



Department of Energy  
Washington, DC 20585

DEC 04 2007

MEMORANDUM FOR RALPH E. HOLLAND  
ASSISTANT DIRECTOR FOR CONTRACTS  
ENVIRONMENTAL MANAGEMENT CONSOLIDATED  
BUSINESS CENTER

FROM: J. E. SURASH   
DEPUTY ASSISTANT SECRETARY FOR  
ACQUISITION AND PROJECT MANAGEMENT

SUBJECT: ENVIRONMENTAL MANAGEMENT HEAD OF  
CONTRACTING ACTIVITY IMPLEMENTATION

The Department's Senior Procurement Executive approved the establishment of a single Environmental Management (EM) Head of Contracting Activity (HCA) on November 15, 2007. The delegation includes specific authorities related to Acquisition, Assistance, Sales, Property and appointment of Contracting Officers. Delegated authorities for Acquisition and Assistance within established thresholds, and Sales will be reflected in individual contracting officer warrants.

A Delegation Table is attached that shows activities that are delegated to you. In addition, you are delegated procurement authority assigned to the Head of Contracting Activity in the Federal Acquisition Regulation, the Department of Energy Acquisition Regulation, and Departmental directives and guidance, exclusive of those explicitly referenced as non-delegable, specifically reserved by the Procurement Executive Delegation for the EM HCA, or reserved through subsequent guidance from me, as EM HCA.

As a part of the review and approval process, I plan to introduce a system of communication that includes issuance of EM HCA Directives, EM HCA News Updates and other guidelines, including the attached Directive for re-issuance of Contracting Officer Warrants. I understand that your office has specific processes and procedures in place for the review and approval of acquisition and contract actions within previously delegated dollar thresholds. I request that these policies and procedures be provided to my office for review within 14 days of receipt of this memorandum. In the interim, I expect you to follow existing policies and procedures in your respective review and approval processes for acquisition and contract actions.

Please submit packages for re-issuance of Contracting Officer warrants and review and approval process documents within 14 days of receipt of this memorandum to Ms. Kay Rash, Office of Procurement Planning (EM-51), U.S. Department of Energy, 1000 Independence Avenue, SW, Washington, D.C. 20585. Existing warrants remain in effect until new warrants are executed and reissued.



Independence Avenue, SW, Washington, D.C. 20585. Existing warrants remain in effect until new warrants are executed and reissued.

I look forward to working with you as we move toward full implementation of the single EM HCA. If you have questions, please call me at (202) 586-6382. Alternatively, if your questions are related to pre-award topics, please contact Mr. Anthony Grayson, Director, Office of Procurement Planning, at (202) 586-1230. If you have post-award questions, please contact Mr. Barry Smith, Director, Office of Contract and Project Execution at (301) 903-4482.

#### Attachments

cc:

J. Owendoff, EM-3

J. Craig, Director, EMCBC

E. Simpson, MA-60

**U. S. DEPARTMENT OF ENERGY (DOE)  
OFFICE OF ENVIRONMENTAL MANAGEMENT (EM)  
EM Head of Contracting Activity Directive**

**Title: EM HCA Approval of Contracting Officer Warrants**

**Directive:** EM HCA 1.1

**Revision Number:** 0

**Effective Date:** November 15, 2007

**1. Policy:**

- a. It is the policy of the Office of Environmental Management (EM) to follow requirements for designation of Contracting Officers within the Department of Energy as set forth in DOE Order 541.1B.
- b. It is the policy of EM to develop a common set of business practices for approval and issuance of Contracting Officer warrants for Department of Energy sites under the cognizance of EM.
- c. In accordance with the EM Head of Contracting Activity (HCA) Implementation Plan and DOE Order 541.1B, the SF 1402, Certificate of Appointment, must be signed by the HCA. As a result, current Contracting Officer Warrants at EM sites must be reissued under the signature of the EM HCA.
- d. It is EM policy that its acquisition workforce is trained in accordance with the skill-based acquisition curriculum established under DOE Order 361.1A and that Contracting Officers at EM sites maintain their skills by meeting the annual continuing education requirements set forth in the Order. EM Contracting Officers working on complex, large dollar value, or specialized acquisitions must have specialized training and experience commensurate with their duties.
- e. In addition to demonstrated qualifications, EM Contracting Officers must also exhibit personal integrity, a commitment to customer service and mission accomplishment, sound business judgment, and adherence to acquisition regulations and principles of procurement professionalism to receive or maintain warrants.

**2. Objective:**

- a. To establish a consistent process under the single EM HCA for requesting and issuing Contracting Officer warrants for EM sites.

3. **Applicability:**

This Directive applies to contracting activities at the EM Consolidated Business Center (CBC), the Carlsbad Field Office, the Portsmouth/Paducah Project Office, the Office of River Protection, the Richland Operations Office, and the Savannah River Operations Office. Although EM provides significant contract funding at the National Nuclear Security Administration's Albuquerque Service and Nevada Test Site, the Idaho Operations Office, and the Oak Ridge Operations Office, the policy and procedure outlined in this directive are not applicable to these sites.

4. **Requirements:**

The following summarizes the requirements established for approval and issuance of Contracting Officer warrants at EM sites:

- a. All Contracting Officers must meet the qualification requirements set forth in DOE Order 361.1A and DOE Order 541.1B, as applicable.
- b. The Procurement Director at each EM site and the Assistant Director for Contracts at EM CBC must submit a memorandum requesting appointment (Appendix A) and a Recommendation for Contracting Officer Appointment (Appendix B) to the EM HCA stating the candidate meets the above requirements. The memorandum and Recommendation shall be accompanied by required documentation that permits the EM HCA to determine appropriateness and sufficiency of the candidate's qualifications.

5. **Required Documentation:**

The following documentation is required for the initial appointment and re-issue of a Contracting Officer warrant by the EM HCA:

- a. Current training and experience summaries from the Acquisition Career Management Information System (ACMIS, [www.acmis.gov](http://www.acmis.gov)) indicating the training, certification, and experience requirements are met as appropriate to the authority requested. ACMIS data shall be current and no more than 14 calendar days older than the final date of the accompanying Recommendation for Appointment.
- b. If Contracting Officer data is not available from ACMIS, a completed Personal Qualification Statement (Appendix C) must be provided and include:
  - (1) Formal education completed and degree(s) earned;
  - (2) Course work completed in business administration, law, accounting, and related fields;
  - (3) Specialized courses completed in Government acquisition, assistance instruments, and/or sales;

- (4) A schedule of courses required to meet minimum qualifications, if any;
  - (5) Professional affiliations;
  - (6) Previous related experience;
  - (7) Previous appointments as a Contracting Officer and the appointing organizations;
  - (8) A copy of the most recent Acquisition Career Development Program Certificate (ACPD); and
  - (9) A statement indicating why the above information is not available from the ACMIS system
- c. The SF 1402 Certificate(s) (Appendix D) shall be submitted in draft with all identifying data completed except Signature, Title, Date, and warrant Number (No.). The EM HCA will issue the final certificate.
- (1) In addition to the identifying information, the requesting office shall add the designation, "For Administration Only," for individuals whose authority will be limited to post-award or administrative contracting activities or financial assistance; and
  - (2) The requesting office shall insert any other requested limitations or insert "None".

6. **Responsibilities:**

In addition to the Responsibilities defined in DOE Order 541.1B, the following responsibilities are defined for this Directive:

a. EM HCA

- (1) Appoints Contracting Officers after review of qualifications; signs and distributes all SF 1402 certificates. This authority may not be redelegated;
- (2) Issues related Directives as required.

b. Procurement Directors

- (1) Submit initial and reissue requests for EM HCA approval of Contracting Officers warrants through the Field Office/Site Manager to the EM HCA. Requests must include supporting evidence of qualification and completed documents Appendix A through D. Subsequent requests for administrative changes to the warrant are not required to be submitted through the Field Office Manager, assuming the Procurement Director acknowledges in the request memo that there are no substantive changes in the warrant and the Contracting Officer's conduct and performance meet appropriate standards, and training requirements are up-to-date;

- (2) Maintain up-to-date records of active Contracting Officers and retired EM Contracting Officer warrants
- (3) Include on the warrant request the identification of the limitations of each Contracting Officer nominee.
- (4) Ensure that Contracting Officers are afforded opportunities to participate in training required to maintain their ACPD certification;
- (5) Ensure distribution of warrant documents in accordance with DOE Order 541.1B

7. **Reference:**

- a. EM HCA Implementation Plan, August 2007
- b. DOE Order 541.1, Appointment of Contracting Officers and Contracting Officer Representatives
- c. DOE Order 361.1A, Acquisition Career Development Program, Chapter 1, Contracting and Purchasing Career Development Program Module Revised DOE Core Curriculum

8. **Directive Point of Contact:**

Ms. Kay Rash, EM-51, (202) 586-5420, kay.rash@em.doe.gov

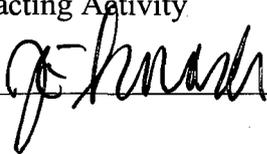
9. **Appendices:**

- A. Request Memorandum
- B. Recommendation for Appointment
- C. Personal Qualification Statement for Appointment as Contracting Officer
- D. SF 1402, Certificate of Appointment

**APPROVED:**

J. E. Surash  
EM Head of Contracting Activity

Signature: \_\_\_\_\_



Date: \_\_\_\_\_

12/4/2007

MEMORANDUM FOR J. E. SURASH  
DEPUTY ASSISTANT SECRETARY  
FOR ACQUISITION AND PROJECT MANAGEMENT

FROM: (NAME)  
FIELD PROCUREMENT DIRECTOR  
(FIELD SITE NAME)

SUBJECT: Request for Approval of Contracting Officer Warrants

In accordance with Federal Acquisition Regulation Subpart 1.602-3, Department of Energy Order 0541.1 B, and Office of Environmental Management HCA Directive 1.1, you are requested to approve Contracting Officer warrants for the following individuals at the indicated levels:

<u>Name</u>	<u>Warrant Level Requested</u>
-------------	--------------------------------

A Recommendation for Appointment validating the need for a Contracting Officer appointment and documentation of the qualifications of the individuals nominated is attached for each candidate. By submission of this request for warrant approval, I certify that the named individuals meet the applicable qualification requirements and have completed the necessary continuing education requirements under DOE 0 541.1, Appointment of Contracting Officers and Contracting Officer Representatives.

If you have questions related to this request, please call me at (Phone Number).

Attachments

cc: Name, Site Manager

APPENDIX B

RECOMMENDATION FOR CONTRACTING OFFICER APPOINTMENT

The following findings and determinations have been made pursuant to applicable laws and regulations:

1. There is a clear and convincing need to appoint a contracting officer.
2. (Name) \_\_\_\_\_, the nominated contracting officer, is an employee of or is detailed or is detailed to the U. S. Department of Energy.
3. The nominee contracting officer will occupy the following organizational position: \_\_\_\_\_ which is responsible for the processing of procurement instruments and/or sales.
4. The nominee's attached Personal Qualifications Statement or Acquisition Career Management Information System (ACMIS) record has been evaluated and either (check as applicable):
  - The nominee's experience, education, and training meet the established DOE minimum qualifications; or
  - The required waiver is attached.
5. The nominee's knowledge of the Federal Acquisition Regulation, the Department of Energy Acquisition Regulation, the Department of Energy Financial Assistance Rules, and other applicable laws, Executive Orders, and regulations affecting procurement instruments and/or sales, as appropriate, is adequate for the requested appointment.
6. The nominee's business acumen, judgment, character, reputation, and ethics are sound.
7. The nominee has completed an Executive Branch Confidential Financial Disclosure Report (SF-450), Executive Branch Public Financial Disclosure Report (SF 278) and has been cleared by the Confidential Financial Disclosure Report (OGE-450) and has been cleared by Local Field Counsel.
8. The nominee is well qualified for the appointment.

Procurement Director:

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

CONCUR:

Site Manager Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

APPROVED:

J. E. Surash, EM HCA

Signature: \_\_\_\_\_

Date: \_\_\_\_\_



APPENDIX C

PROVIDE INFORMATION ON RELATED EXPERIENCE:

PROVIDE INFORMATION ON PREVIOUS APPOINTMENTS AS A CONTRACTING OFFICER AND THE APPOINTING ORGANIZATION:

POSITION TITLE	AGENCY	DATES SERVED

CERTIFICATION:

I CERTIFY that all of the statements made in this Statement are true, complete, and correct to the best of my knowledge and belief, and are made in good faith.

SIGNATURE:

DATE SIGNED:

\_\_\_\_\_  
Nominee Contracting Officer

# CERTIFICATION OF APPOINTMENT

Under authority vested in the undersigned and in conformance with  
Subpart 1.6 of the Federal Acquisition Regulation

is appointed

## Contracting Officer

for the

## United States of America

Subject to the limitations contained in the Federal Acquisition Regulation and to the following:

Unless sooner terminated, this appointment is  
effective as long as the appointee is assigned to:

\_\_\_\_\_  
(Organization)

\_\_\_\_\_  
(Agency/Department)

\_\_\_\_\_  
(Signature and Title)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(No.)