

COMMERCE ACQUISITION MANUAL
1372

DEPARTMENT OF COMMERCE
ACQUISITION MANAGEMENT REVIEW PROCEDURES GUIDE

COMMERCE ACQUISITION MANUAL 1372

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ACQUISITION MANAGEMENT REVIEW PROCEDURES GUIDE

SECTION 1 – OVERVIEW

1.1 Background

The purpose for conducting an Acquisition Management Review (AMR) is to evaluate the effectiveness and efficiency of the contracting office and provide suggestions to improve any noted weaknesses or deficiencies. The review offers a baseline assessment of current strengths and weaknesses within the office. The expected outcome is to identify areas which require management attention and mitigate risk in those areas; thereby ultimately increasing the effectiveness and efficiency of the Department of Commerce Acquisition process. The AMR is designed to provide local reviews of the DOC contracting offices by a team of contracting professionals from the DOC staff or field Contracting Offices.

The AMR will be used to assist Bureau Procurement Officials and Acquisition Leadership improve the overall efficiency and effectiveness of our procurement organizations in five areas.

- Leadership
- Strategic planning
- Technical compliance and management of key procurement processes
- Customer focus
- Human resource management

The AMR requires DOC procurement organizations to perform continuous self-assessment through procurement performance-based measurements, including the results of employee and customer surveys. The procurement organization is expected to use self-assessment results to continuously evaluate its technical compliance, the quality of its procurement processes and management systems, its ability to know when corrective action is appropriate and to make the necessary improvements. The AMR team members will evaluate the procurement organization's adherence to applicable regulations, statutes, laws, and best acquisition and business practices. The AMR team will give special attention to self-assessment results.

1.2 Purpose

The purposes of the Acquisition Management Reviews (AMR) are to—

- a. Assist Contracting officers and supervisors and BPOs with improving the operational efficiency and effectiveness of their organizations;
- b. Periodically provide BPOs, Contracting Officers, supervisors and contract specialist with an evaluation of the integrity of the DOC procurement process, the achievement of DOC goals, assessment of the quality of career development within the contracting workforce, and assessment of compliance with statutory requirements by each contracting office and;

- c. Provide contracting offices with on-site assistance and training.

1.3 Applicability

This policy applies to all Department of Commerce contracting offices.

1.4 Policy

All DOC contracting offices will receive AMRs, performed by Office of Acquisition Management personnel and supplemented by field Acquisition Offices. Each contracting office will receive at least one review every 36 months. The number and type of observations and findings, especially repeat findings, will play a role in how often a contracting office is reviewed.

1.5 Review Standards

Due to different AMR team composition, different team leaders, different levels of review, and the broad variety of contracting offices to be reviewed, it is desirable to promote uniformity in review coverage, conduct, methods of report writing, and close out. Common review standards will be applied to the areas listed below during all AMRs:

- Scope of review;
- Approaches for preparing and conducting a AMR;
- Standards for writing reports;
- Format for publishing reports;
- Guidance on selecting, training, and supervising team members;
- Process for preparing, coordinating, and distributing reports; and
- Closing out the reports

The AMR Team Leader will prepare milestones to assist with completing the myriad tasks associated with planning, conducting, reporting, and closing multiple AMRs during each fiscal year. The milestones will also serve as a source of information to determine the status of each AMR on the annual schedule.

1.6 Roles and Responsibilities

1.6.1 Senior Procurement Executive (SPE)

The SPE is responsible for the overall AMR process.

1.6.2 Senior Bureau Procurement Official (BPO)

The BPO will be responsible for providing the preliminary documentation and information to the AMR team and respond to the reports generated by the review.

1.6.3 Review Team Leader

The AMR Team Leader is responsible for overall team management, including planning, conducting the review, and preparing, or overseeing preparation of the AMR Report. Specific Team Leader responsibilities include:

- a. Selecting and notifying team members;
- b. Designating team member work assignments (areas to be reviewed);
- c. Identifying, collecting, analyzing, and disseminating to team members the data relative to the Acquisition Office being reviewed;
- d. Making arrangements with the Acquisition Office to be reviewed;
- e. Scheduling unique on-site requirements, such as interviews with leadership and the servicing legal representative, discussions with groups of customers, etc;
- f. Managing/supervising the on-site process;
- g. Participating as a working member of the team in selected areas;
- h. Providing daily status briefings to the BPO, as needed;
- i. Providing an exit briefing to the BPO, or designated representative;
- j. Reviewing/approving written findings of team members and preparing, or overseeing preparation of, the AMR Report;
- k. Maintaining the master file of working papers;
- l. Coordinating the draft report with appropriate staffing officers and obtaining approval of the final report signed by the SPE;
- m. Distributing the AMR Report to the Acquisition Office reviewed;
- n. Responding to questions and concerns raised by the Acquisition Office reviewed as a result of the AMR Report;
- o. Reviewing corrective action(s) proposed and taken by the Acquisition Office reviewed; and
- p. Performing follow-up duties, as necessary, to close out the report.

1.6.4 Review Team Members

The AMR Team Members are responsible for participating in the planning, conducting the review, and preparing their input to the AMR Report. Specific Team Member responsibilities include:

- a. Accepting work assignments (areas to be reviewed);
- b. Analyzing the data relative to the Acquisition Office being reviewed;
- c. Participating, as required, in interviews with leadership and the servicing legal representative, discussions with groups of customers, etc;
- d. Scheduling any additional customer interviews, as needed, to gather additional data for assigned review project.
- e. Managing individual on-site process;
- f. Participating as a working member of the team in selected areas;
- g. Providing daily status briefings to the Team Leader, as needed;
- h. In the case of an observation which has the potential of becoming a finding, if training is deemed needed by the Team Leader, provide on-site assistance

- and training to the contracting professional responsible for the identified action;
- i. Ensure all documentation for findings are complete, to include proofing write-ups and ensuring that notes sufficiently support the findings;
- j. Provide an exit briefing to the Team Leader on assigned area(s);
- k. Assist in the preparation of the final AMR Report;
- l. Assist in preparing responses to questions and concerns raised by the Acquisition Office reviewed as a result of the AMR Report;
- m. Assist in the review of corrective action(s) proposed and taken by the Acquisition Office reviewed; and
- n. Performing follow-up duties, as necessary, to close out the report.

1.6.5 Host Acquisition Office Responsibilities

- a. Provide space, conference room or office for AMR Team to review files and conduct interviews.
- b. Phone access, FAX and internet capability.
- c. Provide POC for AMR Team members for access to facilities during review.

END OF SECTION 1

SECTION 2 – PREPARING FOR REVIEW

2.1 Introduction

Comprehensive preparation is an indispensable component of a successful AMR. If done properly, AMR planning will reduce the funds, personnel, and time needed on-site to execute the review. The objective of preparation is for the AMR team members to arrive on-site with basic knowledge of the Acquisition Office's mission, organizational structure, workload, and operational practices. The types of data most likely to be requested by the AMR team are readily available in the automated procurement system, FPDS-NG. At a minimum, the following items should be included in the planning and preparation for the upcoming AMR:

- a. establishing the review level;
- b. notifying the Acquisition Office to be reviewed;
- c. obtaining advance data (when necessary);
- d. selecting members of the team; and
- e. assigning team members' responsibilities.

The length of time required to perform an AMR will depend upon the size of the organization, the size of the review team, and the scope and depth of reviews. The Team Leader, based upon these three factors and experience, determines the actual time allotted to each review element.

A team member's analysis begins before arriving to the on-site location of the review. The member should review advance information and study previous AMR Reports to identify follow-up requirements, especially pertaining to repeat findings.

2.2 Notification to the Acquisition Office

The AMR Team Leader will convene with the BPO of the office being reviewed to determine the best time for the review to be conducted. This coordination generally is done by telephone or email before the on-site review is underway. Such notification should arrive at the Acquisition Office approximately 45 days prior to the beginning of the review. (See Letter of Notification to BPO, *Appendix C*.)

2.3 Selection of Team Members

The AMR process is a team effort that must be managed by the AMR Team Leader. The AMR Team Leader will determine the composition and size of the AMR team, and the duration of individual team member assignments to the team. There may be times when it is necessary to include a member from the Office of General Counsel on the AMR team. Team members are assigned to the AMR team for the duration of the review unless an earlier release has been agreed to or directed by the AMR Team Leader. The team members are responsible for coordinating their own travel arrangements such as hotel accommodations, rental cars, airline reservations, etc (where required).

END OF SECTION 2

SECTION 3 – CONDUCTING THE REVIEW

3.1 Entrance Briefing

The BPO of the Acquisition Office being reviewed will conduct an entrance brief for the AMR team. The purpose of this briefing is to report self-assessment results; present challenges and efforts to make improvements; and introduce AMR team members to the contracting staff and the supervisor(s). The AMR Team Leader will explain the purpose and scope of the AMR during the in-brief.

3.2 Review Methods

The purpose of the review is to assess the efficiency and effectiveness of the Acquisition Office's acquisition function. This will be accomplished by reviewing local processes, policies and procedures; studying organizational charts, strategic business plans, management control checklists; analyzing FPDS-NG-generated data; and conducting interviews with appropriate personnel, e.g., contracting staff members, customers, legal and, when needed, finance and accounting.

While adequate samples of contracting procedures, procurement actions and personal interviews should enable each team member to identify significant trends and operational strengths and/or weaknesses within the Acquisition Office's operations, more targeted file reviews and interviews may be required to determine the significance of the finding.

The AMR Technical Evaluation Checklist, *Appendix B*, should be used to assist AMR team members with reviewing files and determining whether the Acquisition Office being reviewed is technically compliant and managing key procurement processes. The checklist contains events and procedures in a logical sequence covering the entire acquisition process from acquisition planning and purchase request initiation to contract award, administration and closeout. The checklist promotes consistent analysis and provides systematic means of organizing the file review process. Results of each file review will be recorded in the electronic format prescribed in *Appendix D*, AMR Evaluation Matrix.

3.2.1 Review of Materials

Material that will generally be available for review include local standard operating procedures, internal forms, contracts, purchase/delivery/task orders, blanket purchase agreements (BPAs), basic ordering agreements (BOAs), files, legal reviews, exceptions to policy under which the organization is operating, employee individual development plans, performance standards, customer survey results, and management information system data, such as workload data. Exercising good judgment in selecting material to be reviewed, the amount of material to be reviewed, and the adequacy of the Acquisition Office's documentation will largely determine the effectiveness of the team.

3.2.2 Interviews

Interviews with contracting and other personnel should be used to expand upon findings, determine rationale for actions, or pursue leads noted during the review of selected written material. Interviews provide an excellent forum for team members to better understand the Acquisition Office's management philosophy and its overall approach to acquisition and day-to-day operations at the contracting officer's level. Interviews also allow AMR team members to discuss deficiencies and present ideas for enhancing local operations. Finally, interviews allow team members to discuss issues deemed "significant findings" to ensure that all facts and rationale for actions are considered before a finding is reported.

3.3 Observations and Findings

It is essential that all AMR team members understand the difference between "Observation" and "Finding." Many process improvements, inefficient operations, and one-time technical noncompliances will be noted during the review that do not warrant being written up as a finding, yet should be corrected. The AMR team members will treat these occurrences as "Observations." Generally, they should be documented in the team member's working file, and noted in the AMR Report.

Findings, on the other hand, are significant or material deficiencies in terms of impact or frequency of occurrence. Particular attention should be paid to "Repeat Findings." When a trend is noted and the deficiency is sufficient to warrant writing a finding, it should be written and given to the Team Leader along with a copy of the worksheets (i.e., backup materials). The Team Leader or AMR team member will label a one-time, or isolated occurrence, as a finding when necessary. This occurs when the event or observation is so significant that it could have an adverse impact on the overall operation of the Acquisition Office. Examples include exceeding certified funding levels; exceeding the contracting officer's warrant authority; and failure to follow ratification procedures for an unauthorized commitment. Significant findings identified during the review may be referred to the OIG.

3.4 Assignment of Work

The AMR Team Leader will assign each team member material to be reviewed during the AMR. Accordingly, team members will receive all work assignments and direction from the Team Leader. The Team Leader must approve, prior to pursuit, any activity during the AMR process not directed by the Team Leader. The team member will prepare documentation and findings, if any.

3.5 Examination of Files

AMR team members are likely to examine a variety of files during a review. For example, in addition to contract and purchase order files, members will review BPA files, lease agreements, standard operating procedures, Contracting Officer appointment files, internal management control files, as well as an assortment of other administrative files. In all cases, team members must determine whether the processes, procedures, and decisions documented in the files indicate that

the Acquisition Office is following sound procurement and business practices and complying with DOC policies, guidance, and procedures.

Normally, files, particularly contract actions to be reviewed, should be limited to those awarded since the last review. Exceptions to this practice will be long-term contracts. Reviewers should have a systematic approach for examining files. A summary of each file reviewed should be logged in the electronic format prescribed in *Appendix B (File Review Checklist)*. This practice will aid the reviewer in determining when sufficient occurrences have been noted to indicate a trend. Every item recorded must be labeled as "Observation" or "Finding," and all "Repeat Findings" should be clearly identified.

All files and contracts reviewed by AMR team members shall be returned promptly to the appropriate place, and they shall be in the same condition they were when provided to the team for review.

3.6 Conducting Interviews

Interviews with key personnel should be part of the on-site review. A combination of reviewing documents and conducting face-to-face discussions will be used to develop the overall appraisal of the quality, effectiveness, and efficiency of the Acquisition Office's procurement operations. The Team Leader may choose to accompany team members when they conduct face-to-face discussions with senior managers within the Acquisition Office. Sample interview questionnaires are provided as *Appendix E*.

Interviews can be substantially improved by keeping the following principles in mind:

- a. Be clear, concise, courteous, constructive, and professional throughout the interview.
- b. Begin the session by setting the stage. As a minimum, the following topics should be discussed at the beginning of the session.
 - i. Clearly explain the purpose of the AMR
 - ii. Confidentiality of information
 - iii. Additional information that would help the AMR effort.
- c. Avoid asking leading questions and those that can be answered with a simple "yes" or "no."
- d. Keep the interview on track, moving toward accomplishing the defined objective.
- e. Allow flexibility to enable the individual being interviewed to provide additional leads and/or identify other deficiencies.
- f. End the interview with a restatement of facts presented and any conclusions that you have drawn from them.

3.7 Assistance and Training

Occasionally, the Team Leader may determine that it is necessary to address in the AMR Report those observations that have the potential of becoming findings. The AMR team member noting such observation, or the Team Leader, should

provide on-site assistance and training to the contracting professional responsible for the action.

3.8 Documenting Findings

Team members are expected to take extensive and thorough notes on material reviewed and during the personnel interviews. This includes documentation of contract files reviewed, on-site observations, findings, and preliminary recommendations. Should the Team Leader determine the documentation provided by the team member is insufficient, the paperwork will be returned for completion. All findings will be recorded in the electronic format prescribed in *Appendix D* (AMR Evaluation Matrix).

Reviewers should prepare findings as soon as a significant deficiency or undesirable trend is noted and confirmed through an interview with the personnel or file review. Each finding will consist of three parts:

- a. Succinct statement of the finding (i.e., problem or deficiency);
- b. Extent of the problem and all the pertinent details and circumstances regarding the observation; and
- c. Recommendation.

The finding should be tied to a regulation, statute or policy whenever applicable. Repeat findings from the last AMR should be clearly noted. The recommendation should tell the BPO what actions should be taken to correct the deficiency. Reviewers should proof their write-ups and ensure that their notes sufficiently support the findings.

3.9 Exit Brief

Team members are responsible for providing input for the exit brief. A copy of preliminary findings will be provided to the BPO that time.

END OF SECTION 3

SECTION 4 – PREPARING AND ISSUING THE REPORT

4.1 Introduction

The Team Leader, or designee, is responsible for development and content of the AMR Report. A report will be published within 30 calendar days after completion of the on-site review. The report will convey findings and recommendations to the BPO which in the cumulative, provide an overall assessment of the Acquisition Office's standing. The assessment will cover the following areas: leadership, strategic planning, technical compliance and management of key procurement processes, customer focus, and human resource management. The AMR Report will not address small or inconsequential problems, but only the more significant findings.

The AMR Team Leader is responsible for preparing the report or overseeing its preparation. Each team member is responsible for documenting and reporting results of the area(s) reviewed. The member should pay particular attention to thoroughly documenting results. For example, all observations and findings should reference contract/order number, delivery/period of performance, amount, purchase description, and regulation paragraph numbers. Recommendations should be addressed in the documentation.

As mentioned earlier, many observations noted during a review will be corrected through AMR team assistance on-site during the review. These observations will be included in the final report with a notation that corrective action has been implemented. Therefore, the Team Leader shall ensure that reports do not address isolated or relatively inconsequential problems. AMR Reports will cover significant findings, and will require BPOs to respond to each finding with a proposed plan designed to correct administrative and operational problems and improve business practices. The primary emphasis will be on enhancing mission performance Agency-wide, as well as at individual activities, through encouragement of, and assistance in, rectifying noted deficiencies. Further, the Team Leader will make certain that the positive practices adopted by the office being reviewed are mentioned in the report as well as the findings.

The AMR Team Leader is responsible for milestone management of all aspects of the AMR process, including issuing the report and responding to questions and concerns that arise as a result of the report. The Team Leader should provide team members with an opportunity to review and comment on the draft AMR Report.

4.2 Report Format

Appendix F, Sample AMR Report Format, serves as an outline for writing the report, and provides a basis for maintaining uniformity and consistency among reviews of various activities. Recognizing that each Acquisition Office varies as to mission, organization, and methods of contracting, the format should not be construed as mandating an inflexible style in which the reports will be written.

4.3 Report Distribution

The AMR Team Leader is responsible for ensuring that the AMR Report is released within 30 calendar days after completion of the on-site review. Issuing the report in a timely fashion enables the Acquisition Office to initiate needed corrective action promptly. Further, the specific details associated with the findings are still fresh which facilitates resolution of any disagreements between the AMR team and the reviewed Acquisition Office that were not resolved while the AMR team was on-site.

Each report will be issued to the BPO of the Acquisition Office. A sample letter for transmitting the report is provided as *Appendix G*. The Director of RMD will provide copies to officials who need to know the results of the review, e.g., SPE, internal review, legal, Bureau management.

The Director of OAM or the Director of OAM Risk Management, after consultation with the Team Leader, are the only individuals authorized to extend the release date. If an extension is granted, the Team Leader will provide the reviewed Acquisition Office with a revised release date.

4.4 Report Closeout

The AMR Team Leader is responsible for ensuring that each AMR report is closed timely. The goal is to approve each corrective action plan for closing findings within 60 calendar days after each report is issued. However, this necessitates general agreement with all findings and recommendations for improvement by the reviewed Acquisition Office's managers. Frequently this will not occur and adjustments of the acceptance date on the milestones will have to be made. Each AMR report will be closed immediately after all findings have been corrected.

END OF SECTION 4

SECTION 5 – CORRECTIVE ACTION PLANS

5.1 Corrective Action Plans

Each AMR report will be issued with suspense for the reviewed Acquisition Office to respond to each finding and recommendation (See *Appendix G, Sample Report Transmitting Letter*). Before the report is closed, the AMR Team Leader will coordinate with DOC's, Risk Management Division Director and the BPO to facilitate follow-up action.

5.1.1 Response Format

Within 60 calendar days from receipt of the AMR Report, the reviewed Acquisition Office is required to respond to each AMR finding by concurring or nonconcurring with the finding and recommendation. They are also required to discuss specific action to be taken and the proposed completion date for each finding to be corrected. Any non-concurrence must be fully justified.

Responses will be prepared in the format shown at the end of *Appendix F, Sample AMR Report (includes Response Format)*. The AMR Team Leader must ensure that every finding and recommendation is addressed adequately before the report is closed. Moreover, the Team Leader must accept the rationale for non-concurrence or resolve unacceptable issues.

5.2 Extension Requests

The BPO of the Acquisition Office reviewed may find it necessary to request an extension to the 60 calendar days for responses to the AMR reports. All requests for extensions of suspense should be routed to the Team Leader for action. Reasonable requests for extensions may be granted by the AMR Team Leader.

END OF SECTION 5

APPENDICES

APPENDIX A – ABBREVIATIONS/DEFINITIONS

Acquisition The act of acquiring something.

AMR Acquisition Management Review

BPA Blanket Purchase Agreement

BPO Bureau Procurement Official

BOA Blanket Ordering Agreement

DOC Department of Commerce

OAM Office of Acquisition Management

Observations - Process improvements, inefficient operations, and one-time technical noncompliances that do not warrant being written up as a finding, yet should be corrected.

Findings - Are significant or material deficiencies in terms of impact and sometimes occurrence.

APPENDIX B – FILE REVIEW CHECKLIST

FILE REVIEW CHECKLIST

AWARD NO. _____

AWARD DATE: _____ **EFFECTIVE DATE:** _____

CONTRACT SPECIALIST: _____

CONTRACTING OFFICER: _____

CONTRACTOR: _____

AWARD AMOUNT: _____ **Total Contract Value:** _____

CONTRACT TYPE: _____

PERIOD OF PERFORMANCE (INCLUDING OPTIONS) _____

BRIEF DESCRIPTION OF (what is being acquired): _____

OVERALL FILE CONTENTS (CHECK APPLICABLE BOXES):

- | | |
|--|--|
| <input type="checkbox"/> Advance Acquisition Planning | <input type="checkbox"/> Discussions/Negotiations |
| <input type="checkbox"/> Acquisition Request/Request
for Contract | <input type="checkbox"/> Award |
| <input type="checkbox"/> Offer Evaluation | <input type="checkbox"/> Contract Administration |
| <input type="checkbox"/> Past Performance Evaluation | <input type="checkbox"/> Tradeoff Analysis |
| <input type="checkbox"/> Tax Delinquency Certification | <input type="checkbox"/> Performance-Based Contracting |
| <input type="checkbox"/> Reporting to PPIRS | <input type="checkbox"/> FPDS Data accuracy |
| <input type="checkbox"/> Solicitation | <input type="checkbox"/> Closeout |

BEST PRACTICES IDENTIFIED: (DISCUSS AS APPROPRIATE)

COMMENT(S):

NOTES AND OBSERVATIONS:

ADVANCE ACQUISITION PLANNING

	YES	NO	N/A
Acquisition Milestone Plan Required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Acquisition Milestone Plan Prepared	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Narrative Acquisition Plan Required	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Narrative Acquisition Plan Prepared	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Acquisition Plan Content Meets Agency Requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Acquisition Plan signed by COR, CO and Approving Official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Market Research Accomplished	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Appropriate Acq Strategy Selected/Adequately Justified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Included in FAAPS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General Counsel review of Acq Plan and issues addressed Adequately	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

ACQUISITION REQUEST(AR)/REQUEST FOR CONTRACT (RFC)

	YES	NO	N/A
Adequate and properly approved JOFOC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Budget/Funds Approval	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Independent Government Cost Estimate (IGCE)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SADBUS Review in File	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Justification for Providing Government Property	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evaluation Criteria Included	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Formal Source Selection Process or Waiver	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TAS Code Identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If > 100K is Acq Plan # Identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

SOLICITATION

	YES	NO	N/A
<input type="checkbox"/> Competitive			
<input type="checkbox"/> Noncompetitive			
<input type="checkbox"/> Small Business Set-Aside			
<input type="checkbox"/> Small Business Set-Aside/SDVOSB			
<input type="checkbox"/> Small Business Set-Aside/WOSB			
<input type="checkbox"/> 8(a) Competitive			
<input type="checkbox"/> 8(a) Noncompetitive			
<input type="checkbox"/> Construction			
<input type="checkbox"/> Architect/Engineering			
<input type="checkbox"/> Commercial Item/Service			
Adequate Specifications/SOW			
Does COR have required training/cert			
Synopsis published			
Presolicitation Conference			
Solicitation period consistent with regulations			
Proper contract type			
Wage determination required/incorporated into solicitation			
Appropriate clauses and provisions			
Representations and certifications			
Cost/pricing data requested (justification)			
Appropriate evaluation criteria			
Award selection methodology clearly stated			
Justification for use of options			
Option Evaluation clearly stated			
D&F if exceeding 3 years			
If IDIQ, min/max for contract clearly stated			
If IDIQ, min/max per order clearly stated			
If IDIQ Order provisions included			
Liquidated damages rate substantiated & not a penalty			
Requirement for bid, performance/payment bonds			
Requirements for insurance			
Security background checks			

Comments:

PROPOSAL EVALUATION

	YES	NO	N/A
Late proposals handled properly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Abstract of offers prepared properly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Was the Technical Evaluation Team briefed on review process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technical evaluation report in the file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evaluation consistent with stated criteria	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Composite evaluation rating sheet in file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Narrative discussion of proposals including strengths/weaknesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Competitive range determination made	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Offerors in range notified for proposal deficiencies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Offerors outside range notified promptly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Requested Pre award Debriefing conducted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

**DISCUSSIONS/NEGOTIATIONS
COST/PRICING DATA**

	YES	NO	N/A
Cost or Pricing Analysis in File	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Negotiations/Exchanges conducted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Summary of Award	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

AWARD

YES NO N/A

List of Parties Excluded from Procurement Programs checked			
On-site preaward survey conducted			
Written affirmative determination of responsibility			
Determination of price reasonableness			
Award decision documented			
Preaward notification to unsuccessful offerors under small business set aside			
EEO clearance required and obtained (over \$10M)			
Organizational conflict of interest certification			
Award input into C-Stars/FPDS-NG consistent with file data			
FedBizOps contract award announcement published			
File documented concerning VETS-100 reporting requirement as required			
Congressional notification of award over \$3M			
Unsuccessful offerors notified promptly			
Disposition of protests			
Debriefings conducted and documented			
Evidence that DOL Wage Notice Poster. was furnished to Kr			
Disclosure of lobbying activities (OMB Form LLL)			
Review of Subcontracting Plan			
Was proposed award reviewed by appropriate approving official(s)?			
Were all issues identified in pre-award review resolved appropriately?			
Has ARRA requirements cover sheet recipient reporting been sent out			
If services awarded after 4/1/10 is it recorded on Services			
Contract Inventory per memo 2009-7			
Award Fee/ Incentive Fee contracts submitted to OAM			
Per memo 2009-12			

Comments:

TIMELINESS FACTORS

YES NO N/A

Type of Acquisition Action Milestone(s) met	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If no, check item(s) below that applies:			
<input type="checkbox"/> Poor statement of work/purchase description			
<input type="checkbox"/> Lack of clear understanding of what was being agreed to by the parties			
<input type="checkbox"/> Other			
Does the Contracting office have a list of established Procurement Action Lead Time (PALT)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are procurement actions taken within the PALT	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:			

CONTRACT ADMINISTRATION

	YES	NO	N/A
Annual Report Card in contract	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monthly Contract Administration Report in file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Invoices cut timely	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence of receipt/acceptance of deliverables	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

NONCOMPLEX CONTRACT MODIFICATION

FILE REVIEW CHECKLIST

	YES	NO	N/A
Funding citation identified and certified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TAS Code Identified	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Proper authority cited for modification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Memorandum in file explaining the basis for actions taken	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Required approvals obtained and contained in file	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For options:			
- D&F to justify exercising	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Price determination that option still best deal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Required notice provided	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Awarded consistent with contract terms and conditions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Modification proper in every way	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Award Fee, Incentive Fee Documentation :			
- Does documentation support the proposed amount	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Reported to OAM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Type of Acquisition Action milestone(s) met?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If no, check item(s) below that applies:			
<input type="checkbox"/> Poor SOW/purchase description			
<input type="checkbox"/> Lack of clear understanding of what was being agreed to			
<input type="checkbox"/> Other			

Comments:

Tax Delinquency Certification Questions

	YES	NO	N/A
1. Are your contracting officers reviewing ORCA Reps and Certs regarding tax delinquencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Have any of your contracting officers identified any offerors with a self-identified tax delinquency and, if so, did the offeror receive an award?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are your contracting officers using any reported delinquencies in their responsibility determinations or taking any other steps to recoup the delinquency under the contract?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Referred to Suspension Debarment Official (SDO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FPDS Data accuracy

Is a copy of FPDS Report included in the contract file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is it approved by the contracting Officer and validated against the contract file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Reporting to PPIRS

Is copy of Past Performance Information Retrieval System (PPIRS) report in the contract file?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Closeouts

YES NO N/A

Contract Closeout Summary/Review of Contract File Contents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Physical Completion Statement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final Contractor Performance Evaluation Reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Record Actions Take	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contractor's Closing Statement/Release of Claims	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Final Payment/Settlement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contracts Funds Review/Excess Funds Deobligation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Contract Completion Statement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Compliance with requirements of Section 801
of the National Defense Authorization Act**

YES	NO	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Per DOC procurement memorandum 2009-05 this guidance applies to all awards made against requisitions or other interagency transfer agreements received from DoD components that result in new contracts, purchase orders, delivery orders, task orders or call orders awarded on or after October 1, 2008.

Any DOC acquisition office executing any acquisition on behalf of DoD shall review the Interagency Agreement (IAA) to determine whether that IAA includes any DoD specific regulatory requirements applicable to the acquisition. If so Contracting Officer is responsible for ensuring that those requirements are compiled in their totality.

BASIC FILE

TAB	CONTENTS	REFERENCE
1	<p><u>Market Research</u> Information and documentation pertaining to the market research that was conducted for the acquisition in question should be filed under this Tab. The intent of the market research is to determine if commercial item/services or non-developmental items are available to meet the Government's needs or could be modified to meet the Government's needs, which then permits utilization of the policies and procedures in FAR Part 12. If market research establishes that the Government's needs cannot be met by a type of item or service customarily available in the commercial marketplace, then do not use Part 12. The extent of market research will vary depending on such factors as urgency, estimated dollar value, complexity and past experience.</p> <p><u>NOTE:</u> Justifications for Other Than Full and Open Competition (JOFOC) require a description of the market research conducted (see FAR Part 10) and the results <u>or</u> a statement of the reason you did not perform market research.</p>	<p>FAR Part 10</p> <p>FAR 10.002(d)(1), (2), and (e)</p> <p>FAR 12.101</p> <p>FAR 7.102(a)</p> <p>FAR 6.303-2(a)(8)</p>
2	<p><u>Acquisition Planning</u></p> <p>» Included in FAAPs</p> <p>» Acquisition planning information – Milestone Plan</p> <p>» Written/narrative acquisition plan</p> <p><u>(NOTE:</u> A written/narrative acquisition plan is <u>required</u> for any <u>new contract.</u>) <u>(Suggestion:</u> To avoid writing a separate determination, include rationale for a single award indefinite quantity-indefinite delivery contract in the written/narrative acquisition plan.)</p>	<p>FAR Part 7</p> <p>CAR Part 7</p> <p>CAM Part 7, Chapter 1</p> <p>FAR 4.803(a)(1)</p> <p>FAR 7.105</p>
3	<p><u>Acquisition Request</u></p> <p>» Acquisition Request (AR), (evidences availability of funds certification)</p>	<p>FAR 4.803(a)(1) and (2)</p>

	<p>» Statement of Work (SOW)/Statement of Objectives (SOO)/Specifications</p> <p>» Other appropriate pre-solicitation documents necessary for the acquisition, such as:</p> <ul style="list-style-type: none"> - Period of performance (including options)/desired or required delivery schedule - Government estimate of cost - Technical evaluation criteria and instructions - Schedule of deliverables and reporting requirements - Reference material(s) (if any) - Statement as to CORs' satisfaction of training/certification requirements - List of Government-furnished property or facilities (if any) - Special terms and conditions (if any) - Recommended source list - Data for future acquisitions (if any) - Personnel security and suitability requirements 	<p>FAR 10.002(a) FAR Part 11 FAR 35.005 (R&D)</p> <p>FAR 4.803(a)</p> <p>FAR 4.803(a)(9)</p>
<p>4</p>	<p><u>Presolicitation Special Approvals</u></p> <p>» Paid Advertising</p> <p>» Printing</p> <p>» JOFOC</p> <p>» Brand Name Purchase Descriptions</p> <p>» Justification for Acceptance of Unsolicited Proposal (JAUP)</p>	<p>FAR 4.803(a)(2)</p> <p>FAR 5.502</p> <p>FAR 8.802</p> <p>FAR 6.303-2 FAR 6.304</p> <p>FAR 6.302-1(c) FAR 11.104</p> <p>FAR 6.3 FAR 15.607(b)(2)</p>

	<ul style="list-style-type: none"> » Justification for Bid Samples » Justification for Bid Descriptive Literature » Mandatory GSA FSS Waiver » Federal Prison Industries/UNICOR Waiver » National Industries for the Blind (NIB)/National Institutes for the Severely Handicapped (NISH) Waiver 	<p>FAR 14.202-4(d)</p> <p>FAR 14.202-5(c)</p> <p>FAR 8.404-3</p> <p>FAR 8.605(a)</p> <p>FAR 8.705-1(a)</p>
5	<p><u>Presolicitation Determinations</u></p> <ul style="list-style-type: none"> » Providing Government-Furnished Property, Facilities, Office Space/Telephone Service » Advance Payments » Use of Letter Contract » Buy American Act » Excluding Source or Sources » Justification for the use of options » Determination to exclude options in the evaluation of options » Authority for deviations from FAR, statutory requirements, or other restrictions » Determination to use one of the following contract types: <ul style="list-style-type: none"> - Cost Type Contracts - Fixed-price with economic price adjustment - Fixed-ceiling price with retroactive price re-determination - Firm-fixed-price, level-of-effort term - Time and materials or labor hour - Single award indefinite quantity-indefinite delivery contract. (NOTE: To avoid writing a separate determination, include rationale for a single award indefinite quantity- 	<p>FAR 4.803(a)(2)</p> <p>FAR 45.302-1</p> <p>FAR 32.402(c)</p> <p>FAR 16.603-3</p> <p>FAR 25.101 FAR 25.201</p> <p>FAR 6.202(a) and (b)</p> <p>FAR 17.205(a)</p> <p>FAR 17.206(b)</p> <p>FAR 1.4 FAR 4.803(a)(23)</p> <p>FAR 16.301-3 FAR 16.203-3</p> <p>FAR 16.206-3(d)</p> <p>FAR 16.207-3(d)</p> <p>FAR 16.601(c)(1)</p> <p>FAR 16.504(c)</p>

	<p>indefinite delivery contract in the written/narrative acquisition plan under Tab 2)</p> <ul style="list-style-type: none"> - Determination to exclude past performance as an evaluation factor - Determination to use FAR 52.215-2, "Audit and Records—Negotiation," with its Alternate III in contracts with foreign contractors - Authorization to award contract or class of contracts for sanctioned European Union end products, services, construction 	<p>FAR 15.101-2(b)(1)</p> <p>FAR 15.209(b)(4)</p> <p>FAR 25.602(b)(1)</p>
6	<p><u>Wage Determinations</u></p> <p>» Service Contract Act of 1965</p> <ul style="list-style-type: none"> - Request for Wage Determination - DOL Wage Determination - Inapplicability of Service Contract Act to <i>bona fide</i> executive, administrative, or professional services (as defined in Part 541 of Title 29, <i>Code of Federal Regulations</i>) - Exemptions from Service Contract Act <p>» Davis-Bacon Act</p> <ul style="list-style-type: none"> - DOL General Wage Determination - DOL Project Wage Determination (SF-308) 	<p>FAR 22.1007 FAR 37.107</p> <p>FAR 22.1101</p> <p>FAR 22.1003-3 FAR 22.1003-4</p> <p>FAR 22.403-1 FAR 22.404-2(a) FAR 37.301</p> <p>FAR 22.404-1(a)</p> <p>FAR 22.404-1(b) FAR 22.404-3(b)</p>
7	<p><u>Socioeconomic Considerations</u></p> <p>» Review by SADBUS/Set-Aside Determination</p> <p>» Small Business Set-Aside</p>	<p>FAR 4.803(a)(6)</p> <p>FAR 4.803(a)(6) FAR 19.5</p>

	<ul style="list-style-type: none"> - Total set-aside - Partial set-aside » Withdrawal or modification of set-aside determination » Contracting with the Small Business Administration (SBA) (the 8(a) program) <ul style="list-style-type: none"> - agency offering letter - SBA Acceptance » Small, Small Disadvantaged, and Women-Owned Small Business Subcontracting Plan. Reference FAR 19.7 for current thresholds <ul style="list-style-type: none"> - Request for SADBUS review of subcontracting plan - SADBUS review of and concurrence with subcontracting plan - Determination that no subcontracting opportunities exist » Certificate of Competency (COC) from SBA 	<p>FAR 19.502-2</p> <p>FAR 19.502-3</p> <p>FAR 19.506</p> <p>FAR 19.8</p> <p>FAR 19.804-2</p> <p>FAR 19.804-3</p> <p>FAR 19.7</p> <p>FAR 19.705-4(d)(6) FAR 19.705-5(a)(3)</p> <p>FAR 19.705-4(d)(6) FAR 19.705-5(a)(3)</p> <p>FAR 19.705-2(c)</p> <p>FAR 4.803(a)(15) FAR 9.105-2(a)(2) FAR 19.6</p>
<p>8</p>	<p><u>Contractor vs. Government Performance (OMB Circular A-76)</u></p> <p>» Decision to contract out a new <i>requirement</i> may be <i>partially</i> based on the use of an action awarded under a preferential acquisition program (e.g., FPI/UNICOR, NIB/NIS, GSA/FSS, SBA 8(a) Program, Small Business Set Aside) at a fair and reasonable price/cost. Decision to continue to contract out an <i>existing</i> contracted-out activity may be based on a determination that the current contract cost-price is fair and reasonable <i>and</i> that contractor performance is satisfactory. These decisions/determinations <i>shall</i> be documented in the contract file</p>	<p>OMB Circular A-76 FAR 7.3</p>

<p>9</p>	<p><u>Presolicitation Synopsis(es)/Notice(s)</u></p> <p>» Synopsis of proposed acquisition/contract action</p> <p>- Streamlined synopsis/solicitation for commercial item/service</p> <p>- Exception(s) to synopsis requirement</p> <p>- Determination that advance notice is not appropriate or reasonable</p> <p>- Special Situations (e.g., advance notices for research and development (R&D), proposed establishment of Federally funded research and development centers (FFRDC), special notices (i.e., business fairs, long-range acquisition estimates, pre-bid/pre-proposal conferences, the availability of draft solicitations or draft specifications for industry review and comment, and meetings), architect-engineering (A&E) services, effort to locate commercial sources under OMB Circular A-76 procedures, and competitive SBA 8(a) Program acquisitions).</p> <p>- Publicizing subcontracting opportunities</p> <p>» Presolicitation Notice</p> <p>» Paid Advertisements</p>	<p>FAR 4.803(a)(4)</p> <p>FAR 5.201</p> <p>FAR 12.603</p> <p>FAR 5.202(a)</p> <p>FAR 5.202(b)</p> <p>FAR 5.205</p> <p>FAR 5.206</p> <p>FAR 5.204</p> <p>FAR 15.201(c)(5)</p> <p>FAR 36.211</p> <p>FAR 36.213-2</p> <p>FAR 5.5</p>
<p>10</p>	<p><u>Solicitation Mailing List</u></p> <p>» List of firms or persons requesting copies of solicitation</p> <p>» List of firms or persons whose request for copies of the solicitation you denied, together with the reasons for denial</p>	<p>FAR 4.803(a)(5)</p> <p>FAR 14.204(b)</p>
<p>11</p>	<p><u>Solicitation Document and Review(s)</u></p> <p>» File the complete set of the solicitation, together with all enclosures and reference materials, under this Tab</p> <p>» Copies of any and all amendments to the original solicitation</p>	<p>FAR 4.803(a)(8)</p> <p>FAR 14.201</p> <p>FAR 15.203</p> <p>FAR 4.803(a)(8)</p>

	<p>» Review (comments) and resolutions and approval of the solicitation document by appropriate review board/officials</p> <p>» Review (comments) and resolutions of the solicitation document by the COR</p> <p>» Review (comments) and resolutions of the solicitation document by the Office of General Counsel</p>	<p>FAR 14.208 FAR 15.206</p>
12	<p><u>Exchanges with Industry Before Receipt of Bids or Proposals</u></p> <p>Records or documentation pertaining to exchanges with industry before receipt of bids or proposals should be filed under this tab. Examples of such exchanges include, but are not necessarily limited to:</p> <ul style="list-style-type: none"> - Presolicitation notices - Draft solicitations - Requests for Information (RFIs) - Presolicitation conference - Pre-bid or pre-proposal conference - One-on-one meetings with potential offerors - Site visits - Vendor inquiries concerning a specific solicitation 	<p>FAR 14.207 FAR 15.201</p>
13	<p><u>Record of Bids or Proposals</u></p> <p>» SF 1409 – Abstract of Offers (applies to sealed bids received in response to an Invitation for Bid (IFB). NOTE: Also use this for recording the receipt of proposals received in response to a Request for Proposal (RFP) for negotiated acquisitions.</p> <p>» OF 1419 – Abstract of Offers – Construction</p>	<p>FAR 4.803(a)(10)</p> <p>FAR 14.403(a) FAR 53.301-1409</p> <p>FAR 14.403(a) FAR 36.701(d) FAR 53302-1419</p>

	<p>» Record(s) of late bid(s)</p> <p>» Record(s) of late proposal(s), proposal modification(s), proposal revision(s), response(s) to requests for information</p> <p>NOTE: Complete an abstract even if you received only one bid or proposal</p>	<p>FAR 14.304(b)(1)</p> <p>FAR 15.208(f)</p>
14	<p><u>Unsuccessful Bids or Proposals</u></p> <p>Retain copies of unsuccessful bids or proposals. Make them part of the official contract file.</p> <p>At a minimum, maintain the following:</p> <ul style="list-style-type: none"> - Completed solicitation Sections A, B, and K (Uniform Contract Format); <u>or</u> SF 1449, Addendum B, and FAR Clause 52.212-3 (Offeror Representations and Certifications-Commercial Items) when acquiring commercial items/services - Technical and management proposals - Cost or price proposals - Any other page(s) of the solicitation that the offeror(s) altered or annotated 	<p>FAR 4.803(a)(10)</p> <p>FAR 4.805(b)</p> <p>FAR 4.803(a)(10)(i)</p> <p>FAR 4.803(a)(10)(ii)</p> <p>FAR 4.803(a)(10)(iii)</p> <p>FAR 4803(a)(10)(iv)</p>
15	<p><u>Successful Bid or Proposal</u></p> <p>Retain a complete copy of the successful bid (including any and all modification(s) made thereto) or proposal (including any and all modification(s) made thereto).</p> <p>As appropriate, file the following under this tab:</p> <ul style="list-style-type: none"> - Bid Guarantees - Performance and Payment Bonds (received by the Government subsequent to award, but prior to performance of work under the contract) - Evidence of insurance coverage (received by the Government subsequent to award, but prior to performance of work under the contract) 	<p>FAR 4.803(a)(10) and (11)</p> <p>FAR 4.805(b)</p> <p>FAR 15.001</p> <p>FAR 15.307</p> <p>FAR 4.803(a)(30)</p> <p>FAR 28.101-1</p> <p>FAR 4.803(a)(30)</p> <p>FAR 28.102</p> <p>FAR 28.103</p> <p>FAR 52.228-5</p> <p>FAR 52.228-8</p> <p>FAR 52.237-7</p>

17	<p><u>Price of Cost Analysis</u></p> <p>» Contract Specialist's <i>independent</i> price or cost analysis. Support this analysis by using one or more of the following:</p> <ul style="list-style-type: none"> - Acquisition office Cost Analysis and Pricing Report - Field Pricing Support (DCAA) - COR's/Technical Evaluation Panel's opinion/technical analysis relative to price/cost <p>» Cost realism analysis (required for cost-reimbursement contracts in order to determine probable cost of performance for <i>each offeror</i>)</p> <p>» Buy American Act – Unreasonable Price of Domestic End Product</p>	<p>FAR 4.803(a)(19)</p> <p>FAR 14.408-2 FAR 15.404</p> <p>FAR 4.803(a)(20) FAR 15.404-1</p> <p>FAR 4.803(a)(20) FAR 15.404-2(a)</p> <p>FAR 15.404-1(e)</p> <p>FAR 15.404-1(d)</p> <p>FAR 25.105(c)</p>
18	<p><u>Competitive Range Determination</u> (unless making award without discussions)</p>	<p>FAR 15.306(c)</p>
19	<p><u>Exchanges with Offerors After Receipt of Proposals (if applicable)</u></p> <p>Records of/documentation pertaining to exchanges with industry after receipt of proposals should be filed under this tab. Examples of such exchanges include:</p> <ul style="list-style-type: none"> » Clarifications (when award is made <i>without</i> discussions) » Communications with offerors <i>before</i> establishment of the competitive range » Exchanges with offerors <i>after</i> establishment of the competitive range 	<p>FAR 15.306</p> <p>FAR 15.306(a)</p> <p>FAR 15.306(b)</p> <p>FAR 15.306(d)</p>
20	<p><u>Best Value Tradeoff Process Analysis (if applicable)</u></p>	<p>FAR 15.101-1</p>
21	<p><u>Certificate of Current Cost or Pricing Data</u></p> <ul style="list-style-type: none"> » Fully executed/signed Certificate of Current Cost of Pricing Data. Reference FAR 15.403 for current threshold » Documentation in support of exception(s) to, or waiver from, requirement for submission of Certificate of Current Cost or Pricing Data 	<p>FAR 4.803(a)(17)\ FAR 15.406-2</p> <p>FAR 15.403-4(a)(1) FAR 15.406-2</p> <p>FAR 15.403-1(b) FAR 15.403-1(c)</p>

<p>22</p>	<p><u>Preaward Equal Employment Opportunity (EEO) Clearance (if applicable)</u></p> <p>» Request to appropriate regional DOL office for <u>non-construction</u> contracts and subcontracts at or above the current threshold.* This also includes modifications to contracts if the modification is at or above the current threshold* <u>or</u> a modification which will increase the aggregate value of a existing contract at or above the current threshold.*</p> <p>» Request to appropriate regional DOL office for <u>construction</u> contracts and subcontracts at or above the current threshold.* This also includes modifications to contracts if the modification is at or above the current threshold* <u>or</u> a modification which will increase the aggregate value of a existing contract at or above the current threshold.*</p> <p>*Reference FAR 22.804-2 and 22.805(a) for current thresholds</p> <p>» DOL EEO clearance/approval</p>	<p>FAR 15.403-1(c)(4)</p> <p>FAR 4.803(a)(16)</p> <p>FAR 22.805</p> <p>FAR 22.805(a)(1) and (2)</p> <p>FAR 22.804-2(b)</p>
<p>23</p>	<p><u>Disclosure of Lobbying Activities</u></p> <p>» Preaward disclosure of lobbying activities</p> <p>» Original disclosure form (OMB Standard Form LLL, "Disclosure of Lobbying Activities") submitted by the successful offeror</p>	<p>FAR 3.803(a)</p> <p>FAR 3.804</p> <p>FAR 52.203-11</p> <p>FAR 52.203-12</p>
<p>24</p>	<p><u>Responsibility Documentation (if applicable)</u></p> <p>» Contracting Officer's Determination of Nonresponsibility</p> <p>» Preaward Survey Report</p> <p>» Determination – Mistake before award</p> <p>» Sealed Bids – documentation of award, responsibility determination, reasonableness of price, fewer than three bids, equal low bids drawing</p>	<p>FAR 4.803(a)(12) and (14)</p> <p>FAR 9.105-2(a) and (b)</p> <p>FAR 4.803(a)(12)</p> <p>FAR 9.105-2(b)</p> <p>FAR 9.106-4</p> <p>FAR 14.407-3</p> <p>FAR 14.408-1</p> <p>FAR 14.408-2</p> <p>FAR 14.408-7</p>

		FAR 14.408-6(b)
25	<u>Summary of Award/Negotiation Memorandum</u> » Summary of Award (without discussion) » Summary of Award (with discussions/negotiations; therefore, a negotiation memorandum is required by FAR 15.406-3)	FAR 4.803(a)(14) FAR 9.105-2(a) and (b) FAR 4.803(a)(14) FAR 4.803(a)(21) FAR 9.105-2(a) and (b) FAR 15.406-3
26	<u>Source Selection Decision</u> » Source selection decision when Contracting Officer is the Source Selection Authority » Formal source selection procedures (FSSP) documentation or decision not to use FSSP	FAR 4.803(a)(13) FAR 15.303(a) FAR 15.308 FAR 15.303(a) FAR 15.308
27	<u>Preaward Review and Approval</u> » Review and approval of contracts » Review and approval of contract modifications » Review of contracts and modifications by the Office of General Counsel	FAR 4.803(a)(24)
28	<u>Notice to Unsuccessful Bidders/Offerors</u> » Pre-award notices - Pre-award notices of exclusion from competitive range - Pre-award notice for small business set-asides » Post-award notices	FAR 4.803(a)(28) FAR 14.409 FAR 15.503 FAR 15.503(a)(1) FAR 15.503(a)(3) FAR 14.409-1 FAR 15.503(b)
29	<u>Award Synopsis/Notice of Award</u> » FedBizOpps Synopsis » Public announcements » Notice of Award – Construction	FAR 4.803(a)(27) FAR 5.301(a) FAR 5.302 FAR 5.303(a) FAR 36.213-4

	<p>» Miscellaneous Award Information</p> <ul style="list-style-type: none"> - Office of Legislative and Constituent Affairs/Congressional Relations Staff – Basic contract awards (exclusive of options), contract modifications/delivery orders exceeding the threshold stated in FAR 5.303 - Notice to Senior Staff – Contracts awarded as determined by the Director, AGO - Publication of JFOC in GPE and the website of the agency, which may provide access to the justifications by linking to the GPE. 	<p>FAR 5.303(a)</p> <p>FAR 6.305(a)</p>
30	<p><u>Designation of COR</u></p> <p>» Copies of appointment memoranda to COR and signed acknowledgement of receipt of appointment memoranda</p> <p>» Copy of letter to successful offeror advising of responsibilities and limitations of Government personnel</p> <p>» Notice of Award – Construction</p>	<p>FAR 36.213-4</p>
31	<p><u>Miscellaneous Correspondence</u></p> <p>» Any miscellaneous correspondence not applicable under other tabs</p> <p>» Pre-award Protest(s) documentation</p> <ul style="list-style-type: none"> - Contracting Officer/Agency Protest - Protest to General Accounting Office (GAO) 	<p>FAR 33.1</p> <p>FAR 33.103</p> <p>FAR 33.104</p>
32	<p><u>Pre-award/Post-award Debriefing(s)</u></p> <p>» Summary of any pre-award debriefing(s) together with all memos, letters, and other documentation related to the debriefing(s)</p> <p>» Summary of any post-award debriefing(s) together with all memos, letters, and other documentation related to the debriefing(s)</p>	<p>FAR 4.803(a)(28)</p> <p>FAR 15.505 FAR 36.607(b)</p> <p>FAR 15.506</p>
33	<p><u>Contract File Folder Cross-Reference Index</u></p> <p>This tab shall contain a contract file folder cross-reference index when more than one contract file folder is used</p>	<p>FAR 4.803(a)(39)</p>

APPENDIX C – SAMPLE NOTIFICATION LETTER

MEMORANDUM FOR: XXXXXXXXXXXX
XXXXXXXXXXXX
XXXXXXXXXXXX

FROM: Helen Hurcombe
Senior Procurement Executive
and Director for Acquisition Management

SUBJECT: Office of Acquisition Management Acquisition Assessment

Office of Acquisition Management (OAM), Risk Management Division (RM) will lead the Acquisition Management Review (AMR) of each Bureau. The purposes of the review are to (1) assist BPOs with improving the operational efficiency and effectiveness of their organizations; (2) periodically provide an evaluation of the integrity of the procurement process, the achievement of Agency goals, assessment of the quality of career development within the contracting workforce, and assessment of compliance with statutory requirements by each contracting office; and (3) provide contracting offices with on-site assistance and training. RM will use random sampling of contracts which may include but is not limited to the following: Simplified Acquisition Procedures (SAP); General Services Administration (GSA); Indefinite Delivery/Indefinite Quantity (IDIQ); and Government Purchase Card (GPC) transactions.

If you have any questions, please contact Milt Dillard at (202) 482-3297.

Attachment

cc: XXXXXXXXXXXX
XXXXXXXXXXXX
XXXXXXXXXXXX

APPENDIX D – EVALUATION MATRIX

AMR EVALUATION MATRIX

AMR Team Member: _____

Date: _____

Contracting Activity Being Reviewed: _____

Document Number: _____

Description: _____

Contractor: _____

Value (\$): _____

Period of Performance/Delivery Schedule: _____

Options: _____

Repeat Finding (mark one): Yes No N/A

Observations
Recommendations

1

Document Number:

Description:

Contractor:

Value (\$):

Period of Performance/Delivery Schedule:

Options:

Repeat Finding (mark one): Yes No N/A

Observations
Recommendations

2

Document Number:

Description:

Contractor:

Value (\$):

Period of Performance/Delivery Schedule:

Options:

Repeat Finding (mark one): Yes No N/A

Observations

Recommendations

[Note to AMR team member: Copy format from above as needed.]

3

APPENDIX E – SAMPLE INTERVIEW QUESTIONNAIRES

ACQUISITION MANAGEMENT REVIEW (AMR)

Contract Management Survey/Questionnaire (Questions for Chief, Contracting Office)

1. Scope of the Contracting Function

a. How important does management consider the contracting activity in the Bureau's mission?

b. What role does the contracting office play in the overall strategic goals of the organization?

And, how is this accomplished? (Acquisition planning for major projects, identification of items/services for consolidated buys, etc.)

c. Is contracting properly aligned in the organization to ensure the separation of functions?

d. Does contracting participate in the formulation of policies on forecasting needs and inventory levels?

e. To what extent does contracting participate in product standardization in programs within the Bureau?

2. Evaluation of Contracting Managerial Personnel

a. Are contracting directors or chiefs adequately qualified/certified? _____ If not, explain. _____

b. Do they understand the mission and business entities of the Bureau/ organization?

c. Is there a mentoring program in place? _____ If so, what process does management use to oversee the program? _____

Contract Management Survey/Questionnaire (Continued)

d. Do they have adequate knowledge of relevant products/services and markets with which they deal? _____ If not, explain. _____

3. Organization

a. Does contracting have a current organizational chart? _____

b. Are all contracting activities centralized in the contracting office? _____
If not, where are they organizationally aligned?

c. Have clear lines of responsibility and authority been established?

d. Is sufficient authority delegated along with responsibility?

e. Is adequate organizational planning being done to meet future needs?

4. Personnel

a. Has the department developed adequate position guides and employee qualifications for its jobs?

b. How do employee qualifications reflect job requirements?

c. What job training is given to personnel?

d. What professional development training is given to personnel?

e. What planning and preparation are done for the advancement and replacement of personnel? _____

f. Are compensation levels adequate to retain competent personnel? _____ If not, explain. _____

Contract Management Survey/Questionnaire (Continued)

5. Policies

a. Is the contracting staff following policies and procedures in Department of Commerce 48 CFR Ch. 13 Commerce Acquisition Regulation (CAR)?

b. What policies and procedures have been adopted regarding market research?

c. Do Purchasing Agents/Contract Specialists utilize existing purchasing programs, e.g., GSA schedules, consolidated buys, prime vendor contracts?

d. Do Purchasing Agents/Contract Specialists utilize mandatory sources of supplies?

e. Is adequate planning done to permit effective contracting?

f. Do satisfactory policies exist for noncompetitive buying?

g. Do satisfactory policies exist for vendor identification, vendor evaluation and selection, and updated solicitation mailing list files?

h. Have policies been developed concerning terms of purchase, routing of shipments, types of inspection (including coordination with suppliers), and local purchases?

6. Procedures

a. Are all procedures uniform and have automated procedures been put in effect to the extent reasonably possible?

b. Are locally generated forms well designed, simple and effective? (Obtain a Copy)

Contract Management Survey/Questionnaire (Continued)

c. Are procedures in operation effectively coordinated with receiving activities, inventory control, receiving and storage, and transportation?

d. Are adequate procedures used to handle emergency orders _____ repetitive buys _____?

e. Are adequate procedures in place for controlling the receiving of goods and services and for handling loss and damage claims?

f. Do adequate procedures exist for receiving, storing, and distributing goods to requesting activities?

g. What methods and systems are in place to interface with warehouse and other activities for repetitive buys to serve customers more efficiently?

7. Records and Reports

a. Are adequate records maintained to facilitate effective:
BPA records _____ Ordering officer records _____
Purchase card logs _____ Purchase check logs _____

b. Do operating records contain necessary data for internal control purposes? _____
If not, explain. _____

c. What reports are submitted to purchasing management to facilitate managerial control in the area of vendor performance and purchasing responsiveness?

d. How frequently are such reports submitted? _____

e. What reports are submitted to the BPO / Supervisors?

8. Contractor Officer Representative (COR)

a. Are responsibilities tailored to match specific contract requirements? _____

b. Do appointment letters designate individuals by name and title of position?

c. Does the file contain COR acknowledgement of appointment? _____

d. Does the contracting officer properly disseminate original appointment and copies?

e. Are CORs acting within the boundaries of their authorized limits? _____

f. Does the file contain evidence the COR turned over all records upon contract completion? _____

**ACQUISITION MANAGEMENT REVIEW (AMR)
Contracting Personnel Questionnaire**

(Questions for Purchasing Agents, Procurement Analysts, and Contracting Officers and Specialists)

1. Is a well-developed Standard Operating Procedure (SOP) in use? _____ If not, explain. _____

2. Do requesting activities provide contracting with properly filled-out purchase requests with clear purchase description, authenticated signatures, reasonable delivery date, certification of funds, etc.?

3. Do you have the opportunity to visit the activities you support to gain a better understanding of their operations?

4. Are you able to offer suggestions to the requesting activities on better ways to purchase items, new vendors and/or catalogs which provide the supplies and services they use most often, proper procedures for completing the purchase request, and lead times for making timely purchases for their activities? Explain.

5. Do you assist the requesting activities in planning their requirements? _____ If so, explain.

6. Do you keep the requesting activities informed regarding delays, estimated delivery dates, etc., for supplies/services they have requested?

7. Explain how you work with suppliers to develop new methods and ideas that will help requesting activities cut costs and improve operations?

8. Do you change the specifications or requirements from requesting activities? If so, why?

9. Do you review and discuss specifications or requirements on requesting activities' purchase requests? Do you provide appropriate feedback, when necessary?

Contracting Personnel Questionnaire (Continued)

10. What type of training do you think would benefit you in your job?

11. Do you have any ideas for working more efficiently and effectively?

12. What are the challenges you are encountering?

13. Describe your working relationship with activity personnel?

14. Is the Chief of Contracting mentoring and performing oversight?

15. Additional comments and suggestions.

ACQUISITION MANAGEMENT REVIEW (AMR)
Requesting Activity Questionnaire
(Questions for Requesters, Project Officers, Program Managers)

1. Does the Contracting Office provide you with a list of published estimated Procurement Action Lead Time (PALT) required to process a purchase for the items/services you use? _____

2. Are procurement actions taken within the PALT? _____ If not, how long do they take? _____

3. Are you aware of the benchmark for processing procurement actions by your Contracting Office?

4. Do you believe the Purchasing Agents/Contract Specialists who handle your requirements know enough about the items or services to make wise contracting decisions? _____ If not, explain. _____

5. Is the quality of supplies or services that the Contracting Office obtains for your activity suitable to your needs? _____ If not, explain.

6. Does the Purchasing Agent/Contract Specialist who handles your requirements visit your activity? _____ If so, how often?

7. Are the Purchasing Agents/Contract Specialists familiar with and understand the operations of your activity? _____

8. Do the Purchasing Agents/Contract Specialists assist you in planning your requirements? Explain. _____

9. Do the Purchasing Agents/Contract Specialists keep you informed regarding delays, estimated delivery dates, etc., for suppliers or services requisitioned?

10. Do the Purchasing Agents/Contract Specialists occasionally bring or direct a supplier's representative to your activity to discuss procurements?

11. Are you always treated in a courteous, businesslike manner by contracting personnel? _____ If not, explain.

12. Do you believe that contracting personnel are taking advantage of cost-saving ideas and seeking recommendations from suppliers?

Requesting Activity Questionnaire (Continued)

13. Do you feel that contracting personnel continually urge suppliers to develop new methods and ideas that will help you cut your costs and improve your operations?

14. Do supplies requisitioned usually arrive when scheduled? _____ If not, does the Purchasing Agent/Contract Specialist notify you that delivery will be late?

15. How often do the Purchasing Agents/Contract Specialists arbitrarily change the quality specifications on your requests without consulting you?

16. How long does it take, on the average, for warehousing (if used) to fill your requisition for items that are carried in inventory? _____

17. Do you perceive that the contracting office management encourages the use of the Purchase Card? Purchase Check? Explain.

18. Are activities using the purchase card to the maximum extent possible?

19. Are you using an automated purchasing program to prepare your requests?
_____ Why or why not?

20. Any suggestions for improvements to the purchasing and contracting process?

APPENDIX F – REPORT FORMAT

ACQUISITION MANAGEMENT REVIEW REPORT FOR *(insert field office)*

I. INTRODUCTION

A Management Review was conducted at *(insert field office)* on *(insert date(s))*, by *insert name(s) of those performing review and the acquisition office*. *(Insert the number of files reviewed)*

The purpose of this review was to evaluate the effectiveness and efficiency of the contract office and provide suggestions to improve any noted weaknesses or deficiencies. The review offers a baseline assessment of current strengths and weaknesses within the office. *(Insert the percent of the files reviewed, for example: One hundred percent of the 277 available files were reviewed)* available files were reviewed for the period of *(insert period of the files reviewed)*.

The contracts were reviewed in the following six areas.

Acquisition Panning

Solicitation Preparation, Approval & Issuance

Receipt & Evaluation of Offers

Award Decision & Documentation

Administration & Management

Closeout

Interview comments

The rating criteria are as follows:

Outstanding: Performance or operation far exceeds mission requirements. Procedures and activities are carried out in a far superior manner and in accordance with the FAR or other internal agency policy . Resources and programs are very efficiently managed and are of exceptional merit few, if any deficiencies exist.

Satisfactory: Performance of operation meets mission requirements. Procedures and activities are carried out in an effective manner and in accordance with the FAR or other

internal agency policy. Resources and programs are efficiently managed. Minor deficiencies may exist, but do not impede or limit mission accomplishment.

Unsatisfactory: Performance of operation does not meet mission requirements. Procedures and activities are not carried out in an adequate manner and accordance with the FAR or other internal agency policy. Significant deficiencies exist, that preclude or seriously limit mission accomplishment.

SUMMARY OF REVIEW FINDINGS FOR PROCUREMENT

Strengths

Weaknesses

[NOTE:

Recommended corrective actions to reduce or eliminate weaknesses, timeframes for completion, official(s) responsible for implementation, and documentation needed.

(To be developed by reviewed office.)

APPENDIX G – SAMPLE REPORT TRANSMITTAL LETTER

MEMORANDUM FOR: XXXXXXXXXXXX
XXXXXXXXXXXX
XXXXXXXXXXXX

FROM: Helen Hurcombe
Senior Procurement Executive
and Director for Acquisition Management

SUBJECT: Office of Acquisition Management Acquisition Assessment

An Acquisition Management Review (AMR) was conducted at your procurement organization from [insert date] through [insert date]. The official AMR Report is enclosed.

We are pleased to see substantial improvements noted by the AMR team since the last review in the following areas:

XX
XX
XX
XX
XX
XX
XX

If you have any questions, please contact Milt Dillard at (202) 482-3297.

Attachment

cc: XXXXXXXXXXXX
XXXXXXXXXXXX
XXXXXXXXXXXX

APPENDIX H – SAMPLE APPOINTMENT LETTER

MEMORANDUM FOR: XXXXXXXXXXXX
XXXXXXXXXXXX
XXXXXXXXXXXX

FROM: Helen Hurcombe
Senior Procurement Executive
and Director for Acquisition Management

SUBJECT: Appointment to Acquisition Management Review Team

You are hereby appointed as a member of the Acquisition Management Review (AMR) team. Your appointment indicates the value I place on your expertise and your ability to impart wisdom and counsel to the team leader while conducting these reviews. You are joined in this endeavor by experts like yourself in other disciplines.

For your information, I have attached the AMR Team memberships as well as the AMR Procedures Guide which will be used to implement the AMR process. I look forward to working with you and receiving your recommendations as the team conducts its reviews.

If you have any questions, please contact Milton Dillard at (202) 482-3297.

Attachment:

1. AMR Procedures Guide
2. AMR Team members

cc:

XXXXXXXXXXXX