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Command Policy

CONTRACTING UNIT



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This checklist reflects Command requirements for managers to prepare for and conduct internal reviews in the Contracting functional area. The Command IG will also use the checklist during applicable assessments. It applies to all HQ AFSPC subordinate units.

SUMMARY OF REVISIONS

This checklist has been revised in its entirety and must be completely reviewed.

1. References refer to the lowest level regulation/instruction/guidance; compliance with all higher level regulation/instruction/guidance is also required, though the specific reference may not be listed. Contract file tab numbers are included to correspond with AFSPC Form 33, **Solicitation/Contract File Folder Index**, as appropriate. Questions have been identified as critical "C" and non-critical "NC." IAW AFI 90-201, **Inspector General Activities**, para 2.1.3., critical items are those items that, if not complied with, could result in significant legal liabilities, penalties or significant mission impact.

2. AFSPC checklists will not be supplemented. Units produce their own stand-alone checklists as needed to ensure an effective and thorough review of the unit program. Units are encouraged to contact the Command Functional OPR of this checklist to recommend additions and changes deemed necessary. For an accurate assessment, review of multiple contract files is required. A checklist should be completed for each file reviewed addressing only applicable areas. The number of files reviewed should be determined at the field level taking into consideration results of previous inspections and the commander's areas of concern. **See Attachment 1.**

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Director of Mission Support

ATTACHMENT 1
CONTRACTING UNIT

Table A1.1. Checklist.

SECTION 1: MANAGEMENT		C/NC	TAB	YES	NO	NA
1.1. Is there an effective and on-going customer education program that explains contracting procedures, helps develop customer acquisition packages, keeps communication links open and stresses the importance of maintaining proper business relationships with contractors?	AFI 64-109, Para. 3.3.15.	NC				
1.2. Are Contracting Officer (CO) review boards conducted and documented in accordance with (IAW) regulations?	AFSPCFARS 5301.603-1	C (15)				
1.3. Has an individual been designated to manage reportable audits and are established procedures followed to report, track and resolve reportable audits in a timely manner?	AF Procedures Guide: Contract Audit Follow-up Apr 03	NC				
1.4. Are ratification packages prepared IAW the HQ AFSPC Guide?	AFSPCFARS 5301.602-3(c)(7)	C (14)				
1.5. Do written policies and procedures for in-house solicitation and solicitation amendment reviews exist and are they being followed?	AFSPCFARS 5301.9502(d)	NC				
1.6. Is there evidence in the file that the Review Committee and Commander/Director of Business Operations (CC/DBO) reviewed the file and all comments were resolved prior to submission to HQ AFSPC/PK?	AFSPCFARS 5301.9502 (a) and AFSPCFARS 5301.102(e)	NC				
SECTION 2: TRAINING PROGRAM		C/NC	TAB	YES	NO	NA
2.1. Are all personnel in acquisition coded positions obtaining and documenting the required Continuous Learning (CL) training?	SAF/AQ Policy Memo dated 19 Nov 02; AF Acquisition Workforce CL Policy	NC				
2.2. Do all personnel attend mandatory formal training courses to meet the requirements of the Acquisition Professional Development Program (APDP) and their current job requirements?	DoD 5000.52M DAWIA	NC				

TRAINING PROGRAM (Con't)		C/NC	TAB	YES	NO	NA
2.3. For enlisted personnel, has an effective on-the-job training program been established, executed and continuously monitored?	AFI 36-2201V3 CFETP 6C0X1, Section A, Para. 2.4 & Part Two	NC				
2.4. Are COPPER CAP interns receiving the required training?	AFI 36-602, Para. 3.8.	NC				
2.5. Does the Contracting Office have a training program in place for Contractor Performance Assessment Reporting System (CPARS)? http://www.cpars.navy.mil	Air Force Guide to CPARS, Sec- tion B, para 4.1	NC				
SECTION 3: SMALL BUSINESS (SB) PRO-GRAM		C/NC	TAB	YES	NO	NA
3.1. Is there evidence the unit SB specialist (SBS) establishes and maintains a system for monitoring program metrics, including verifying accuracy of award information in DD Form 350, Individual Contracting Action Report and DD Form 1057, Monthly Contracting Summary of Actions \$25,000 or Less ?	AFI 64-201, Para. 3.3.; DFARS 219.201(e)(viii)	NC				
3.2. Is there evidence the unit SBS establishes and maintains an outreach program to locate and help SB sources?	AFI 64-201, Para. 3.3.	NC				
3.3. Is there an alternate SBS appointed in writing by the wing commander or vice commander with the understanding that only this person can act for the primary SBS during temporary absences?	AFSPCFARS 5319.201(d)	NC				
SECTION 4: GOVERNMENT PURCHASE CARD (GPC)		C/NC	TAB	YES	NO	NA
4.1. Is a training program established for cardholders, check writers and billing officials that covers at least all of the required subject areas and are all cardholders trained at least annually?	AFI 64-117, Para 4.3.3.3.	NC				

GOVERNMENT PURCHASE CARD (GPC) (Con't)		C/NC	TAB	YES	NO	NA
4.2. Was surveillance by the Agency/ Organization Program Coordinator (A/OPC) accomplished on billing official, cardholder and convenience check accounts accomplished in accordance with regulatory guidance and were all negative findings resolved IAW the AFI?	AFI 64-117, Para. 3.6.1.5.	C (2)				
4.3. Is TD Form 1099 MISC, Statement for Recipients of Miscellaneous Income , data captured and reported for services paid by convenience check?	AFI 64-117, Para. 3.6.1.11.	C (11)				
4.4. Is there a process to collect data from cardholders on transactions over \$2,500 so that the proper DD Form 350/1057 reports are filed?	DFARS 204.670-2 AFI 64-117, Para. 2.1.2.3	NC				
SECTION 5: SYSTEMS		C/NC	TAB	YES	NO	NA
5.1. Is there a Disaster Recovery Plan for the Standard Procurement System (SPS) database that includes proper off-site storage of database backups and is periodic validation of database recovery performed?	AFSPC Info Ltr 2004-04, dated 9 Jan 04	C (1)				
5.2. Have all DD Forms 350/1057 been transmitted to J001?	DFARS 204.670-3, Para. (a)&(b)	NC				
SECTION 6: QUALITY ASSURANCE (QA) PROGRAM (QAP)		C/NC	TAB	YES	NO	NA
6.1. Is the CONS CC updating the installation commander on the health of the installation's contract services program?	AFI 63-124	NC				
6.2. Has an effective QA Surveillance Plan or Performance Plan for service contracts been established and maintained?	FAR 37.602-2, AFI 63-124	C (34)				
SECTION 7: SIMPLIFIED ACQUISITIONS		C/NC	TAB	YES	NO	NA
7.1. Are all actions over \$2,500 competed or does documentation support a fair and reasonable price?	FAR 6.101 & 13.104	C (5)				

SIMPLIFIED ACQUISITIONS (Con't)		C/NC	TAB	YES	NO	NA
7.2. Are purchases anticipated to exceed \$2,500 but not to exceed \$100K reserved for SB unless the CO dissolves the set-aside?	FAR 19.502-2(a) & 13.003(b)	NC				
7.3. Were quotes or offers evaluated inclusive of transportation charges from the shipping point of the supplier to the delivery destination?	FAR 13.106-2(a)(1) (ii)	NC				
7.4. Are unpriced purchase orders (UPO) written and monitored IAW regulations?	FAR 13.302-2(b) & (c) FAR 13.302-5(c)	NC				
7.5. Are Blanket Purchase Agreements (BPA) established and executed IAW regulations?	FAR 13.303	C (36)				
SECTION 8: CONTRACT FILE		C/NC	TAB	YES	NO	NA
8.1. Did the CONS obtain reasonable written assurance of funds availability prior to release of any solicitation? <i>NOTE: Examples include certified purchase request (PR), planning PR, letter indicating funding availability, etc.</i>	AFSPCFARS 5332.703-9500	NC	1			
8.2. Does the file contain a current cost estimate (or a preliminary independent cost estimate for Simplified Acquisition of Base Engineering Requirements (SABER)) and is it marked "For Official Use Only"?	FAR 36.203, 4.803, 7.105(b)(5) & 7.302 DFARS 236.203(c)(i)	NC	1			
8.3. For any requirement in the FAR to publish a notice, did the contracting officer transmit the notices to the Government Point of Entry (GPE) and was it synopsised IAW regulations?	FAR 5.1	NC	2			
8.4. Were awards exceeding \$25,000 synopsised, unless an exception applies?	FAR 5.301	NC	2			
8.5. Are contract line items IAW policy?	DFARS 204.7103 and SAF Policy Ltr, 29 Jul 03, "UID of Tangible Items"	NC	3 25			

CONTRACT FILE (Con't)		C/NC	TAB	YES	NO	NA
8.6. For service acquisitions, has the designated official certified the statement of work, including Service Delivery Summary, as performance based and is the contract being monitored IAW the Management of Acquisition of Services Programs (MOASP)?	AFPEO/CM, HQ AFSPC and Wing MOASPs AFFARS 5337.5	C (6)	3 25			
8.7. Do purchase descriptions, which contain reference to one or more brand name products, contain the salient characteristics of the item and state "or equal"?	FAR 11.104(b)	NC	3			
8.8. Did the SB specialist review the requirement if it exceeded \$10,000 and is it documented on a DD Form 2579, Small Business Coordination Record ?	DFARS 219.201(d)10(A) & (B) AFI 64-201, para 3.3.	C (22)	6			
8.9. Was the extent of the market research commensurate with acquisition factors such as urgency, estimated dollar value, complexity and past experience?	DFARS 210	NC	7			
8.10. Was the Acquisition Strategy Panel (ASP) conducted IAW regulations?	AFSPCFARS 5307.104-90	NC	7			
8.11. Does the Acquisition Plan (AP), for all negotiated acquisitions other than those using simplified acquisition procedures, comply with regulatory requirements?	DFARS 207.103, 207.105; AFFARS 5307.104, 5307.104-90 & -92, and 5307.105; and AFSPCFARS 5307.103, 5307.104-92, and 5307.107	NC	7			
8.12. If the firm-fixed price contract was incrementally funded, was it approved by the Head of the Contracting Agency (HCA)?	DFARS 232.703-1(1)(iii)	NC	7			
8.13. Is the appropriate wage determination incorporated in contracts and purchase orders?	DFARS 222.4 & 222.10	C (25)	8 111			

CONTRACT FILE (Con't)		C/NC	TAB	YES	NO	NA
8.14. For a combined synopsis/solicitation, was the synopsis prepared IAW regulations?	FAR 12.603	NC	9			
8.15. Where competition is restricted, are appropriate justifications and approvals for other than full and open competition properly documented IAW regulations?	FAR 6.302 & all sups	C (8)	10			
8.16. When restricted items, as end items or component, (food, clothing, specialty metals and hand or measuring tools) are purchased and they have not been grown, reproduced, reused or produced in the U.S., did the CO perform the required market research, notify SAF/AQCK and receive a written waiver from the SAF?	10 USC 2533a (Berry Amendment) AFFARS 5325.7002	C (17)	11			
8.17. Has a Determination/Decision Document (DDD) and appropriate review and approval been accomplished at the appropriate level for services that provide Advisory and Assistance Services (A&AS) support?	FAR 2.101, 37.204, 37.205 SAF/AQX Ltr, 23 Jul 01 AFSPC/CV Ltr, 1 Oct 01	NC	11			
8.18. Are Economy Act purchases supported by a Determination and Finding (D&F) IAW regulations?	FAR 17.503	C (18)	11			
8.19. Prior to providing motor vehicles to contractors, did the contracting officer comply with Chapter 12 of AFI 24-301, Vehicle Operations, for additional requirements?	AFFARS 5345.304	NC	11			
8.20. In instances where service contracts cross fiscal years, are they IAW regulations?	DFARS 237.106(2), 232.703-3	C (23)	11			
8.21. For contracts requiring personal services, does the file include a D&F?	AFSPCFARS 5337.104	C (24)	11			

CONTRACT FILE (Con't)		C/NC	TAB	YES	NO	NA
8.22. On multiple award contracts, did the contracting officer give every awardee a fair opportunity to be considered for a delivery order or task order exceeding \$2,500 unless the CO has determined one of the statutory exceptions applies?	FAR 16.505(b) DFARS 216.505-70 SAF/AQC Memo, Use of Multiple Award Contracts for Services-Plan- ning for Success (2 Nov 01)	NC	11			
8.23. If solicitation responses exceed project limitations and the Architect-Engineer (A-E) is not required to redesign, is there a written determination in the file explaining why redesign was not required?	FAR 36.609-1(a)	NC	11			
8.24. When foreign end items are purchased, is there a determination approved at the appropriate level?	DFARS 225.103	C (19)	11			
8.25. Are D&Fs for Letter Contracts or Undefined Contractual Actions (UCAs) approved at the required level and are UCAs definitized within the required time frames?	AFSPCFARS 5317.7403 & 5317.7404	NC	11 57			
8.26. Are liquidated damages included in construction projects estimated at over \$500,000 except cost-plus-fixed-fee contracts and are they assessed when the contractor fails to meet delivery schedules?	DFARS 211.503	NC	12			
8.27. In Source Selection Plans (SSP) and Request for Proposal (RFP) Section M, are the evaluation factors/subfactors IAW regulations?	AFFARS 5315.304, 5315.305	NC	14			
8.28. If a requirement exceeded the CO's authority, was appropriate clearance received?	AFSPCFARS 5301.9001AFSP CFARS 5301.601(a)(ii)	C (3)	22 23			
8.29. Was a Solicitation Review Board (SRB) convened prior to release to public/industry for acquisitions requiring formal solicitation that have a total estimated value exceeding \$1M total acquisition value or was a waiver obtained?	AFSPCFARS 5301.9503	NC	22			

CONTRACT FILE (Con't)		C/NC	TAB	YES	NO	NA
8.30. Is Integrity run against all modifications and awards prior to release in SPS and is the documentation contained within either the electronic or paper contract file?	AF PD2 Business Procedures para 1.7.8.	C (13)	22			
8.31. Was legal review obtained?	AFSPCFARS 5301.602-2 (C)(i)	C (7)	23			
8.32. When the contract contains both Fixed-Price and Cost-Reimbursement line or sub-line items, was the contract type for each line item or subline item identified?	DFARS 215.204-2(g)	NC	25			
8.33. When a contract contains more than one accounting classification citation, are Accounting Classification Reference Numbers (ACRNs) assigned?	DFARS 204.7107	NC	25			
8.34. Does the solicitation state and was award made within the statutory cost limitation for construction?	DFARS 236.570(b)(4)	C (20)	25			
8.35. Do contracts that have both a SB subcontracting plan and an award fee provision include achievement of SB subcontracting goals in the award fee plans?	AFSPCFARS 5319.705-9500 (b) & (d)(4)	NC	25			
8.36. Were orders placed against Federal Supply Schedules (FSS) conducted IAW regulations?	DFARS 208.404	NC	25			
8.37. Was proposal evaluation conducted IAW the factors set forth in RFP Section M?	AFSPCFARS 15.304	C (9)	30			
8.38. For actions \$10M or more, was an Office of Federal Contract Compliance Program (OFCCP) Pre-award Clearance received? <i>NOTE: Excluding construction or contractor listed in the OFCCP National Pre-award Registry</i>	FAR 22.805	NC	36			
8.39. For acquisitions with large business contractors exceeding \$500,000 (\$1M for construction), does the contract contain an acceptable subcontracting plan, which contains the written coordination of the SBS?	FAR 19.702(a)(1)	NC	39			

CONTRACT FILE (Con't)		C/NC	TAB	YES	NO	NA
8.40. Is the contract or modification amount for design services within the 6 percent statutory limit of the estimated construction cost?	DFARS 236.606-70	C (21)	41			
8.41. Was past performance Construction Contract Administration Support System (CCASS) data evaluated for construction acquisitions exceeding \$1M?	DFARS 236.201(c)(2) (A)	NC	41			
8.42. Does negotiation documentation adequately address the principle elements of the negotiated agreement and fully support the "fair and reasonable" determination?	AFSPCFARS 5315.406-3	C (4)	41 43			
8.43. For contractual actions requiring certified cost or pricing data, is there a Certificate of Current Cost or Pricing Data in the file and is information reflected in the Price Negotiation Memorandum (PNM) as required by the FAR?	FAR 15.406-2 AFSPCFARS 5315.406-3	C (28)	42			
8.44. Are all contractual actions including awards and modifications over \$5M reported (DD-LA-(AR)1279) to SAF/LLP at least three work days before the date of the proposed contract award?	AFFARS 5305.303 AFSPC Info Ltr, 2004-05	C (16)	55			
8.45. Once offerors are notified of the apparent successful offeror in a SB set-aside acquisition (or when using Historically Underutilized Business Zone procedures), did the CO allow a period of five business days prior to contract award in order to allow any size challenges?	FAR 19.302(d)(1)	C (35)	56			
8.46. Has the CO issued a preliminary notice within required timelines and written a determination IAW regulations prior to exercising an option period?	FAR 17.207	NC	57			
8.47. Was a DD Form 350 completed correctly upon obligation, deobligation or when the contract is established?	DFARS 204.670-3 (a)	NC	58			
8.48. Is a copy of the post award conference report in the file?	DFARS 242.503-2, 242.503-3	NC	79			

CONTRACT FILE (Con't)		C/NC	TAB	YES	NO	NA
<p>8.49. For construction contracts between \$25,000 and \$100,000, were 2 or more of the payment protections listed at 28.102-1(b)(1) obtained in an amount equal to 100% of the original contract price?</p> <p>If the contract price increased, was an additional amount equal to 100% of the increase obtained?</p>	FAR 28.102-2(c)	C (29)	80			
<p>8.50. For construction contracts exceeding \$100,000, were payment and performance bonds received in the amount of 100% of the original contract price?</p> <p>If the contract price increased, was an additional amount equal to 100% of the increase obtained?</p>	FAR 28.102-2(b) DFARS 228.102-1	C (30)	80			
<p>8.51. When required, is consent of surety obtained?</p>	FAR 28.106-5	C (31)	80			
<p>8.52. Is there proof of insurance documentation that the contractor is providing at least the kinds and minimum amounts of insurance required in the contract?</p>	FAR 28.3	C (32)	81			
<p>8.53. Are Quality Assurance Evaluators (QAE) trained (Phase II Training) on specific requirements of contracts assigned, to include Delivery Orders (DO) issued against General Services Administration (GSA) schedules, and is the contractor informed by the CO of the names, duties, and limitations of authority for all QA personnel assigned to the contract?</p>	AFI 63-124	NC	88			
<p>8.54. For construction contracts designed by Architect-Engineering (A-E) firms, did the CO make a written statement of the reasons for the decision to recover or not recover the costs from the firm if changes to construction contracts were due to an A-E design deficiency?</p>	FAR 36.608, 36.609-2	NC	92			
<p>8.55. Are Standard Forms 294, Subcontracting Report for Individual Contracts, being received from the contractors, reviewed by the CO and SB Specialist and sent to HQ AFSPC/PKM?</p>	FAR 19.702(a)(1) AFSPC Info Ltr 2002-04	NC	98			

CONTRACT FILE (Con't)		C/NC	TAB	YES	NO	NA
8.56. Has contractor performance been monitored against the SB subcontracting plan and was action taken when contractors failed to make a good faith effort towards achieving the goals identified in the SB subcontracting plan?	FAR 19.705-7	NC	98			
8.57. If the contractor falls behind the approved construction progress schedule, has the appropriate action been taken to protect the government interest?	FAR 52.236-15	C (33)	100 101			
8.58. Were progress payments properly computed and based on the percentage of completion?	FAR 32.103, 52.232-5	C (12)	100 116			
8.59. Are payrolls reviewed to ensure contractor compliance with applicable labor provisions?	DFARS 222.406-6 FAR 22.406-4	C (26)	104 105			
8.60. Were labor interviews and investigations with the prime contractor and his subcontractor's employees conducted?	FAR 22.406-7	C (27)	107			
8.61. When a collective bargaining agreement represents contractor employees, was a "Notice to Interested Parties" mailed to the incumbent contractor and the collective bargaining agent?	FAR 22.1010(a)	NC	112			
8.62. Are all utility service invoices reviewed on a monthly basis to ensure the accuracy of utility service invoices?	FAR 41.401	NC	119			
8.63. Are all utility accounts, with annual values exceeding the simplified acquisition threshold, reviewed on an annual basis to ensure that the utility supplier is furnishing the services to each facility under the utility's most economical, applicable rate and to examine competitive markets for more advantageous service offerings?	FAR 41.401	NC	119			
8.64. Was a release of claims and all other final documentation obtained from the contractor and civil engineer before final payment?	FAR 32.908(b), 52.232-27(a)(1) (ii)	C (10)	120 121			

CONTRACT FILE (Con't)		C/NC	TAB	YES	NO	NA
8.65. Has a DD Form 2626, Performance Evaluation (Construction) , been prepared and input into CCASS for all construction contracts over \$500,000 (\$10,000 if terminated for default)?	DFARS 236.201 Info Ltr 2002-03	NC	122			
8.66. Was a timely, quality evaluation (reviewed by the CO) input in the CPARS? Is a completed copy of the CPARS Quality Checklist in the contract file documentation? <i>NOTE: CPARS are source selection sensitive and not normally maintained in the contract file; Tab 123 should indicate that the evaluation was completed and cross-reference the automated CPARS.</i> http://www.cpars.navy.mil	FAR 42.15 Air Force Guide to CPARS AFFARS 5342.15, AFSPCFARS 5342.15	NC	123			
8.67. Does the file contain a DD Form 2631, Performance Evaluation (A-E) , for all A-E contracts and/or delivery/task orders which exceed \$25,000 and has it been input into the A-E Contract Administration Support System (ACASS) database?	DFARS 236.604 AFSPC Info Ltr 2002-03	NC	124			
8.68. Has the DD Form 2631(ACASS) been updated to include evaluation of the design AFTER construction completion?	DFARS 236.604 AFSPC Info Ltr 2002-03	NC	124			
8.69. Was a DD Form 1594, Contract Completion Statement , and all closeout actions executed and accomplished within time standards as required?	DFARS 204.804	NC	125 126			