

Appendix C (DEC 2014) – Pilot Program to Assess Performance Reporting

A. The DLA Form 1806-T, DEC 2014 "Procurement Technical Assistance Center Cooperative Agreement Performance Report"

Procurement Technical Assistance Center Cooperative Agreement Performance Report				
1. Cooperative Agreement Number	2. Recipient's Name and Address Name Division (if applicable) Street City, State Zip code	3. Unique Entity Identifier	5. Cooperative Agreement Period of Performance Starts: (MM/DD/YYYY) Ends: (MM/DD/YYYY)	6. Reporting Period End Date (MM/DD/YYYY)
4. Report Type (interim or final)				
7. New Clients (cumulative)				
7.a. Number of small business concerns in block 7				
7.b. Number of distressed area concerns in block 7				
7.c. Number of covered small businesses in block 7				
8. Active Clients				
8.a. Number of small business concerns in block 8				
8.b. Number of distressed area concerns in block 8				
8.c. Number of covered small businesses in block 8				
9. Counseling Time (cumulative)				
9.a. Counseling time with small business concerns in block 9				
9.b. Counseling time with distressed area concerns in block 9				
9.c. Counseling time with covered small businesses in block 9				
10. Participated events (cumulative)				
11. Discuss progress made towards the achievement of performance goals including successes and/or difficulties experienced. If applicable, discuss action you have taken, or contemplate taking, to resolve problems.				
12. Discuss any development that has a significant impact, positive or negative, on the PTAC including problems, delays, or adverse conditions which will impair your ability to meet any of the cooperative agreement's requirements.				
13. Discuss any noteworthy client success stories facilitated by the PTAC's assistance and/or other significant programmatic accomplishments. Share any notable lessons learned and discuss promising practices that have improved program outcomes.				
14. Contract Awards by Federal Agencies (cumulative)				
14.a. Number of prime contract awards received by active clients that were awarded by Federal agencies				
14.b. Dollar value of awards in block 14.a.				
14.c. Number of awards received by active clients that are small business concerns in block 14.a.				
14.d. Dollar value of awards in block 14.c.				
14.e. Number of awards received by active clients that are covered small businesses in block 14.a.				
14.f. Dollar value of awards in block 14.e.				
15. Contract Awards by State and Local Governments (cumulative)				
15.a. Number of prime contract awards received by active clients that were awarded by State and local governments				
15.b. Dollar value of awards in block 15.a.				
15.c. Number of awards received by active clients that are small business concerns in block 15.a.				
15.d. Dollar value of awards in block 15.c.				
16. Subcontract Awards (cumulative)				
16.a. Number of subcontract awards received by active clients				
16.b. Dollar value of awards in block 16.a.				
16.c. Number of awards received by active clients that are small business concerns in block 16.a.				
16.d. Dollar value of awards in block 16.c.				
17. Number of survey respondents				
18. Results: survey question #1				
19. Results: survey question #2				
20. Results: survey question #3				
21. Certification: By submitting this report, I certify that it is true, complete, and accurate to the best of my knowledge.		21.a. Name and Title of Authorized Certifying Official		21.b. Telephone number
		Name Title		21.c. Email address
				21.d. Date Report Submitted (MM/DD/YYYY)

B. PERFORMANCE REPORTING

You must collect and maintain current, complete and accurate information in order to complete and submit the DLA Form 1806-T, DEC 2014.

C. REPORT SUBMISSION AND DUE DATES

You must submit interim reports for the periods ending on March 31, June 30, September 30 and December 31. The exception is if your cooperative agreement ends on one of these dates, in which case the report you submit for the period ending on that date will be your final report, as opposed to an interim report.

Interim reports are due no later than 30 days after the end of each reporting period. You must also submit a final report, which is due 120 days* after the end of your cooperative agreement's period of performance. If a due date falls on a Saturday, Sunday, or holiday when Government offices are closed, the due date is extended until the following business day.

The Grants Officer will provide you with instructions as to how to submit your reports.

D. DEFINITIONS AND DOCUMENTATION REQUIREMENTS

1. Active client means a contractor with which the PTAC has recorded at least 30 minutes of counseling time and/or has attended at least one participated event during the previous 12 month period. You can determine whether a client is active or not by counting back 12 months from any particular day; for reporting purposes, you must calculate your number of active clients as of the end of each reporting period. All contractors that you count as active clients must have provided information sufficient to satisfy the documentation standards below, including having explicitly stated intent to become a PTAC client. For example, having completed a PTAC enrollment form or similar document.

For the purpose of the active client standard, counseling time is counted cumulatively, which means that the 30 minute standard can be satisfied using the collective amount of counseling time amassed during a number of shorter periods. Apply the 12-month standard when designating active clients even if part or all of the counseling time occurred during a previous cooperative agreement. You must carry forward active clients from one cooperative agreement to another if the client continues to meet the 12-month standard regardless of when one cooperative agreement ends and another begins. If for any reason or at any time you do not expect to have subsequent contact with a contractor you must not continue to count that contractor as an active client, regardless of the time of its last contact with the PTAC.

* 4/7/2016 - replaced "90 days" with "120 days", which is effective for all awards to which this Appendix applies

DOCUMENTATION STANDARDS: You must maintain documentation to substantiate the active clients you report, which must include 1) the contractor's name, 2) the physical address of the contractor's primary location (you may rely on a client's representation as to what address it considers its primary location.), 3) a point of contact with contact information (e.g., phone number or email address), 4) if applicable, designation in any category of small business provided in the Federal Acquisition Regulation (FAR) for which the contractor qualifies (i.e., small disadvantaged businesses, women-owned small business, etc.), 5) evidence that the contractor has explicitly stated intent to become a PTAC client and 6) information that substantiates the contractor's status as an active client, such as a record of counseling time with the client and/or the name and date of participated event(s) the client has attended.

2. Contract has the meaning provided in Part 2 of the FAR. The buyer may be a Federal agency, a State or a local government. Subcontract means a contract entered into by a subcontractor for performance of a prime contract or a higher-tier subcontract. The contract or subcontract is reportable if the contractor or subcontractor that received it was an active client on the date of the award. You must only report obligated dollars. You must not report a maximum contract value or an estimated value of orders that may be placed under a contract at a future date.

You must have a process in place to collect and report information on contracts and subcontracts received by your active clients. Your process must be ongoing so that it allows you to collect information continually and to report up-to-date figures in each of your performance reports (i.e., interim and final). Report contracts and subcontracts as promptly as you can.

DOCUMENTATION STANDARDS: You must maintain documentation to substantiate the contracts and subcontracts you report, which must include 1) the client's name, 2) the date of the award, 3) designation as a contract or subcontract, 4) designation as an award (or subcontract as a result of an award) by a Federal agency, a State or a local government, 5) the obligated dollar value of the award, 6) a description of where you obtained information about the award 7) evidence of the award such as a copy of the contract, correspondence from the client or a copy of information you obtained from another source, and 8) in the case of a contract or subcontract received by a client that is not a small business concern, a statement from the client that the award was obtained as a result of assistance rendered by the PTAC.

3. Counseling time is PTAC staff time spent one-on-one interacting with a client, to include any preparation time that is attributable to the specific interaction. Counseling time is time that is attributable to an individual client during which professional guidance specific to the needs of the client is provided. The interaction with the client may be in person or via electronic media (e.g., telephone or computer).

You must track counseling time as the actual number of qualifying minutes and hours.

Multiple PTAC staff members or individuals representing the client may participate simultaneously; however, you must not count any particular period of time more than once. For example, if two PTAC staff members hold a one hour meeting with a client that is represented by several individuals, this counts as one hour of counseling time.

With regard to email, PTAC staff time spent reading and/or responding to a specific inquiry received from a client is counseling time. You must not count any other type of email correspondence as counseling time. For example, you must not count sending a newsletter or a system-generated bid match as counseling time.

You must only report counseling time with active clients. This means that the client must have been active when the counseling time occurred; it does not mean that the client has to still be active when you report the counseling time. The only exception to this rule is that you may report counseling time spent with a new client before the client met the active client standard. For example, although a client is not active until you meet the 30 minute counseling time standard, you may report the full 30 minutes once the standard is met. This is the only scenario in which a portion of the counseling time you report might have actually occurred during a cooperative agreement other than the one you are reporting for.

The only exception to the requirement that counseling time is spent one-on-one with a client is counseling with regard to a specific teaming relationship between two (2) clients, such as a partnership under the DoD Mentor-Protégé Program or an opportunity for a subcontract. In this case, you must divide the total amount of counseling time by two and attribute it equally to each of the two clients participating.

You must not count travel time or time spent on administrative matters such as referrals to other sources of information or between numerous members of the PTAC staff as counseling time.

DOCUMENTATION STANDARDS: You must maintain documentation to substantiate the counseling time you report, which must include 1) the amount of counseling time, 2) the client's name, 3) the date of the counseling time, 3) the name of the PTAC staff member(s) that logged the counseling time and 4) a brief description of the assistance provided to the client.

4. Covered small business has the meaning provided in Section 1611 of the National Defense Authorization Act for Fiscal Year 2014 (Public Law 113-66), as implemented in the Defense Federal Acquisition Regulation Supplement (DFARS).

5. Distressed area concern means a client located in a distressed area, which is based on the physical address of the client's primary location. Distressed areas are identified in the cooperative agreement. The PTAC may rely on the client's representation as to what address it considers its primary location. If the cooperative agreement does not specify distressed areas you are not required to track, segregate or report data concerning distressed area concerns.
6. New client means a contractor that meets the standard for "active client", which did not meet the standard for the previous reporting period and was not reported as an active client for that period. The previous reporting period might have been under a different cooperative agreement. Your new clients are usually a subset of your active clients. For example, if your report for the previous period indicated that you had 100 active clients and this report indicates that you have 105, then at least 5 of your clients are new.

DOCUMENTATION STANDARDS: You must maintain documentation to substantiate the new clients you report. Documentation standards for new clients are the same as those for active clients.

7. Participated event means a conference, workshop, seminar or other event in which PTAC staff participated to conduct PTAC business. To be reportable, the PTAC's participation in the event must have been recognized by its organizers (the event organizers might be the PTAC itself), for example, the PTAC hosted the event, was allotted time on the agenda or was provided exhibit space. Without other involvement, your sponsorship of an event, attendance at an event or referral of clients to an event does not constitute reportable participation.

Participated events encompass various types of events including, but not limited to, training, matchmaking, outreach and promotional events; however, only events attended by contractors that are clients or prospective clients are reportable. A participated event may be conducted in person or via electronic media; however, PTAC staff must have been present at the event. You must only report live events conducted in real-time as participated events. You may report an event that you co-host if it meets the standards for a participated event. You must not report a single event comprised of multiple breakout sessions as more than one event.

DOCUMENTATION STANDARDS: You must maintain documentation to substantiate the participated events you report, which must include 1) the name of the event, 2) the date of the event, 3) the event's agenda, program or similar document, 4) the location of the event and 5) a brief description of the PTAC's participation in the event.

8. PTAC staff means individuals employed by the recipient or a subrecipient including individuals obtained under contract and third party volunteers acting on behalf of the PTAC. For the purposes of reporting counseling time or participated events conducted by third party volunteers, you may only report the contributions if the time spent either counseling clients or participating in an event, as applicable, represents a contribution that has been approved as a cost sharing contribution pursuant to the terms of your cooperative agreement. PTAC staff members that share time between the PTAC and other programs or that do other work are only considered PTAC staff when working on behalf of the PTAC.
9. Small business concern has the meaning provided in Part 2 of the FAR. Size standards are established on an industry-by-industry basis and the products or services offered by a particular client might be classified in two or more industries with different size standards; however, for the purpose of performance reporting you must designate clients only once as either a small business or not a small business. A client may qualify as a small business by meeting the size standard for any of its products or services. You must use this single designation in all areas of the performance report calling for information that pertains to clients that are small business concerns. For the purpose of the performance report, you may rely on an adequately informed client's representation that it meets the size standard, which is not meant to represent your small business status advisory opinion.

E. CLIENT SATISFACTION SURVEY

You must have a process in place to survey your clients and prospective clients' satisfaction with your PTAC. Your process must be ongoing so that it allows you to receive surveys continually and to report up-to-date figures in each of your performance reports (i.e., interim and final).

Your survey must include the questions below and solicit feedback from respondents using the scale (5) Strongly agree; (4) Agree; (3) Neither agree nor disagree; (2) Disagree; (1) Strongly disagree. Survey respondents must also be provided the opportunity to opt out of answering a particular question by responding that the question is not applicable (N/A).

You must calculate and report the average rating provided by survey respondents. In calculating the average, only count respondents that answered the particular question, which may be less than total survey respondents. Do not count respondents that answer "N/A" when you make this calculation. You must count a particular survey respondent's feedback more than once if the respondent returned more than one survey and you must count all surveys returned regardless of the whether the respondent is an active client or not. Report survey results as promptly as you can.

Mandatory survey questions follow -

Question #1 -

_____ (name of the PTAC) _____ effectively assisted my business in pursuing contracting opportunities with Federal agencies, State and/or local governments or in pursuing subcontracting opportunities under government contracts.

Question #2 -

_____ (name of the PTAC) _____ staff is knowledgeable with regard to the terms, conditions, procedures, rules and regulations relating to contracts with Federal agencies, State and/or local governments.

Question #3 -

_____ (name of the PTAC) _____ offered relevant, current and effective training on topics pertinent to contracts with Federal agencies, State and/or local governments.

DOCUMENTATION STANDARDS: You must maintain documentation to substantiate the survey results you report, which must include copies of all returned surveys.

F. GOALS

Performance goals coincide with the cooperative agreement's period of performance. Goals are established for –

1. Number of new clients;
2. Amount of counseling time; and
3. Number of participated events.

You must report cumulative progress towards your goals with each of your reports (i.e., interim and final). This means that each of your reports must include a collective total number for new clients, counseling time and participated events since the beginning of the cooperative agreement.

G. INSTRUCTIONS

Detailed report preparation instructions follow -

BLOCK	REPORTING ITEM	INSTRUCTIONS
1	Cooperative Agreement Number	self explanatory
2	Recipient's name and address	self explanatory
3	Unique Entity Identifier	Enter the recipient's Data Universal Number System (DUNS) number.
4	Report Type	Enter "Interim" or "Final".
5	Period of Performance	Enter the start and end dates of the period of performance specified in the cooperative agreement.
6	Reporting Period End Date	Enter the ending date of the reporting period. For all PTACs, interim reports are due for the following reporting period end dates: March 31, June 30, September 30, and December 31. The exception is if your cooperative agreement ends on one of these dates, in which case you must submit your final report, as opposed to an interim report. In any case, you must also submit a final report for the reporting period that ends on the cooperative agreement's end date.
7	New clients - cumulative	Enter your number of new clients since the start of this cooperative agreement, as of the date in block 6.
7.a.	Number of small business concerns in block 7	Of the total in block 7., enter the number of clients that are small business concerns.
7.b.	Number of distressed area concerns in block 7	Of the total in block 7., enter the number of clients that are distressed area concerns. Leave this block blank if the cooperative agreement does not specify distressed areas.
7.c.	Number of covered small businesses in block 7	Of the total in block 7., enter the number of clients that are covered small businesses.
8	Number of active clients	Enter your number of active clients as of the date in block 6.
8.a.	Number of small business concerns in block 8	Of the total in block 8., enter the number of clients that are small business concerns.
8.b.	Number of distressed area concerns in block 8	Of the total in block 8., enter the number of clients that are distressed area concerns. Leave this block blank if the cooperative agreement does not specify distressed areas.
8.c.	Number of covered small businesses in block 8	Of the total in block 8., enter the number of clients that are covered small businesses.
9	Counseling time - cumulative	Enter the total amount of counseling time you have recorded since the start of this cooperative agreement, as of the date in block 6. Sum the actual number of qualifying minutes and hours and report the total rounded to the nearest whole hour.
9.a.	Counseling time with small business concerns in block 9	Of the total in block 9., enter the amount of counseling time recorded with clients that are small business concerns. Round the reported amount to the nearest whole hour.
9.b.	Counseling time with distressed area concerns in block 9	Of the total in block 9., enter the amount of counseling time recorded with clients that are distressed area concerns. Round the reported amount to the nearest whole hour. Leave this block blank if the cooperative agreement does not specify distressed areas.
9.c.	Counseling time with covered small businesses in block 9	Of the total in block 9., enter the amount of counseling time recorded with clients that are covered small businesses. Round the reported amount to the nearest whole hour.
10	Participated events - cumulative	Enter the total number of participated events you conducted since the start of this cooperative agreement, as of the date in block 6.
11	Discussion (use a continuation sheet if necessary)	self explanatory
12	Discussion (use a continuation sheet if necessary)	self explanatory
13	Discussion (use a continuation sheet if necessary)	self explanatory

BLOCK	REPORTING ITEM	INSTRUCTIONS
14	Contract Awards by Federal Agencies - cumulative	
14.a.	Number of prime contract awards received by active clients that were awarded by Federal agencies	Enter the number of prime contract awards by Federal agencies that were received by active clients since the start of this cooperative agreement, as of the date in block 6.
14.b.	Dollar value of awards in block 14.a.	Enter the dollar value of the awards in block 14.a.
14.c.	Number of awards received by small business concerns in block 14.a.	Of the total in block 14.a., enter the number of awards received by active clients that are small business concerns.
14.d.	Dollar value of awards in block 14.c.	Enter the dollar value of the awards in block 14.c.
14.e.	Number of awards received by covered small businesses in block 14.a.	Of the total in block 14.a., enter the number of awards received by active clients that are covered small businesses.
14.f.	Dollar value of awards in block 14.e.	Enter the dollar value of the awards in block 14.e.
15	Contract awards by State and local governments - cumulative	
15.a.	Number of prime contract awards received by active clients that were awarded by State and local governments	Enter the number of prime contract awards by State and local governments that were received by active clients since the start of this cooperative agreement, as of the date in block 6.
15.b.	Dollar value of awards in block 15.a.	Enter the dollar value of the awards in block 15.a.
15.c.	Number of awards received by small business concerns in block 15.a.	Of the total in block 15.a., enter the number of awards received by active clients that are small business concerns.
15.d.	Dollar value of awards in block 15.c.	Enter the dollar value of the awards in block 15.c.
16	Subcontract awards - cumulative	
16.a.	Number of subcontract awards received by active clients	Enter the number of subcontract awards resulting from prime contracts with Federal agencies, State and local governments received by active clients since the start of this cooperative agreement, as of the date in block 6.
16.b.	Dollar value of awards in block 16.a.	Enter the dollar value of the awards in block 16.a.
16.c.	Number of awards received by small business concerns in block 16.a.	Of the total in block 16.a., enter the number of awards received by active clients that are small business concerns.
16.d.	Dollar value of awards in block 16.c.	Enter the dollar value of the awards in block 16.c.
	Blocks 17, 18, 19 and 20 are cumulative - report surveys returned since the start of this cooperative agreement, as of the date in block 6.	
17	Number of survey respondents	Enter the total number of surveys counted in making the calculations for blocks 18, 19 and 20. Although a single returned survey might be used to make more than one of the calculations, do not count a survey more than once in showing this total.
18	Results: survey question #1	Enter the average rating provided for the first mandatory question, rounded to two decimal places (i.e., N.NN). Only count respondents that answered the question.
19	Results: survey question #2	Enter the average rating provided for the second mandatory question, rounded to two decimal places (i.e., N.NN). Only count respondents that answered the question.
20	Results: survey question #3	Enter the average rating provided for the third mandatory question, rounded to two decimal places (i.e., N.NN). Only count respondents that answered the question.
21	Certification	self explanatory