

Management System: Contracting and Financial Assistance

Subject Area: Review Thresholds and Protocol

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1.0 Introduction

The Office of Environmental Management (EM) Head of Contracting Activity (HCA) has authorized the Assistant Director, Office of Contracting (OOC), to establish a process for review and approval of proposed sales, procurement, financial assistance, and subcontract actions. The procedures provided in this Subject Area provide the monetary review thresholds and protocols for processing actions in OOC. In a case when an unauthorized commitment is identified, this Subject Area provides the process for obtaining documentation about the transaction, and the review and submittal of a ratification package to the HCA.

2.0 Contents

The table below defines procedures that will be utilized to support the Environmental Management Consolidated Business Center (EMCBC) OOC in performing the required document reviews.

Procedures	Procedure Content
1. IP-540-15 , Review and Approval of Proposed Sales, Procurement, Financial Assistance, and Subcontract Actions	<ul style="list-style-type: none">• Establishes the monetary review thresholds and processes to be utilized for independent reviews of proposed sales, contract, financial assistance, and subcontract actions.• Establishes the process for obtaining waivers from independent review.• Also see HCA Directive 1.6, <i>EM Procurement Review</i>, HCA Directive 1.8, <i>Contractor Compensation and Salaries Approval</i>, and HCA Directive 1.11, <i>Contracting Competition Advocate</i>, below in Section 4.0 for additional EM HCA requirements for reviews.

Procedures	Procedure Content
2. IP-540-24 , Ratification of Unauthorized Commitments	<ul style="list-style-type: none"> Establishes the process to prepare a ratification package when an unauthorized commitment has been identified and submit the package through the independent review process to the HCA.

3.0 Exhibits/Forms

None

4.0 Related Information

- [HCA Directive 1.6](#), EM Procurement Review
- [HCA Directive 1.8](#), Contractor Compensation and Salaries Approval
- [HCA Directive 1.11](#), Contracting Competition Advocate

5.0 Requirements

Document	Title
48 CFR Parts 1-53	Federal Acquisition Regulation
48 CFR Parts 900-970	DOE Acquisition Regulation
DOE Acquisition Guide Chapter 1.1	Acquisition Regulations System
DOE Acquisition Guide Chapter 71.1	Review and Approval of Contract and Financial Assistance Actions
DOE Acquisition Guide Chapter 71.2	Performance-Based Incentives and Related Approvals
Memorandum, J. Surash to D. Hess, 7/27/2012	Environmental Management Head of Contracting Activity Implementation

6.0 Definitions

Term	Definition
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Business Clearance Review	A formal DOE process which requires certain procurement and financial assistance actions (solicitations, contracts, major contract changes, etc.) to be reviewed and approved by the DOE Senior Procurement Executive before execution.
Competitive acquisition	“Competitive acquisition” as used in these procedures includes both competitive contracts and competitive orders awarded under General Service Administration (GSA) Multiple Award Schedule (MAS) contracts, Government-wide Acquisition Contracts (GWACs) and DOE multiple award Indefinite Delivery/Indefinite Quantity (IDIQ) contracts.
Non-competitive acquisition	“Non-competitive acquisition” as used in this procedure includes both non-competitive contracts and non-competitive orders awarded under General Service Administration (GSA) Multiple Award Schedule (MAS) contracts, Government-wide Acquisition Contracts (GWACs) and DOE multiple award Indefinite Delivery/Indefinite Quantity (IDIQ) contracts.
Procurement	The term “procurement” as used in these procedures applies to procurement transactions including competitive acquisitions, non-competitive acquisitions, contract modifications (excluding incremental funding modifications), interagency agreements, and consent to subcontract.
Ratification	The act of approving an unauthorized commitment by an official who has the authority to do so.
Strategic Integrated Procurement Enterprise System (STRIPES)	STRIPES are a web-based information technology system, used for awarding and administering DOE’s acquisition and financial assistance instruments.
Unauthorized commitment	An agreement that is not binding solely because the Government representative who made it lacked the authority to enter into that agreement on behalf of the Government. Some examples of unauthorized commitments are as follows: Program Office orders supplies/services before a contractual or assistance document is issued; Program Office directs contractor or grantee to deviate from the contract or grant; or Contracting Officer exceeds warranted authority or purchase cardholder exceeds delegated authority.