

**NATIONAL SECURITY ASSESSMENT:
Defense Supply Chain Network - C4ISR**



SCOPE OF ASSESSMENT

The U.S Department of Commerce, Bureau of Industry and Security (BIS), Office of Technology Evaluation, in coordination with the U.S. Department of Defense (DoD), Office of Manufacturing and Industrial Base Policy, is conducting an industrial base survey of DoD's supply chain. This survey is part of DoD's sector-by-sector, tier-by-tier (S2T2) project. The results will provide DoD with a comprehensive assessment of the defense supply chain for use in the budget process; will inform decision-making on industrial base sustainment, manufacturing technology, and other industrial base investment priorities; and will support other industrial base assessment and market research efforts. The sample for the current survey emphasizes but is not limited to facilities that contribute products and services to the Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) supply chain. Many facilities in the survey sample do not directly supply the federal government.

RESPONSE TO THIS SURVEY IS REQUIRED BY LAW

A response to this survey is required by law (50 U.S.C. app. Sec. 2155) and is due within 30 calendar days of receipt. Failure to respond can result in a maximum fine of \$10,000, imprisonment of up to one year, or both. Information furnished herewith is deemed confidential and will **not** be published or disclosed except in accordance with Section 705 of the Defense Production Act of 1950, as amended (50 U.S.C App. Sec. 2155). Section 705 prohibits the publication or disclosure of this information unless the President determines that its withholding is contrary to the national defense. **Information will not be shared with any non-government entity, other than in aggregate form.** The information will be protected pursuant to the appropriate exemptions from disclosure under the Freedom of Information Act (FOIA), should it be the subject of a FOIA request.

Notwithstanding any other provision of law, no person is required to respond to nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number.

BURDEN ESTIMATE AND REQUEST FOR COMMENT

Public reporting burden for this collection of information is estimated to average 14 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 to BIS Information Collection Officer, Room 6883, Bureau of Industry and Security, U.S. Department of Commerce, Washington, D.C. 20230, and to the Office of Management and Budget, Paperwork Reduction Project (OMB Control No. 0694-0119), Washington, D.C. 20503.

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Section I GENERAL INSTRUCTIONS				
A.	Your facility is required to complete this survey using an Excel template, which can be downloaded from the U.S. Department of Commerce, Bureau of Industry and Security (BIS) website www.bis.doc.gov/C4ISRsurvey . At your request, survey support staff will e-mail the Excel survey template directly to your company. For your convenience, a PDF version of the survey is available on the BIS website to aid internal data collection. DO NOT submit the PDF version of your company's response to BIS.			
B.	<p>Respond to every question. Surveys that are not fully completed will be returned for completion. Use comment boxes to provide any information to supplement responses provided in the survey form. Make sure to record a complete answer in the cell provided, even if the cell does not appear to expand to fit all the information.</p> <p>DO NOT COPY AND PASTE RESPONSES WITHIN THIS SURVEY. The use of copy and paste can disrupt the data collection process. If your survey response is corrupted as a result of copy and paste responses, a new survey will be sent to you for immediate completion.</p> <p>Survey inputs should be made manually by typing in responses or by use of the drop-down menus provided in the survey template. To reduce the burden of answering the survey, for many questions you are only required to select from a set of drop-down answers.</p>			
C.	If information is not available from your facility/plant's records in the form requested, you may furnish informed estimates. For 2012 data, please estimate full year data. This survey seeks general accuracy rather than responses precise to many decimal places. Please take advantage of the acceptability of informed estimates to minimize the burden of filling out the survey -- within the constraint of providing an accurate picture of your facility's participation in the Department of Defense supply chain.			
D.	<p>For specific questions or assistance with the Excel survey, e-mail: C4ISRSurvey@bis.doc.gov E-mail is the preferred method of contact and will allow for a detailed U.S. Government e-mail response for your company records. You will be assigned a designated survey support specialist. Once assigned a designated survey support specialist, you may contact him/her directly at the numbers provided below. For general inquiries regarding the survey, you may also contact 571-372-6279.</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;"> Gianna M Figueiredo-Maddox: 571-372-6272 Nathaniel G Ohs: 571-372-6271 Tamika A Carey: 571-372-5006 Sandra D. Dennis- 571-372-6278 </td> <td style="width: 50%; border: none;"> Evin Thomas: 571-372-6275 Edward J. Ruiz: 571-372-6274 Timothy L. Walton: 571-372-6277 </td> </tr> </table>		Gianna M Figueiredo-Maddox: 571-372-6272 Nathaniel G Ohs: 571-372-6271 Tamika A Carey: 571-372-5006 Sandra D. Dennis- 571-372-6278	Evin Thomas: 571-372-6275 Edward J. Ruiz: 571-372-6274 Timothy L. Walton: 571-372-6277
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E.	Facility/Plant level data is required.			
F.	Upon completion, review and certification of the Excel survey, transmit the survey via e-mail attachment to C4ISRSurvey@bis.doc.gov .			
G.	<p>For questions related to the overall scope of this Defense Supply Chain Network assessment, contact:</p> <p>Brad Botwin, Director, Industrial Studies Office of Technology Evaluation, Room 1093 U.S. Department of Commerce 1401 Constitution Avenue, NW Washington, DC 20230</p> <p>DO NOT submit completed surveys to Brad Botwin's postal address; all surveys must be submitted electronically to C4ISRSurvey@bis.doc.gov.</p>			
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Section II DEFINITIONS		
Term	Definition	
Authorizing Official	Executive officer of the company or other individual who has the authority to execute this survey on behalf of the firm.	
Backlog	Unfinished work or work for which you already have a contract in your facility's order book.	
Build-to-Print	Item that is created or fabricated to a customer's design or detailed specification. Often implies application of mature technology by the supplier with most, if not all, of the architecture, engineering, and integration work done by the customer. Not usually applied to services.	
C4ISR	Command, Control, Communications, Computer, Intelligence, Surveillance, and Reconnaissance systems.	
Commercial and Government Entity (CAGE) Code	Commercial and Government Entity (CAGE) Code identifies companies doing or wishing to do business with the U.S. Federal Government. The code is used to support mechanized government systems and provides a standardized method of identifying a given facility at a specific location. Find CAGE codes at http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx	
Critical Skills	Specific workforce attributes and training that enable a facility to produce its core product or offer its core service.	
Customer	An entity to which a facility directly delivers the product or service that the facility produces. A customer may be another company or another facility owned by the same parent company. The customer may be the end user for the item but often will be an intermediate link in the supply chain, adding additional value before transferring the item to yet another customer.	
Custom Developed	Item or service tailored to meet customer-specific requirements. A sales transaction for a custom-developed item often includes development work and integration of subcomponents by the supplier. When applied to services, often implies development or implementation of processes unique to the customer.	
Data Universal Numbering System (DUNS)	A nine-digit numbering system that uniquely identifies an individual businesses. Find DUNS numbers at http://fedgov.dnb.com/webform .	
Facility/Plant	A company's capability to provide a set of related products and/or services. A facility often combines physical, cyber, and financial infrastructure; intellectual property; and human capital. Various parts of a facility need not be geographically co-located - for example, a single facility may combine manufacturing operations (a factory) with a geographically separated office building that contains support operations like HR and finance. Often, a facility is a grouping of related locations at which company employees work, together constituting a profit-and-loss center for the company, and it may be identified by a unique DUNS number.	
Full Time Equivalent (FTE) Employees	Employees who work for 40 hours in a normal work week. Convert part-time employees into "full-time equivalents" by taking their work hours as a fraction of 40 hours.	
IR&D	As used in this survey, Independent Research and Development (IR&D) refers specifically to research and development expenditure for which companies are reimbursed by the government as an indirect cost on government acquisition contracts.	
Minimum Economic Sustaining Rate	The minimum level of capacity utilization necessary to keep your production costs from changing disproportionately to order volume.	
North American Industry Classification System (NAICS) Code	North American Industry Classification System (NAICS) codes identify the category of product(s) or service(s) provided by your company. Find NAICS codes at http://www.census.gov/epcd/www/naics.html	
Off-the-Shelf	Non-developmental product that is sold in significant quantities with little or no modification. Generally produced according to a design previously developed by the supplier rather than a design developed specifically for a particular sales transaction. When applied to services it implies specifications or statements of work that are standardized or reused for several customers.	
Private Equity:	Investment in a facility in exchange for equity securities that are not publicly traded on a stock exchange. Often supplied by a venture capitalist or angel investor.	
Product or Service Code (PSC)	Product or Service Code used to report government procurement transactions. Even facilities that do not directly deliver products or services to the government should use the list of codes to choose which one(s) best apply to describe their business. DoD will use PSC's to sort data provided in response to this survey, including for market research purposes. To find a PSC, visit https://www.acquisition.gov/PSC%20Manual%20-%20Final%20-%202011%20August%202011.pdf	
Rare Earth Element	Rare Earth Element is a category that includes numbers 57-71 of the periodic table (lanthanum, cerium, praseodymium, neodymium, promethium, samarium, europium, gadolinium, terbium, dysprosium, holmium, erbium, thulium, and ytterbium) as well as yttrium (39) and scandium (21).	
Retained Earnings	The portion of net income that is retained by the corporation rather than distributed to shareholders; the share of past profits that a company reinvests in its future business.	
Service	An intangible product (contrasted to a good, which is a tangible product). Services typically cannot be stored or transported, are instantly perishable, and come into existence at the time they are bought and consumed.	
Single Source	A company or facility that is designated as the only accepted source for the supply of parts, components, materials, or services, even though other sources with equivalent technical know-how and production capability may exist.	
Sole Source	A company or facility that is the only source for the supply of parts, components, materials, or services. No alternative domestic or foreign suppliers exist other than the current supplier.	
Supplier	An entity from which your facility obtains inputs. A supplier may be another firm with which you have a business relationship, a provider of inputs without charge, or another facility owned by the same parent company. The inputs may be goods or services.	
United States	The "United States" or "U.S." includes the 50 states, Puerto Rico, the District of Columbia, the island of Guam, the Trust Territories, and the U.S. Virgin Islands.	
Utilization Rate	The fraction of a facility's potential output that is actually being used in current production, where potential output is based on a 7 day-a-week, 3x8-hour shift production schedule.	
Vertical Integration	The process in which several steps in the production and/or distribution of a product or service are controlled by a single company or entity, in order to increase that company's or entity's power in the marketplace. A car company that expands into tire manufacturing would be an example of vertical integration. A company such as this is often referred to as vertically integrated.	

Section III WHO MUST RESPOND TO THIS SURVEY

Please select "Yes" or "No" from the drop-down options to the statement below.

- My facility has manufactured products and/or provided services, **directly or indirectly**, for U.S. Department of Defense programs since January 2007.
- A. If your facility is a sub-tier supplier to the U.S. Department of Defense of any sort of product or service, including providing products or services through the general commercial marketplace that are incorporated into defense systems by another company downstream in the supply chain, you are required to complete the survey and should answer "Yes" in the box to the right and proceed to **Section 1.a**.

EXEMPTION FROM SURVEY

If you selected "No" to question A, your facility may be exempt from completing this U.S. Department of Commerce survey. Complete Questions B, C and D below and **Section 1.a** of this survey and e-mail this Excel survey to C4ISRSurvey@bis.doc.gov. The Government will verify your status.

B. Briefly describe the products and/or services provided by your facility:

C. Before 2007, did your facility do any work, directly or indirectly, for the U.S. Department of Defense? If "Yes," explain the work you did and the situation that led to your ceasing that work before January 2007.

NOTE

D. Has your facility submitted a survey to the U.S. Department of Commerce as part of the 2011 Department of Defense's Sector-by-Sector, Tier-by-Tier (S2T2) assessment of the industrial base?

If "Yes," indicate in the box to the right. Your organization does not need to provide the same responses again. In this case, use the cell below to provide the name, email address, and telephone number of the person who submitted the previous survey, fill in **only Section 1.a** of this survey to identify your facility, and submit this survey via email to C4ISRSurvey@bis.doc.gov.

Section 1.a**COMPANY/FACILITY INFORMATION**

A.	Corporate/Company Name			
	Business Unit/Division Name (if applicable)			
	Facility/Plant Name (if applicable)			
	Respondent Street Address			
	Respondent City			
	Respondent State / Province			
	Respondent Zip Code			
	Respondent Website			
Respondent Phone Number				
B.	Point(s) of Contact regarding this survey:			
	Name	Title	Phone Number	E-mail Address
C.	My company is headquartered in:	City	State	Country
	Parent Company Name, if applicable	City	State	Country
	My company is Publicly traded/Private held:			
	My parent company is Publicly traded/Private held:			
Comments				

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Section 1.b COMPANY INFORMATION (cont.)

Please provide the following identification codes (*see definitions*) for your facility/plant. Each category **must** contain at least one code. PSCs are used to report the types of product or service that companies provide to the U.S. government; even if you do not currently directly sell to the U.S. government, please find the code that best describes the products or services that you sell.

- *Find your facility/plant's Data Universal Numbering System (DUNS) number(s) at <http://fedgov.dnb.com/webform>
- **Find your facility/plant's Commercial and Government Entity (CAGE) Codes at http://www.logisticsinformationservice.dla.mil/BINCS/begin_search.aspx
- ***Find your facility/plant's North American Industry Classification System (NAICS) codes at <http://www.census.gov/epcd/www/naics.html>
- ****Find your facility/plant's Product and Service (PSC) Codes at <https://www.acquisition.gov/PSC%20Manual%20-%20Final%20-%202011%20August%202011.pdf>

A.

Data Universal Numbering System (DUNS) Number(s)*		Commercial and Government Entity (CAGE) Code(s)**		NAICS (6-digit) Code(s)***	Product & Service Code(s) (PSC)****

Select your facility/plant's primary business lines from the drop-down menu below. Provide a short description of the specific work that your facility does in the cell next to each selected category.

B.

	Business Line	Description of Business Line
1.		
2.		
3.		

Identify the main issues and challenges affecting the long-term viability of your facility/plant's product line(s) or service(s). Select a response for each issue/challenge.

C.

Buy America Waivers		Labor Costs	
Difficulty Obtaining Key Inputs (Materials, Services, etc.)		Proximity to Customer	
Domestic Competition		Proximity to Supplier	
Environmental Regulations/Remediation		Qualifications/Certifications	
Export Controls		R&D Costs	
Foreign Competition		Skills Retention	
Foreign Subsidies/Import Restrictions		Taxes	
Government Budget Volatility		Variability of Demand	
Government Regulatory Burden		Other (specify)	
Healthcare		Other (specify)	

Describe the actions your company has taken/will take in the next five years to increase your facility/plant's competitiveness.

D.

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Identify what policy changes or regulatory reforms you recommend the U.S. Government implement to enhance your competitiveness.

E.

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Comments	
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Section 1.c**COMPANY/FACILITY INFORMATION (cont.)**

		Type of Business	Yes/No
A.	Indicate if your organization qualifies as any of the following types of business.	A small business enterprise (as defined by the Small Business Administration)	
		8(a) Firm (as defined by the Small Business Administration)	
		A historically underutilized business zone (HUBZone)	
		A minority-owned business	
		A woman-owned business	
		A veteran-owned or service-disabled veteran-owned business	
		Prime contractor	
		Part of a multi-facility company	
B.	Select from the drop-down menu which description best represents your facility's relationship to your whole company. ** If your facility is part of a business unit/division, list the locations (city, state) of the other facilities that are part of that same business unit/division below.		
Comments			

Section 2.a

PRODUCT & SERVICE LINES

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

Identify the **principal** products and/or services that your facility **CURRENTLY** manufactures/performs. Then, using the drop-downs, indicate whether the customer for this product/service is defense, non-defense government, and/or commercial. Estimate the duration of backlog/order book at current production rates. Finally, identify your primary competitor's name and location for each principal product/service identified. For Primary Competitor Name, a response of "various" or N/A is NOT acceptable. For products with more than one major competitor, either select the most significant one or list several competitors on separate rows.

	Principal Product/Service	Defense	Non-Defense Government	Commercial	Duration of Backlog/Order Book	Primary Competitor Name	City	State	Country
A. 1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									
18.									
19.									
20.									
21.									
22.									
23.									
24.									
25.									

B. Does any part of your production process for defense customers have a significant degree of integration with your non-defense government and/or commercial business? Explain below.

Comments:

Section 2.b PRODUCT & SERVICE LINES							
List the new products/services that your facility/plant intends to offer in the NEXT FIVE YEARS and indicate whether the primary target customer will be defense, non-defense government, and/or commercial customers.							
A.		Product/Service	Defense	Non-Defense Government	Commercial		
	1.						
	2.						
	3.						
	4.						
	5.						
List the products/services that your facility/plant has ceased to provide over the PAST FIVE YEARS . Indicate whether the customer was defense, non-defense government, and/or commercial, and the primary reason for ceasing production. Then, indicate whether your facility/plant is able to readily reconstitute this capability.							
B.		Product/Service	Defense	Non-Defense Government	Commercial	Reason for Cease in Production	Ability to Readily Reconstitute?
	1.						
	2.						
	3.						
	4.						
	5.						
Comments:							
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Section 3 SALES INFORMATION

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

Provide your facility's U.S. and Non-U.S. annual sales information for 2009-2011, with an estimate for 2012. Then, indicate whether you forecast your 2013-2017 sales to increase, decrease, or remain the same, using the drop-down menu provided. If your company does not track sales data at the facility level, provide reasoned, informed estimates. The survey is meant to solicit accurate information about your business rather than precise, auditable data. All data supplied in this survey is protected from disclosure, and even privately held companies must answer.

DO NOT COPY & PASTE YOUR INPUTS

Note: Calendar year data is preferred.

Note: In each column, the entries for rows B. through D must total 100%

Note: For the purpose of this survey, Foreign Military Sales (FMS) should be considered as U.S. Government Sales and/or U.S. Government Space-Related Sales.

Reporting Schedule:		2009		2010		2011		2012		2013-2017	
		U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.	U.S.	Non-U.S.
A.	Total Sales, all Customers <i>[record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12]</i>										
B.	Total Defense Sales <i>[as a % of part A]</i>										
C.	Total Non-Defense Government Sales <i>[as a % of part A]</i>										
D.	Total Commercial & All Other Sales <i>[as a % of part A]</i>										

If data is not available, provide estimates.
 **"U.S." means U.S. domestic sales; "Non-U.S." means export sales.

Comments:	
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Section 4**OPERATIONS**

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

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A.	Estimate your facility's capacity-utilization rate (<i>see definitions</i>) for each year from 2009-2012. Remember that this utilization rate is compared to maximum capacity if your plant were operated 24-hours, 7-days-a-week.	2009	
		2010	
		2011	
		2012	
		If you primarily provide services, mark this box "not applicable"	

For your facility, estimate the percent change in unit cost for the following changes in order volume and provide a brief explanation for the change in the adjacent text box. For example, in many manufacturing plants, unit costs vary as fixed costs are spread across different levels of production.

Note: If your company only provides services, please indicate "Not Applicable" in the box to the right.

	Customer Order Change %	Cost Change %	Explain
B.	decrease 75%		
	decrease 50%		
	decrease 25%		
	decrease 10%		
	increase 10%		
	increase 25%		
	increase 50%		
	increase 75%		
	increase 100%		

C. Estimate your facility's minimum economic sustaining rate, defined as the minimum level of capacity utilization necessary to keep production costs from changing disproportionately to order volume. Explain below.

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D. Does your facility use Rare Earth Elements (*see definitions*) or products that contain Rare Earth Elements in its production process or as a component of final products? If "Yes", identify the rare earth elements below.

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Comments:	
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Section 5

PROGRAM PARTICIPATION

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

Identify the **principal** Department of Defense programs (including Air Force, Army, Navy, Marine Corps, Intelligence Community, Defense Logistics Agency, and/or other defense agency programs) your facility has served, directly or indirectly, in any production or service capacity **since January 2009**. For each program/system name and product/service specified, identify whether your facility is **currently** supporting that system.

Note: If you do not know the defense programs your facility has served, indicate in the box to the right and proceed to Section 6.

[For an SAMPLE list of program/system names, click HERE](#)

	Defense Program/System Name <i>(short name)</i>	Principal Product/Service Supplied	Currently Supporting?
A. 1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			
14.			
15.			
16.			
17.			
18.			
19.			
20.			
21.			
22.			
23.			
24.			
25.			

B. Overall, how many defense programs does your facility **currently** work on?

Comments:

Section 6

CUSTOMERS

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

Estimate the percent of your company's products or services that are sold off-the-shelf, build-to-print, and/or custom-developed based on current (2011-present) net sales.

Note: "If "Not Applicable", indicate in the box to the right, and proceed to Question C.
 Note: Percentages should total 100%

A.	Type of Sale	% of Current Sales	Explanation
	Off-the-Shelf		
	Build-to-Print		
	Custom-developed		

B. Do you provide more customization for defense customers or non-defense customers?

Since 2008, who are your most important direct customers (including other facilities within your same company)? Provide the customer name, designate the primary focus of the business relationship and the reason for its importance. Then, select the approximate range of aggregate revenue from 2009-2012 for each customer. Finally, identify whether you compete with this customer at any level of your operations.

NOTE: Indicate the specific location to which you deliver your product/service, not your customer's headquarter site.
NOTE: This section must include responses for ALL columns.

	Customer Name	City	State	Primary Focus	Reason For Importance	2009-2012 Revenue	Competitor?
C. 1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
11.							
12.							
13.							
14.							
15.							

Comments:

Section 7.a

SUBCONTRACTOR AND SUPPLIER RELATIONSHIPS

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

- A. Estimate the percent of your facility's revenue that you use to buy inputs such as components and raw materials from external providers (including other facilities owned by your same company).
- B. Do you provide suppliers with incentive payments for on-time delivery or other quality characteristics?

U.S. Suppliers

Identify your facility/plant's most important **U.S. suppliers/subcontractors** that are essential to your ability to make the products used in the DoD systems. For each supplier name, indicate what product/service is supplied, the location of the supplier, and the reason that supplier is important. Finally, identify whether that supplier/subcontractor is a competitor at any level of your operations. Note that software providers can be important and should be included on this list, even if the software is a design or production tool that is not directly incorporated into the final product that you deliver to your customers. Important inputs may be commercial-off-the-shelf, government-off-the-shelf, build-to-print, custom designed, or some other arrangement. If you sell all of your products into general commercial markets (not separating out specific, identified products for the defense supply chain), then list the most important suppliers/subcontractors for your facility as a whole.

Note: Include other facilities owned by your company. Also, indicate the specific location from you receive inputs, not the supplier's corporate headquarter's location.

	U.S. Supplier/Subcontractor Name	Product/Service	Street Address (if known)	City	State	Reason for Importance	Competitor?
C. 1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
11.							
12.							
13.							
14.							
15.							
16.							
17.							
18.							
19.							
20.							

Non-U.S. Suppliers

Identify your facility/plant's most important **Non-U.S. suppliers/subcontractors** that are essential to your ability to make the products used in the DoD systems. For each supplier name, indicate what product/service is supplied, the location of the supplier, and the reason that supplier is important. Finally, identify whether that supplier/subcontractor is a competitor at any level of your operations. Note that software providers can be important and should be included on this list, even if the software is a design or production tool that is not directly incorporated into the final product that you deliver to your customers. Important inputs may be commercial-off-the-shelf, government-off-the-shelf, build-to-print, custom designed, or some other arrangement. If you sell all of your products into general commercial markets (not separating out specific, identified products for the defense supply chain), then list the most important suppliers/subcontractors for your facility as a whole.

Note: Include other facilities owned by your company. Also, indicate the specific location from you receive inputs, not the supplier's corporate headquarter's location.

	Non-U.S. Supplier/Subcontractor Name	Product/Service	City	Province (if applicable)	Country	Reason for Importance	Competitor?
D. 1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							

Comments:

Section 7.b

SUBCONTRACTOR AND SUPPLIER RELATIONSHIPS (cont.)

For each **U.S. supplier** and product/service listed in Section 7.a, indicate whether a price fluctuation, a delay of the product/service or both would substantially disrupt your facility's operations. Indicate whether the supplier is single or sole source (*see definitions*). Then, for each product/service, indicate whether your facility maintains an inventory reserve, and if the product/service were no longer available, whether your facility would be able to readily produce the product/service in-house.

		U.S. Supplier Name	Product/Service	Disruption in Operations	Single or Sole Source?	Maintain Inventory Reserve?	Produce In-House?
A.	1.	0	0				
	2.	0	0				
	3.	0	0				
	4.	0	0				
	5.	0	0				
	6.	0	0				
	7.	0	0				
	8.	0	0				
	9.	0	0				
	10.	0	0				
	11.	0	0				
	12.	0	0				
	13.	0	0				
	14.	0	0				
	15.	0	0				
	16.	0	0				
	17.	0	0				
	18.	0	0				
	19.	0	0				
	20.	0	0				

For each **Non-U.S. supplier** and product/service listed in Section 7.a, indicate whether a price fluctuation, a delay of the product/service or both would substantially disrupt your facility/plant's operations. Indicate whether the supplier is single or sole source (*see definitions*). Then, for each product/service, indicate whether your facility/plant maintains an inventory reserve, and if the product/service were no longer available, whether your facility would be able to readily produce the product/service in-house.

		Non-U.S. Supplier Name	Product/Service	Disruption in Operations	Single or Sole Source?	Maintain Inventory Reserve?	Produce In-House?
B.	1.	0	0				
	2.	0	0				
	3.	0	0				
	4.	0	0				
	5.	0	0				
	6.	0	0				
	7.	0	0				
	8.	0	0				
	9.	0	0				
	10.	0	0				

Comments:

Section 7.c**SUBCONTRACTOR AND SUPPLIER RELATIONSHIPS (cont.)**

If your defense orders were to substantially **decrease**, which of your direct suppliers and/or subtier suppliers (companies that supply your subcontractors/suppliers) would be most vulnerable? List the supplier/subtier supplier names and location below.

Note: If you do not know or if no suppliers/subtier suppliers would be affected, indicate in the box to the right, and proceed to Question B.

A.

	Supplier/Subtier Supplier Name	City	State	Country
1.				
2.				
3.				
4.				
5.				

If your defense orders were to substantially **increase**, which of your direct suppliers and/or subtier suppliers (companies that supply your subcontractors/suppliers) would have the greatest difficulty ramping-up production to meet your needs? List the supplier/subtier supplier names and location below.

Note: If you do not know or if no suppliers/subtier suppliers would be affected, indicate in the box to the right, and proceed to Question 8.

B.

	Supplier/Subtier Supplier Name	City	State	Country
1.				
2.				
3.				
4.				
5.				

Comments:

Section 8

DIMINISHING MANUFACTURING SOURCES AND MATERIAL SHORTAGES

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

Do you incorporate parts and/or components into the products/services that you sell into the defense supply chain that are no longer currently in production, are no longer considered "state of the art," and/or are difficult to find? If "Yes," indicate the key parts/components below and the supplier's name and location. Explain your answer.
Note: For foreign supplier locations, only indicate country.

A.	Part/Component	Supplier Company	State	Country	Explain
1.					
2.					
3.					
4.					
5.					

Identify any raw materials that are difficult to obtain for the manufacture of products you sell into the defense supply chain. Indicate the material below and your supplier's name and location. Finally, indicate whether there is an alternate source available for each material and explain why you have difficulty obtaining the material/chemical.
Note: For foreign supplier locations, only indicate country.

B.	Manufacturing Materials	Supplier Company	State	Country	Alternate Source Available?	Explain
1.						
2.						
3.						
4.						
5.						

Comments:

Section 9**VERTICAL INTEGRATION**

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

This section seeks to better understand the role of vertical integration (*see definitions*) in the defense supply chain.

A. Do formal partnerships, joint ventures, or vertical integrations with your immediate customers and/or suppliers provide an important competitive advantage for your facility? Select the appropriate response from the drop-down. If "for other reasons", explain below.

B. In your facility's business, are you concerned about potential biases in your customer/supplier relationships because your customers/suppliers are also competitors in your market niche? If "Yes", identify the corresponding product/service with which you are concerned and the DoD program/system supported, if applicable. Then, identify the name and location of the customer/supplier who also serves as your competitor.

	Product/Service	Defense Program/ System Name (<i>short name</i>)	Name of Customer/Supplier Who Is Competitor	City	State	Country
1.						
2.						
3.						
4.						
5.						

Comments:

Section 10.a

FINANCIAL HEALTH

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

Report select financial measures for your **facility** for 2009-2011 along with an estimate for 2012. If your company does not track this data at the facility level, provide reasoned, informed estimates. The survey is meant to solicit accurate information about your business rather than precise, auditable data. All data supplied in this survey is protected from disclosure, and even privately held companies must answer.

DO NOT COPY & PASTE YOUR INPUTS

Note: Calendar year data is preferred.

Reporting Schedule:

Income Statement (Select Line Items)		Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12			
		2009	2010	2011	2012
A.	Net Sales (and other revenue)				
B.	Cost of Goods Sold				
C.	Research & Development Expense				
D.	Total Operating Expenses				
E.	Total Operating Income (Loss)				
F.	Total Other Income (Expenses)				
G.	Earnings Before Interest and Taxes				
H.	Interest Expense				
I.	Income Tax Expense				
J.	Net Income				

Balance Sheet (Select Line Items)		Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12			
		2009	2010	2011	2012
A.	Inventories				
B.	Retained Earnings				
C.	Total Current Assets				
D.	Total Assets				
E.	Total Current Liabilities				
F.	Total Liabilities				
G.	Total Owner's Equity				

If data is not available, provide estimates.

Comments:

Section 10.b**FINANCIAL HEALTH (cont.)**

Use the space below to qualify with narrative any anomalies, transactions, litigation, or non-recurring one-time events reflected in your financial statement line items, e.g. reporting restatement, merger and acquisition, chapter 11, SEC investigation, etc.

A.	2009	
B.	2010	
C.	2011	
D.	2012	

TRANSACTIONS

Did your company undergo any mergers, acquisitions, and/or joint ventures from calendar years 2009-2012? If "Yes", identify your most significant mergers, acquisitions, and/or joint ventures over the period. Then, record the subject entity's name, transaction type, entity's location, calendar year, and the primary objective of the deal.

Note: Primary objectives can include capabilities acquired or divested in the Joint Venture, when applicable.

E.		Entity Name	Transaction Type	Country	Year	Primary Objective
	1.					
	2.					
	3.					
	4.					
	5.					

Comments:

Section 11 INVESTMENT CAPITAL AND CAPITAL EXPENDITURES

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

--	--

Select the top three capital types/sources your facility uses to support its operations (see definitions). Then, using the drop downs, rate the ease of access for each type/source for the years 2009-2012.

Note: Your response should incorporate sources of working capital and investment capital.

A.	Capital Expenditure Reporting Schedule:				
	Capital Type or Source	Ease of Access			
		2009	2010	2011	2012
	1.				
	2.				
	3.				

Record your facility's capital expenditures corresponding to the selected categories. If your company does not track this information at the facility level, provide reasoned, informed estimates.

DO NOT COPY & PASTE YOUR INPUTS

*Note: Calendar year data is preferred.
Note: Lines b. through f. should total 100%.*

	Capital Expenditure Reporting Schedule:				
	Capital Expenditure Category	2009	2010	2011	2012
B.	a. Total Capital Expenditures <i>[Record in \$ Thousands, e.g. \$12,000.00 = survey input of \$12]</i>				
	b. Machinery, Equipment, and Vehicles <i>[as a percent of a.]</i>				
	c. IT, Computers, Software <i>[as a percent of a.]</i>				
	d. Land, Buildings, and Leasehold Improvements <i>[as a percent of a.]</i>				
	e. Other (specify) <i>[as a percent of a.]</i>				
	f. Other (specify) <i>[as a percent of a.]</i>				
	g. % of Total Capital Expenditures relating to defense business lines <i>[as a percent of a.]</i>				

Comments:	
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Section 12.a RESEARCH & DEVELOPMENT & DESIGN

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

--	--	--

A.	Do you perform any research and development (R&D) activities at this facility?	
----	--	--

B.	Estimate the percentage of R&D performed for your product(s) that is conducted in-house rather than outsourced. Explain below.	In-House Percentage

C.	Do you have a designated design team in-house? If "Yes", how many people are normally involved in your product design process? Explain.	Design Team?	Number in Design Team

Record your facility's total research and development (R&D) dollar expenditures and the percentage of total R&D expenditures relating to DoD, non-defense government, and commercial business lines.

DO NOT COPY & PASTE YOUR INPUTS

Note: Calendar year data is preferred.
Note: Lines b. through d. should total 100%.

R&D Reporting Schedule:					
R&D Expenditures		2009	2010	2011	2012
D.	a. Total R&D Expenditures <i>[Record \$ in Thousands, e.g. \$12,000.00 = survey input of \$12]</i>				
	b. R&D Expenditures relating to DoD business lines <i>[as a percent of a.]</i>				
	c. R&D Expenditures relating to non-defense government business lines <i>[as a percent of a.]</i>				
	d. R&D Expenditures relating to commercial & all other business lines <i>[as a percent of a.]</i>				

Comments:	
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Section 12.b

RESEARCH & DEVELOPMENT (cont.)

Record your facility's total R&D funding dollar amounts. Then, record the total dollar amounts for private R&D funding, R&D funding reimbursed indirectly, and R&D funding paid directly by government. Finally, provide the corresponding percentage breakouts for each category. For 2012, estimate full year data.

DO NOT COPY & PASTE YOUR INPUTS

Note: If your company's annual Total R&D Expenditures (Section 12.a) and Total R&D Funding Sources do not match, explain the discrepancy in the comments section.
Note: Calendar year data is preferred.

R&D Reporting Schedule:					
R&D Funding Sources		2009	2010	2011	2012
a.	Total R&D Funding <i>[Record \$ in Thousands, e.g. \$12,000.00 = survey input of \$12]</i>				
Private:					
b.	Total Private R&D Funding <i>[Record \$ in Thousands]</i>				
c.	Internal/Self-Funded <i>[as a percent of b.]</i>				
d.	Domestic Lender <i>[as a percent of b.]</i>				
e.	Foreign Lender <i>[as a percent of b.]</i>				
f.	Contracts with other Companies <i>[as a percent of b.]</i>				
g.	Domestic Capital Investors, e.g. Venture Capital <i>[as a percent of b.]</i>				
A. h.	Foreign Capital Investors <i>[as a percent of b.]</i>				
Reimbursed Indirectly:					
i.	Total R&D Funding Reimbursed Indirectly <i>[Record \$ in Thousands]</i>				
j.	DoD IR&D Reimbursement <i>[as a percent of i.]</i>				
k.	Other Government IR&D Reimbursement <i>[as a percent of i.]</i>				
Directly, paid by Government:					
l.	Total R&D Funding Directly Paid by Government <i>[Record \$ in Thousands]</i>				
m.	Defense R&D Contracts <i>[as a percent of l.]</i>				
n.	Other Government R&D Contracts <i>[as a percent of l.]</i>				
If data is not available, provide estimates.					
Comments:					

Section 13.a

WORKFORCE

To alleviate potential redundancies in U.S. Defense Department (DoD) surveys, please indicate if your facility has completed a DoD survey(s) in the past 12 months pertaining to questions in this Section. If you have previously provided the information asked in this Section, provide the contact information for the person to whom you submitted the data (name, position, telephone number, and e-mail address) and briefly describe the survey document your facility submitted below. Do not provide redundant information in this survey; instead allow DoD to verify that your previous submission captures the information needed for this section and proceed to the next Section of this survey.

Record the total number of full time equivalent (FTE) (*see definitions*) employees in your facility by occupational type for the 2009-2012 period. Do not double count personnel who may perform cross-operational roles. Estimates are acceptable.

Note: Calendar year data is preferred.

Note: Lines b. through j. should equal a. (Total Full Time Equivalent Employees)

Reporting Schedule:		2009	2010	2011	2012
A.	Professional Occupations				
	a. Total Full Time Equivalent (FTE) Employees				
	b. Administrative, Management, & Legal Staff				
	c. Facility & Maintenance Staff				
	d. IT/Network Engineers				
	e. Marketing & Sales				
	f. Research and Development (R&D) Staff				
	g. Production Line Workers				
	h. Testing Operators, Quality Control, & Support Technicians				
	i. Other (specify)				
	j. Other (specify)				
If data is not available, provide estimates.					
B.	Estimate the percent of your current FTE employees who hold advanced degrees.			Master's Degree	Ph.D.
C.	Estimate the number of scientists and engineers who work in your facility/plant in any capacity.				
	Science & Technical Occupations	2009	2010	2011	2012
	a. Scientists				
b. Engineers					

Comments:

Section 13.b**WORKFORCE (cont.)**

		Difficult to Hire	Difficult to Retain
A.	For your facility, identify what professional occupations are the most difficult to hire and retain.		
	<i>If you have no difficulty hiring or retaining any occupations, select "no difficulty" from the drop-downs provided in Box 1.</i>		
	1.		
	2.		
	3.		
	Other		

Identify your facility's critical skills/competencies that are essential to your viability and long-term competitiveness. Explain.		
	Skills/Competencies	Explain
B.	1.	
	2.	
	3.	
	4.	
	5.	

C.	If your defense-related work were to decline or cease, could non-defense government or commercial work help retain workforce skills needed for future defense work? Explain Below.	

Comments:	
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Section 14

CERTIFICATION

The undersigned certifies that the information herein supplied in response to this questionnaire is complete and correct to the best of his/her knowledge. It is a criminal offense to willfully make a false statement or representation to any department or agency of the United States Government as to any matter within its jurisdiction (18 U.S.C.A. 1001 (1984 & SUPP. 1197))

Company Name	
Company's Internet Address	
Name of Authorizing Official	
Title of Authorizing Official	
E-mail Address	
Phone Number and Extension	
Date Certified	

In the box below, provide any additional comments or any other information you wish to include regarding this survey assessment.

How many hours did it take to complete this survey?	
---	--

BUSINESS CONFIDENTIAL - Per Section 705(d) of the Defense Production Act

The following sections are for reference purposes only.

****Instruction: Below is a SAMPLE list of Department of Defense programs. This page is for reference purposes only and does not account for all acquisition categories (e.g. relevant programs/systems). Please include ALL critical defense programs your organization supports in Section 5. Again, this small sample of programs are listed below for your reference. Your answer to Section 5 is NOT limited to this list below.**

NOTE: You may copy and paste only the Program Short Name into Section 5 "Defense Program/System Name (short name)" column.

[To return to Section 5, click HERE](#)

Program Long Name	Program Short Name	Service
Three Dimensional Expeditionary Long Range Radar	3DELRR	Air Force
Air and Missile Defense Planning and Control System	AMDPCS	Army
Air and Missile Defense Radar	AMDR	Navy
Counterfire Target Acquisition Radar (EQ-36)	AN/TPQ-36	Army
Army Tactical Command and Control System	ATCCS	Army
B2 Defensive Management System	B2 DMS	Air Force
B-2 Extremely High Frequency Satellite Capability Increment I	B2 EHF	Air Force
B-52 Modernization	B-52 Modernization	Air Force
C-130J Hercules	C130J	Air Force
Common Aviation Command and Control System	CAC2S	Navy
Cooperative Engagement Capability	CEC	Navy
Combat Identification/Identification Friend or Foe	CID/IFF	Air Force
Cobra Judy Replacement	CJR	Navy
Surveillance System	CREW, GBOSS	Navy
Distributed Common Ground Station - Navy	DCGS-N	Navy
Arleigh Burke Class Guided Missile Destroyer	DDG-51	Navy
E-2D Advanced Hawkeye	E-2D AHE	Navy
EW Counter Response	EW Counter Response	Navy
F-35 Joint Strike Fighter	F-35	Joint
Forward Area Air Defense Command and Control	FAAD C2	Army
Family of Beyond Line-of-Sight Terminals	FAB-T	Air Force
Ground/Air Task Oriented Radar	G/ATOR	Navy
Global Command & Control System Maritime	GCCS-M	Navy
The Integrated Defensive Electronic Countermeasures	IDECM	Navy
Joint and Allied Threat Awareness Sysystem	JATAS	Navy
Joint Battle Command - Platform	JBC-P	Army
Joint Cooperative Target Identification-Ground	JCTI-G	Army
Joint Mission Planning System	JMPS	Navy
Joint Precision Approach and Landing System	JPALS	Navy
Large Aircraft Infrared Countermeasures	LAIRCM	Air Force
Lightweight Counter Mortar Radar	LCMR	Army
Littoral Combat System	LCS	Navy
M1A2 Abrams Main Battle Tank	M1A2	Army
MRAP All-Terrain Vehicle	M-ATV	Army
Multi-Mission Signal Processor	MMSP	Navy
Next Generation Jammer	NGJ	Navy
Navy Multiband Terminal	NMT	Navy
Naval Tactical Command Spt Sys	NTCSS	Navy
Periscope Detection	PDD AN/SPQ-9B	Navy
Surface Electronic Warfare Improvement Program	SEWIP	Navy
Space Fence	Space Fence	Air Force