and tensile strength of plates, if steel, or type hull material, if other than steel, (8) special annealing, heat treating, or stress relieving problems encountered, if steel, plus, (9) any other important problems resolved.)*
(NOTE: If no previous construction experience give detailed description of major conversion or industrial manufacturing work considered comparable to ship or boat construction.)

APPENDIX 4

Graving Dock and Floating Drydock Characteristic Summary Surveys

GRAVING DOCK CHARACTERISTICS SUMMARY

GRAVING DOCK NOMENCLATURE



- KEY**
- MHW - Mean High Water
 - D_F - Depth of Dock from MHW to Floor
 - D_S - Depth of Dock from MHW to Sill
 - L_C - Length of Dock at Coping
 - L_F - Length of Dock at Floor
 - W_C - Width of Dock at Coping or maximum clear width above Dock Floor
 - W_F - Width at Dock Floor
 - W_S - Width of Dock at Entrance (Sill)
 - F - Freeboard. Distance from MHW to top of coping. Indicate if part of Freeboard may be superflooded.

GRAVING DOCK IDENTIFIER	LENGTH			ENTRANCE DIMENSIONS			DOCK BODY DIMENSIONS				SUPERFLOODING	STANDARD DEFINITION	AVAILABLE ELECTRICAL SERVICE (SHORE POWER TO VESSEL)			REMARKS (e.g. Indicate dimensions of pits in dock floor)	
	FLOOR L _F	COPING L _C	SILL W _S	WIDTH W	DEPTH D _S	FLOOR W _F	COPING W _C	DEPTH D _F	FREEBOARD F	VOLTS			AMPS	HERTZ			

FLOATING DRYDOCK CHARACTERISTICS SUMMARY

FLOATING DRYDOCK IDENTIFIER	MAXIMUM LENGTH OF PONTON	MAXIMUM DEPTH OVER BLOCKS	CLEAR WIDTH BETWEEN WINGWALLS	LIFT CAPACITY (TONS)	NORMAL KEEL BLOCK HEIGHT	AVAILABLE ELECTRICAL SERVICE (SHORE POWER TO VESSEL)			REMARKS (Indicate existence of hauling blocks, if end selection can be lowered, and max. length of ship DD can accommodate).
						VOLTS	AMPS	HERTZ	

APPENDIX 5

Determination of Prospective Contractor Responsibility

DOT Form F 4220.1

DETERMINATION OF PROSPECTIVE CONTRACTOR RESPONSIBILITY		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							
LEGEND: TYPE OF EVALUATION							
TYPE A --- On-Site Pre-Award. This constitutes an inspection of the contractor's facility by the Contracting Officer or his/her authorized representative.							
TYPE B--- Desk-Type Pre-Award. 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 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.							
TYPE C--- Personal Knowledge. 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.							
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.							
7. EVALUATION AND RATING							
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						
DETERMINATION		8. OFFEROR (Check one) <input type="checkbox"/> IS <input type="checkbox"/> IS NOT considered responsible in accordance with FAR Part 9.1.					
9. DATE	10. TYPED NAME OF CONTRACTING OFFICER	11. SIGNATURE OF CONTRACTING OFFICER					

APPENDIX 6

PERFORMING PRE-AWARD FINANCIAL SURVEYS

**DEPARTMENT OF TRANSPORTATION
MARITIME ADMINISTRATION
OFFICE OF FINANCIAL APPROVALS**

GUIDE FOR PERFORMING PRE-AWARD SURVEY (FINANCIAL CONTROL)

BACKGROUND

1. Authority

As prescribed in the Federal Acquisitions Regulations (FAR) 9.106 and the Maritime Administration Acquisition Regulations (MAAP) 1232.108, attachments A and B, the financial analysis part of a pre-award on-site survey determines a prospective contractor's financial responsibility and the adequacy of its accounting system for accumulating and monitoring contract costs.

In accordance with FAR, "A preaward survey is normally required when the information on hand or readily available to the contracting officer is not sufficient to make a determination regarding responsibility. However, if the contemplated contract (1) will be for \$25,000 or less or (2) will have a fixed price of less than \$100,000 and will involve commercial products ... the contracting officer should not request a preaward survey unless circumstances justify its cost...."

2. Purpose

This guide provides procedures and criteria for the Region Finance Offices (RFO) to accomplish the financial segment of an on-site preaward survey. The RFO's use professional judgment when conducting the survey, and he contacts the Office of Financial Approvals (OFA) for further guidance and assistance when required. RFO's may also assist a contracting officer for "Desk-Type Pre Award" or "Personal Knowledge" evaluations (see Exhibit 6).

3. Requirement

The RFO performing the survey must be familiar with the FAR, Transportation Acquisition Regulations (TAR) and the (MAAP) regulations and have a thorough knowledge of Generally Accepted Accounting Principles and Auditing Standards.

4. Reporting Result

For on-site preaward surveys only, forward to the contracting officer a completed and signed Supplemental Analysis and Review, a SF 1407 and a SF 1408 (Exhibits 1, 2, and 3, respectively).

For Desk-Type preaward or personal knowledge evaluations, communicate results to the contracting officer commensurate with the findings.

PROCEDURES

1. Obtain Financial Information

After receiving a request to perform a preaward financial survey, the RFO should request the following from the contracting office or the prospective contractor:

- The audited financial statements for the last three-year period which should include the auditor's opinion, footnotes, and any attached schedules,
- the proposed contract price,
- the method of payment,
- the payment schedule,
- the performance period, and
- any other major terms or conditions affecting the financial aspect of the proposed contract for purposes of completing the Supplemental Analysis and Review form.

If current audited financial statements are not available (approximately 4 to 16 months from the balance sheet date), immediately advise the OFA. They will determine whether alternate sources of reliable financial information is obtainable and appropriate.

In addition to the above, the RFO should obtain a current credit report from Dun & Bradstreet (D&B), a contact name and telephone number of the CPA firm, and the name and number of the responsible financial officer of the prospective contractor. The D&B can be obtained from the Office of Ship Financing (see Exhibit 5 for the request memorandum).

Upon review of the audited financial statements additional information may need to be obtained, such as, audited financial statements of the parent or affiliated companies if either of these exist.

2. Complete the Supplemental Analysis and Review Form:

A Supplemental Analysis and Review form should be completed for each SF 1407. It should address, at a minimum, the following areas:

a. Acceptability of financial statements -

Review the audited financial statements and determine that the financial statements and audit reports are complete and current. Check to see that the opinion is signed and dated, that the footnotes are complete and that all statements and supporting schedules are included.

1. Type of audit opinion

The auditor's report should be reviewed for the type of opinion rendered (unqualified, qualified, adverse, or disclaimed) and for any additional disclosures. If anything other than an unqualified opinion is rendered, then the OFA should be notified. They will determine the reliability of the financial statements, whether adjustments need to be made, or if additional verification of the financial data should be obtained.

b. Footnotes

Footnotes to the financial statements should be closely reviewed in order to make adjustments, if necessary, to the financial statements. For example, contingencies such as guarantees, noncancellable operating leases maturing beyond six months and any other contingency should be added to long term debt for the calculation of debt-to-equity ratios. Also, intercompany receivables, not in the ordinary course of business, or restricted assets, should be excluded from ratios, working capital and net worth.

c. Statement of Cash Flows

The audited statement of cash flows should be analyzed to determine if cash flowing from operations, rather than other sources, is sufficient to meet the needs of the contract.

d. Gross revenue comparability

The total revenues of the company should be compared to the proposed contract price to determine whether the shipyard can handle the size of the proposed contract. Refer to the Supplemental Analysis and Review form, item F, for determination of ratios.

e. Financial testing criteria

The criteria proposed in the Supplemental Analysis and Review form may be adjusted or omitted, depending on the circumstances and at the professional discretion of the accountant, but must be fully explained in the "other considerations" section.

3. Complete the SF 1407

If applicable, report the name of the parent corporation and obtain its audited financial statements for inclusion in the financial analysis. Often, a ship maintenance and repair yard is a subsidiary of a diversified corporation and does not have audited financial statements apart from the parent. In such circumstances, the parent's audited statements and guarantee may warrant the subsidiary's financial responsibility.

It is permissible to enter on the SF 1407 financial information that is current but not audited if such data was prepared before the next audit report is normally issued. For example, if you are considering a proposed contract in January and the company submitted unaudited financial statements for the year ending December 31, you may accept such statements because an audit for that time period is not reasonably completed until a later date. However, if the usual issue date for audited financial statements has passed, then OFA should be informed.

Whenever unaudited financial information is shown on the SF 1407 it should be noted as such.

Any financial entries in the SF 1407 that have been adjusted should be asterisked and detailed in the Supplemental Analysis and Review form.

In order to complete the SF 1407, it may be necessary to contact the company for additional information not included in audited financial statements or the D&B report. Depending on the circumstances, such information may need to be corroborated by outside parties and may be done as part of an on-site visit.

Section VI - Recommendation, of the SF 1407, a contract award should not be recommended if the Supplemental Analysis and Review form does not support such a determination.

4. Complete the SF 1408

Full utilization should contractor's independent CPA firm. Determine if the current CPA firm has been engaged for the past three years and if not, the reasons for changing firms. Use professional judgment in determining whether the previous firm should be contacted for confirmation. Obtain the name and telephone number of the previous CPA firm. Note your findings in the Remarks section of the SF 1408.

A copy of the SF 1408 should be sent to the contractor to be forwarded to its CPA firm. The CPA firm will prepare a negative assurance (see Exhibit 4) addressing the items in the SF 1408. The negative assurance should be prepared on the CPA's letterhead, signed, dated and sent directly to the RFO.

The SF 1408 may be completed by desk audit, rather than during the on site visit, based on the CPA's negative assurance. Any significant deviation in the negative assurance from Exhibit 4 should be discussed with OFA before completing the SF 1408.

Ascertain from the prospective contractor and its CPA firm whether the company has been audited by DCAA or the Office of Inspector General regarding previous contracts. Obtain the result of such audits for consideration in completing the form SF 1408. Include your results and comments in the remarks section of the form SF 1408.

5. Documentation

The completion of the SF 1407, the Supplemental Analysis and Review form and the SF 1408 should be fully documented and supported by source information. All source information, determinations, contacts or observations should be organized in a single file folder with copies of the respective forms for retention. The workpapers and file folder should be properly labeled, dated and initialed by the RFO and cross-referenced. The file folders should be treated as proprietary information with restricted access.

6. On-site Visit

The on-site visit should include interviews with accounting personnel to corroborate information obtained from audited financial statements and the CPA firm. A cursory review of the accounting operations should be made during the on-site visit.

Follow-up discussions should be held with the contractor's CPA firm regarding issues or discrepancies discovered during completion of the SF 1407, the Supplemental Analysis and Review form and the SF 1408.

Professional judgment should be used to effectively utilize the limited time available for on-site reviews. If additional time is required, the justification should be discussed with the OFA.

7. Performance Review

At the request of the Office of Financial Approvals, the RFO shall furnish the documentation material referred to in 5., above. The Office of Financial Approvals will perform periodic reviews, independently or as part of an oversight review, of such files to ensure compliance of these procedures by the RFO's.

Exhibit 1

SUPPLEMENTAL ANALYSIS AND REVIEW

Prospective Contractor _____

Serial No. _____

A. Shipyard's audited financial statements - are they complete and current?

Is the opinion signed and dated? _____

Type of opinion and was OFA contacted? _____

B. If guarantee should for subsidiary shipyard be obtained?

C. Describe footnotes which may affect the contract. Show schedules of financial data or ratios that were adjusted.

D. Analysis of Cash flow statement - amount of increase _____

Major sources and uses of cash flow _____

E. Ratio analysis of proposed contract to income statement amount of contract/gross revenue

F. Measurement criteria (for comparison purposes only):

1. The ratio for proposed contract to gross revenue would normally be less than 20 percent.
2. Current assets to current liabilities would at a minimum be positive. Normally excess would support progress payments.
3. Acid test ratio should be positive. Normally excess would cover one projected progress payment.
4. Total Liabilities to net worth would normally not exceed four to one.

NOTE: Aside from considering the above measurement criteria and other factors, the acquisition of capital from other sources should be considered. Other sources may include: obtaining commitments for lines of credit, letters of credit, financial guarantees, etc.-- which support the financing of the project.

G. Other considerations and or continuation:

(list here any additional financial factors which were considered in evaluating the financial qualification of the contractor; you can also use this part as a continuation sheet).

SIGNED _____ DATED _____

Exhibit 2

February XX 20XX

Mr. Richard J. McDonnell
Director, Office of Financial Approvals
U.S. Department of Transportation
MAR-580, Room 8107
400 7th Street, SW.
Washington, D.C. 20590

Dear Mr. McDonnell:

The following responses are offered regarding Form SF 1408 for a MARAD preaward survey with XXXXX Shipyard Corporation (the Company). Our responses are based on our examination of the Company's financial statements dated January XX, 20XX and do not include matters which have occurred since the date of the audit report included thereon.

Question on
Form 1408

RESPONSE

1. Nothing has come to our attention that caused us to believe that the Company's accounting system is not in accordance with generally accepted accounting principles applicable in the circumstances.
2. Nothing has come to our attention that caused us to believe that the Company's accounting system does not provide for:
 - a) proper segregation of costs applicable to individual contracts;
 - b) determinations of costs at interim points;
 - c) exclusions from costs of amounts, which are not allowable under FAR 31, Contract Cost Principles and Procedures, or other contract provisions;
 - d) identification of costs by contract line items and by units, if required by the contract;
 - e) segregation of preproduction costs from production costs; and

f) segregation of direct costs from indirect costs;

3. Nothing has come to our attention that caused us to believe that the Company's accounting system does not provide financial information required:
 - a) by contract clauses concerning limitation of cost or limitation on payments;
 - b) to support requests for progress payments.
4. Nothing has come to our attention that would indicate that the accounting system does not provide adequate, reliable data for use in pricing follow-on acquisitions.

It should be noted that our examination was not directed primarily toward obtaining knowledge of the adequacy of the accounting system for your purposes.

Very truly yours,

XXX CPA Firm

Mr. XXXX

Partner

Exhibit 3

ACTION: Request for Dun & Bradstreet
Business Information Report

Region Finance Office

Lance S. Shirley
Office of Ship Financing

This Office is presently reviewing a contract proposal submitted by the company indicated below. We would appreciate it if you would provide us with Dun & Bradstreet financial and credit rating information on:

Name of Company _____

Address _____

Telephone No.* () _____

Company's "DUN's No." _____

*** Use only the company phone number, i.e., the number found in the phone book or the company's letterhead.**

Please telefax the report to this Office. Our Fax No. is _____. If additional information is necessary, please call Mr./Mrs. _____ on FTS _____.

The cost for the Dun & Bradstreet information should be charged to account 69X1710.

##

Exhibit 4

ASSISTING IN EVALUATIONS

RFO's may be asked to assist contracting officers in evaluating prospective contractors in lieu of performing on-site preaward surveys. The two levels of evaluation other than on-site preaward surveys are "Desk-Type Preaward" and "Personal Knowledge". The contracting officer is responsible for determining the type of evaluation to be made. Desk-Type Preaward evaluations are completed in a restricted time frame of one to several days. Personal Knowledge evaluations are usually completed the same day for contractors with existing contracts seeking additional work.

DESK-TYPE PREAWARD

1. Review files on hand to determine the currentness of the contractor's financial resources and adequacy of accounting system. The procedures required by an on-site preaward survey should be considered and adapted in light of the availability of current financial data.
2. Attempt to obtain current audited financial statements and a D&B report. NOTE: audited statements may be faxed to save time. Also check files for any governmental audits or reports indicating the performance of the contractor.
3. Document the procedures you accomplish and organize in a single file folder. Workpapers and file folder should be properly labeled, dated, initialed and cross-referenced. File folders should be treated as proprietary information with restricted access. The forms used for an on-site preaward survey may be used only as workpapers and remain in the file folder.
4. Communicate the results of evaluation by memorandum or for timeliness orally with a memorandum to follow.

PERSONAL KNOWLEDGE

1. Obtain the dollar amount of the new contract and any special terms and conditions. Promptly review files and evaluate available relevant information.
2. Consider the financial resources and capabilities of the contractor in comparison to the requirements of the additional new contract.
3. Note in the respective file folders of the existing contractors the nature of the request and the advice provided as well as the name of the person making the request and the date of the request.
4. Results may be communicated orally or in a memorandum form if further action is needed.

Exhibit 5

STATEMENT OF FINANCIAL INTEREST
CERTIFICATE OF NON-DISCLOSURE

Name of Procurement Official

Social Security Number

PRIVACY ACT NOTICE TO EMPLOYEES AND OFFICIALS

In accordance with the Privacy Act of 1974, as amended (5 U.S.C. 552a), the following notice is provided:

AUTHORITY FOR COLLECTION OF INFORMATION; 41 U.S.C. 423 and Executive Order 9397.

Your signature on the Optional Form 333, Procurement Integrity Certification for Procurement Officials, and disclosure of your Social Security Number on this page, are voluntary, but possible effects upon you if the certification is not signed and the Social Security Number is not provided include the following:

Disqualification from particular work or duty assignments, or from the position for which you have applied or which you currently hold, or other appropriate action, or administrative delay in processing your certification.

Principal purpose for collection of this information:

To obtain and maintain a completed certification from any person designated as a "Procurement Official," as defined by 41 U.S.C. 423 and applicable procurement regulations.

Routine uses which may be made of the collected information:

Transfers to Federal, state, local, or foreign agencies when relevant to civil, criminal, administrative, or regulatory investigations or proceedings, including transfer to the Office of Government Ethics in connection with its program oversight responsibilities, or pursuant to a request by any appropriate Federal agency in connection with hiring, retention, or grievance of an employee or applicant, the issuance of a security clearance, license, grant, or other benefit, to committees of the Congress, (OPM) in the system of records entitled "OPM/GOVT-1, General Personnel Records," as published in the Federal Register periodically by OPM.

(FR Doc. 90-24986 Filed 10-19-90; 8:45 am)
BILLING CODE 6820-34-C

**PROCUREMENT INTEGRITY CERTIFICATION
FOR PROCUREMENT OFFICIALS**

As a condition of serving as a procurement official,
I _____ hereby certify that
(typed or printed name)

I am familiar with the provisions of subsections 27 (b), (c), and (e) of the Office of Federal Procurement Policy Act (41 USC 423) as amended by section 814 of Public Law 101-189. I further certify that I will not engage in any conduct prohibited by such subsections and will report immediately to the contracting officer any information concerning a violation or possible violation of subsections 27(a), (b), (d), or (f) of the Act and applicable implementing regulations. A written explanation of subsections 27 (a) through (f) has been made available to me. I understand that should I leave the Government during the conduct of a procurement for which I have served as a procurement official, I have continuing obligation under section 27 not to disclose proprietary or source selection information relating to that procurement and a requirement to so certify.

SIGNATURE OF PROCUREMENT OFFICIAL

DATE

DEPARTMENT OR AGENCY

OFFICE TELEPHONE NUMBER

This form is authorized for use and loose reproduction through December 31, 2000

OPTIONAL FORM 333 (9-90)
Presorted by GSA - FAR (48 CPRO S3.20308)