

**Justification for 9000-0011**  
**Preaward Survey Forms (Standard Forms 1403, 1404, 1405, 1406,**  
**1407, and 1408)**

**A. Justification.**

1. **Administrative requirements.** To protect the Government's interest and to ensure timely delivery of items of the requisite quality, contracting officers, prior to award, must make an affirmative determination that the prospective contractor is responsible, *i.e.*, capable of performing the contract. Before making such a determination, the contracting officer must have in his possession or must obtain information sufficient to satisfy himself that the prospective contractor (i) has adequate financial resources, or the ability to obtain such resources, (ii) is able to comply with required delivery schedule, (iii) has a satisfactory record of performance, (iv) has a satisfactory record of integrity, and (v) is otherwise qualified and eligible to receive an award under appropriate laws and regulations. If such information is not in the contracting officer's possession, it is obtained through a preaward survey conducted by the contract administration office responsible for the plant and/or the geographic area in which the plant is located. The necessary data is collected by contract administration personnel from available data or through plant visits, phone calls, and correspondence and entered on Standard Forms 1403, 1404, 1405, 1406, 1407, and 1408 in detail commensurate with the dollar value and complexity of the procurement.

2. **Uses of information.** The information is used by Federal contracting officers to determine whether a prospective contractor is responsible.

3. **Consideration of information technology.** We use improved information technology to the maximum extent practicable. Where both the Government agency and contractors are capable of electronic interchange, the contractors may submit this information collection requirement electronically.

4. **Efforts to identify duplication.** This requirement is being issued under the Federal Acquisition Regulation (FAR) which has been developed to standardize Federal procurement practices and eliminate unnecessary duplication. Similar information is not already available to the contracting officer or buyer.

5. **If the collection of information impacts small businesses or other entities, describe methods used to minimize burden.** The burden applied to small businesses is the minimum consistent with applicable laws, Executive orders, regulations, and prudent

business practices. FAR Subpart 9.1 provides a number of potential sources of information to use in determining the responsibility of a prospective Government contractor. Specifically, FAR 9.105-1 lists sources other than preaward surveys as preferred sources of contractor responsibility data. When a preaward survey must be conducted, it is generally performed by a contract administration activity, which has most or all of the required information about a particular firm available without having to initiate a request directly to the firm being surveyed. These rules apply equally to large and small businesses, but every effort is made to minimize the information collection directly from a small business for the purpose of completing a preaward survey.

**6. Describe consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently.** The information is collected only upon occasion of a preaward survey.

**7. Special circumstances for collection.** The collection is fully consistent with guidelines in 5 CFR 1320.6.

**8. Efforts to consult with persons outside the agency.** Under the procedures established for development of the FAR, agency and public comments were solicited via the notice published in the *Federal Register* at 71 FR 38867, July 10, 2006. No comments were received regarding this collection.

**9. Explanation of any decision to provide any payment or gift to respondents, other than reenumeration of contractors or guarantees.** Not applicable.

**10. Describe assurance of confidentiality provided to respondents.** This information is disclosed only to the extent consistent with prudent business practices and current regulations.

**11. Additional justification for questions of a sensitive nature.** No sensitive questions are involved.

**12. Estimated total annual public hour burden.** Time required to read and prepare information is estimated at 24 hours per response.

Annual Reporting Burden

Estimated respondents/yr.....		10,956
Responses annually.....	x	<u>      .5</u>
Total annual responses.....		5,478
Estimated hrs/response.....	x	<u>      20.8</u>

Estimated total burden/hrs..... 113,942

A new survey was not conducted because both the content of the collection as well as the number of respondents reflect current usage. Therefore, the annual reporting burden used in the 2003 information collection was again used.

**13. Estimated total annual public cost burden.**

Annual Cost to the Public

Total response and recordkeeping burden hours.....	113,942
Average wages + overhead (\$24/hr + 75% OH).....	x <u>42</u>
Total cost to the public.....	\$4,785,580

**14. Estimated cost to the Government.** Time required for Governmentwide review is estimated at 48 hours per response.

Annual Reviewing Burden and Cost

Responses/yr.....	5,478
Reviewing time/responses.....	x <u>48</u>
Review time/yr.....	262,944
Average wages + overhead (\$20/hr + 100% OH).....	x <u>40</u>
Total Government cost.....	\$10,517,760

**15. Explain reasons for program changes or adjustments reported in Item 13 or 14.** This submission requests an extension of OMB approval of an information collection requirement in the FAR. The information collection requirement in the FAR remains unchanged.

**16. Outline plans for published results of information collections.** Results will not be tabulated or published.

**17. Approval not to display expiration date.** Not applicable.

**18. Explanation of exception to certification statement.** Not applicable.

**B. Collection of Information Employing Statistical Methods.**

Statistical methods are not used in this information collection.