

**Federal Acquisition Regulation (FAR)
Preaward Survey Forms (Standard Forms 1403, 1404, 1405, 1406,
1407, and 1408)
OMB Control No. 9000-0011
Justification - Part A Supporting Statement**

FAR sections affected: Standard Form (SFs) 1403, 1404, 1405, 1406, 1407, and 1408

Overview of Information Collection:

There are no program changes. The FAR requirements remain the same. This extension includes adjustments to the burden due to use of the latest Federal Procurement Data System (FPDS) data available, and the calendar year 2023 OPM GS wage rates for the rest of the United States as explained in item 15.

1. Need & Method for the Information Collection. 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 or obtain sufficient information to establish 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 readily available to the contracting officer, it is obtained through a preaward survey conducted by the contract administration office or another organization designated by the agency to conduct the surveys. The necessary data is collected from available data or through plant visits, phone calls, and correspondence in detail commensurate with the dollar value and complexity of the procurement. This clearance covers the information that prospective contractors must provide to ensure proper completion of the following preaward survey forms prescribed by the FAR:

- SF 1403 Preaward Survey of Prospective Contractor (General)
- SF 1404 Preaward Survey of Prospective Contractor (Technical)
- SF 1405 Preaward Survey of Prospective Contractor (Production)
- SF 1406 Preaward Survey of Prospective Contractor (Quality Assurance)

- SF 1407 Preaward Survey of Prospective Contractor (Financial Capability)
 - SF 1408 Preaward Survey of Prospective Contractor (Accounting System)
2. Use of the Information. The contracting officer uses the information to determine whether a prospective contractor is responsible.
 3. Use of Information Technology. Federal agencies use information technology to the maximum extent practicable. Where both the Government agency and prospective contractors are capable of electronic interchange, the prospective contractors may submit this information collection requirement electronically.
 4. Non-duplication. These requirements are issued under the FAR, which has been developed to standardize Federal procurement practices and eliminate unnecessary duplication.
 5. Burden on Small Business. The burden applied to small businesses is the minimum consistent with applicable laws, Executive orders, regulations, and prudent business practices. The FAR also provides conditions under which preaward surveys are to be accomplished that minimize the information collection burden on small businesses. These conditions include:
 - 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.
 - Although preaward surveys may be conducted on large and small business entities, as determined appropriate, the surveys are discouraged for fixed-priced contracts at or below the simplified acquisition threshold (SAT) and for contracts involving the acquisition of commercial products or commercial services, unless circumstances justify the survey's cost. Actions at or below the SAT are totally set aside for small business, thereby minimizing the circumstances under which preaward surveys would be conducted on small business entities.
 - FAR 9.106-4(b) requires that a contract administration office/surveying activity consult the appropriate Small Business Administration field office before making an affirmative recommendation regarding a contractor's responsibility or nonresponsibility when that small business

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 from the Small Business Administration during the last 12 months.

6. Less Frequent Collection. Collection of information on a basis other than solicitation-by-solicitation is not practical.
7. Paperwork Reduction Act Guidelines. Collection is consistent with guidelines in 5 CFR 1320.5(d)(2).
8. Consultation and Public Comments.
 - A. A 60-day notice was published in the *Federal Register* at 88 FR 39849, on June 20, 2023. No comments were received.
 - B. A 30-day notice was published in the *Federal Register* at 88 FR 58277, on August 25, 2023.
9. Gifts or Payment. This collection does not provide any payment or gift to respondents, other than remuneration of contractors.
10. Privacy & Confidentiality. This information is disclosed only to the extent consistent with prudent business practices, current regulations, and statutory requirements.
11. Sensitive Questions. No sensitive questions are involved.
12. Burden Estimate.

Estimated total annual public hour and cost burden.

There are no Governmentwide systems for collecting the number of preaward surveys completed in a fiscal year as preaward surveys are only required in limited circumstances where information for the prospective contractor cannot be obtained by the contracting officer to make an affirmative statement of responsibility.

A preaward survey would be needed only if the firm had not previously been a Government contractor and therefore had no record of past performance. The following estimates are based on averages of historical award data available in FPDS for fiscal years 2020 through 2022. Accordingly, a total of 1,118 contracts were awarded by the General Services Administration (GSA) valued over the SAT (\$250,000), and for which commercial acquisition procedures were not used. The estimate for preaward surveys is 15% of the total or 168 (15% of 1,118). Of the six standard forms, we estimated that the SF 1403 is used most frequently

because it is a general form and accounts for 30 percent or 50 times, SFs 1404 and 1407 account for 15 percent or 25 times each, SF 1408 accounts for 20 percent or 34 times, and SFs 1405 and 1406 account 10 percent or 17 times each.

After consultation with subject matter experts, it was determined that the time required to prepare and complete the standard forms is estimated at 24 hours per response. Because preaward survey data is generally used for multiple contracts awarded within a 12-month period, it is estimated that only one (1) response would be reported annually per respondent per form.

General Services Administration

Standard Form	<u>1403</u>	<u>1404</u>	<u>1405</u>	<u>1406</u>	<u>1407</u>	<u>1408</u>	<u>Total</u>
Estimated respondents/yr	50	25	17	17	25	34	168
Responses annually	1	1	1	1	1	1	1
Total annual responses	50	25	17	17	25	34	168
Estimated hrs/response	24	24	24	24	24	24	24
Estimated total burden hrs	1200	600	408	408	600	816	4032
Hourly rate (\$)*	67	67	67	67	67	67	67
Estimated cost to public	\$ 80,400	\$ 40,200	\$ 27,336	\$ 27,336	\$ 40,200	\$ 54,672	\$ 270,144

* Fully burdened rate includes a 36.25 percent fringe factor (pursuant to the rate provided in OMB memorandum M-08-13 for use in public-private competition), and a 12 percent overhead rate (from A-76 revised supplemental handbook). Based on the Office of Personnel Management (OPM) 2023 General Schedule (GS) 12/step 5 salary for the rest of the United States (\$44.98 per hour) plus the fringe factor and the overhead rate, rounded to the nearest whole dollar (\$67).

13. Estimated nonrecurring costs. Not applicable.

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

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Estimated responses/yr..... 168
 Reviewing time (hr)/response.....x 48
 Review time /yr..... 8,064
 Hourly rate*.....x \$67
 Estimated annual cost to the Government...\$540,288

15. Reasons for changes. There are no program changes. The FAR requirements remain the same. This extension includes adjustments to the public and Government burden estimates based on the following:

- The estimated number of respondents and responses per year is based on the historical average of FPDS data for the three most recent fiscal years (2020 through 2022) for the General Services Administration.
- The estimated cost per hour is based on use of the calendar year 2023 OPM GS wage rate for the rest of the United States.

	2020 Estimate	2023 Estimate	Change in Burden
Number of respondents	107	168	61
Total annual responses	107	168	61
Total burden hours	2,568	4032	1,464
Total annual cost to public	\$146,376	\$270,144	\$123,768

16. Publicizing Results. Results will not be tabulated or published.

17. OMB Not to Display Approval. Approval to *not* display the expiration date for OMB approval of the information collection is not sought.

18. Exceptions to "Certification for Paperwork Reduction Submissions." There is no exception to the certification statement.

19. Surveys, Censuses, and Other Collections that Employ Statistical Methods. Statistical methods are not used in this

information collection. A Part B supporting statement is not needed, or required, and therefore was not completed.

<u>FY</u>	<u>GSA No. of Awards</u>
2020	1277
2021	1035
2022	1041
Average	1118