

Technical Instruction Office of Contracting	Title: Organization of Contract, Financial Assistance and Interagency Agreement Files		Approved: Signature on File Peer Reviewed: Done
	No.: TI-OOC-001	Rev.: 1	Date: August 21, 2008

1.0 Purpose:

The purpose of this technical instruction is to specify a uniform method for filing documents related to contract actions, financial assistance, and interagency agreements.

2.0 Applicability:

This technical instruction applies to all EMCBC Office of Contracting (OOC) contract actions (including task orders and delivery orders), financial assistance, and interagency agreements. This technical instruction does not apply to simplified acquisitions.

3.0 References:

- 3.1 IP-540-15, Review and Approval of Proposed Sales, Procurement, Financial Assistance, and Subcontract Actions
- 3.2 FAR 4.8, Government Contract Files
- 3.3 DEAR 904.803, Contents of Contract Files
- 3.4 FAR 15.204, Contract Format
- 3.5 FAR 14.201-1, Uniform Contract Format
- 3.6 IP-243-03, Identifying, Filing and Maintaining Records
- 3.7 IP-540-10, Closeout of Inactive Award Instruments

4.0 Technical Instruction:

- 4.1 The documentation contained in Office of Contracting files shall be sufficient to constitute a complete history of the transaction for the purpose of the following:
 - Providing a complete background as a basis for informed decisions at each step in the acquisition or financial assistance process;

- Supporting actions taken;
- Providing information for reviews and investigations; and
- Furnishing essential facts in the event of litigation or congressional inquiries.

4.2 The files to be established for procurements include:

- A file for cancelled solicitations;
- A file for each contract; and
- A file such as a contractor general file, containing documents relating, for example, to 1) no specific contract; 2) more than one contract; or 3) the contractor in a general way (e.g., contractor’s management systems, past performance, or capabilities).

4.3 In order to create uniformity of contract, financial assistance, and interagency agreement files, the Contracting Officer/Contract Specialist (CO/CS) shall assemble, file and tab EMCBC files as stated in this technical instruction and attached checklists.

4.4 Pre-Award Procurement Files

4.4.1 Pre-award Procurement Files contain the following general categories of documents: planning and pre-solicitation, solicitation, evaluation of offers, negotiation, reviews and approvals, award notifications, and award documents. Pre-Award Procurement Files shall be filed in compliance with Attachment A, “Contract File Content Checklist,” and the eight sections for the file will be assembled in folders as follows (from back to front):

- | | | |
|-----|--------------|----------------------------|
| (1) | Section I | PLANNING & PRESOLICITATION |
| (2) | Section II | SOLICITATION |
| (3) | Section III | EVALUATION |
| (4) | Section IV | NEGOTIATION |
| (5) | Section V | REVIEW/APPROVALS/CLEARANCE |
| (5) | Section VI | PRE-EXECUTION DOCUMENTS |
| (6) | Section VII | AWARD DOCUMENTS |
| (7) | Section VIII | POST-AWARD DOCUMENTS |

Within each section, documents may be further separated by tabs if desired (e.g., Request for Proposals (RFP) and RFP amendments).

4.4.2 If the solicitation is cancelled, the Pre-Award Procurement File shall contain all documents created or obtained up until cancellation and the reason for cancellation. The Pre-Award Procurement File shall be labeled with “CANCELLED SOLICITATION”, the solicitation number,

and folder(s) contents. The following is an example of a cancelled solicitation file label:

CANCELLED SOLICITATION
DE-RP30-08CC48956
Section I-III, Pre-planning, Solicitation and Evaluation

Each file shall be identified with one typed or printed label applied to the front cover and one to the bottom inside edge of the back cover of each folder.

- 4.4.3 If the solicitation results in an award(s), the solicitation number will be changed to an award number and the Pre-Award Procurement File will become the Post-Award Procurement File and be labeled in compliance with Section 4.5.1 below.

4.5 **Post-Award Procurement Files**

- 4.5.1 Procurement files shall be filed in compliance with Attachment A, “Contract File Content Checklist,” and each file shall be identified with one typed or printed label applied to the front cover and one to the bottom inside edge of the back cover of each folder. File labels shall contain the appropriate description of the procurement (i.e. CONTRACT, TASK ORDER or DELIVERY ORDER), the business instrument number, contractor or awardee name, and folder contents. The following is an example of a post-award procurement file label:

TASK ORDER
DE-AT30-08CC00054
XYZ Company, Inc.
Invoices

- 4.5.2 Bulky data, such as technical proposals, etc., and post-award documents (modifications, subcontracts, correspondence, invoices, etc.) shall be organized as outlined in the Post-Award Contract Filing Guide. An example of a general Post-Award Contract Filing Guide is illustrated in Attachment B and may be modified based on the organization of contract administration documents. A Post-Award Contract Filing Guide shall be included in all contract and task order/delivery order files.

4.6 **Financial Assistance Files**

- 4.6.1 Financial Assistance Files shall be filed in compliance with Attachment C, “Financial Assistance File Content Checklist,” and the eight sections for the file will be assembled in folders as follows (from back to front):

- (1) Section I PLANNING & PRESOLICITATION
- (2) Section II SOLICITATION
- (3) Section III EVALUATION
- (4) Section IV NEGOTIATION
- (5) Section V REVIEW/APPROVALS/CLEARANCE
- (5) Section VI PRE-EXECUTION DOCUMENTS
- (6) Section VII AWARD DOCUMENTS
- (7) Section VIII POST-AWARD DOCUMENTS

Within each section, documents may be further separated by tabs if desired.

- 4.6.2 Financial Assistance files shall be filed in compliance with Attachment C, “Financial Assistance File Content Checklist,” and each file shall be identified with one typed or printed label applied to the front cover and one to the bottom inside edge of the back cover of each folder. File labels shall contain FINANCIAL ASSISTANCE, the business instrument number, awardee name, and folder contents. The following is an example of a Financial Assistance file label:

FINANCIAL ASSISTANCE
DE-FG30-08CC00054
State Water Resources Control
Modifications

4.7 Interagency Agreement Files

- 4.7.1 Interagency Agreement files shall be filed in compliance with Attachment D, “Interagency Agreement File Content Checklist,” and each file shall be identified with one typed or printed label applied to the front cover and one to the bottom inside edge of the back cover of each folder. File labels shall contain INTERAGENCY AGREEMENT, the business instrument number, awardee name, and folder contents. The following is an example of an Interagency Agreement file label:

INTERAGENCY AGREEMENT
DE-AI30-08CC00054
US Army Corps of Engineers
Modifications

- 4.8 Review and Approval of Contract, Financial Assistance and Interagency Agreement Files. Initial review and approval of each file shall be completed in compliance with the action thresholds contained in local implementing procedure IP-540-15, “Review and Approval of Proposed Sales, Procurement, Financial Assistance, and Subcontract Actions.” The OCC Review Team shall perform

periodic reviews of contract, financial assistance and interagency agreement files and compliance with this technical instruction.

- 4.9 Closeout of award files shall be completed in compliance with IP-540-10, “Closeout of Inactive Award Instruments,” and retained in compliance with the Office of Contracting File Plan.

5.0 Records:

- 5.1 Records that may be generated as a result of this technical instruction are identified as follows and are maintained by the Office of Contract Management. All records shall be maintained and stored in accordance with EMCBC IP-243-03, “Identifying, Filing and Maintaining Records.”

- 5.1.1 “Contract File Content Checklist,” TI-OOC-01-F1 – Attachment A

- 5.1.2 “Financial Assistance File Content Checklist,” TI-00C-01-F2 – Attachment C

- 5.1.3 “Interagency Agreement File Content Checklist,” TI-00C-01-F3 – Attachment D

6.0 Flowchart:

- 6.1 Attachment E

CONTRACT FILE CONTENT CHECKLIST			
Contract/Task Order Number:		Contractor:	
Document	File# Tab#	Document	File # Tab#
SECTION I (PLANNING & PRESOLICITATION)		SECTION III (EVALUATION) - CONTINUED	
Procurement Request (PR)		Competitive Range Briefing and Determination	
Small Business Review		Notice to Firms Not in Competitive Range	
Acquisition Plan/Strategy Memoranda		Source Selection Decision Briefing and Statement	
Independent Government Cost Estimate		EEO Compliance Review	
Rating Plan		FOCI Determination	
Government Furnished Property		Pre-Award Debriefings	
Justification for Other than Full and Open Competition (JOFOC)		Correspondence and Memos Relating to Section III	
Other PR Package Documents			
Determinations (T&M Contract Type D&F, Options, etc.)		SECTION IV (NEGOTIATION)	
FedBizOpps Sources Sought Synopsis/Market Research Information		Pre-negotiation Position/Approval	
Source List/Requests for Solicitation		Price Negotiation Memorandum	
Source Selection Authority Delegation & Team Designation		Certificate of Current Cost or Pricing Data/Waiver	
Draft Solicitation, Comments and Responses		Requests for Final Proposal Revisions	
Draft Contract Management Plan		Correspondence and Memos Relating to Section IV	
Draft Fee Plan			
Correspondence and Memos Related to Section I		SECTION V (REVIEWS/APPROVALS/CLEARANCE)	
		Procurement Office Review, Resolution of Findings and Approval	
SECTION II (SOLICITATION)		Legal Review and Resolution of Findings	
72-hour notification and FedBizOpps Announcement and Amendments		HQ Review, Resolution of Findings and Business Clearance Approval	
Solicitation and Amendments			
Solicitation Review Comments and Resolution of Findings		SECTION VI (PRE-EXECUTION DOCUMENTS)	
Source Evaluation Team Certifications		Correspondence (Contract Transmittal Letter and Contractor Acceptance/Exception(s) Letter)	
Proposal/Bid Conferences		72-hour Congressional Notification	
No Proposal/Bid Notices (Intent to Propose)			
Abstract of Bids		SECTION VII (AWARD DOCUMENTS)	
Wage Rate Information		Definitive Contract	
Disposition of Late Proposals		Task/Delivery Orders	
Oral Presentation Schedule and Correspondence		Letter Contracts	
Other Correspondence and Memos Relating to Section II			
		SECTION VIII (POST AWARD DOCUMENTS)	
SECTION III (EVALUATION)		FPDS-NG Reporting Documentation (required for all contracts and task/delivery orders)	
Successful Proposal/Bid		Award Synopsis	
Unsuccessful Proposal/Bid*		Press Release	
Technical Evaluation and Worksheets		Notification to Unsuccessful Offerors/SB Status Challenges	
Pricing Support/Waiver/Audits		Post-Award Debriefings	
Source Evaluation Team Report (Initial and Final)		Protests and Related Correspondence and Memos	
Debarred, Ineligible or Suspended Bidder's List Check		Post-Award Orientation	
Federal Contractor Veterans' Employment Report (SF VETS-100)		Contract File Plan (required for all contracts and task/delivery orders)	
Patents, Copyrights, Data		Closeout Documentation	
Small Business Subcontracting Plan			
		Contracting Officer/Contract Specialist (typed/printed name) Date	
*Copy of each proposal filed separately in File No(s).			

POST-AWARD CONTRACT FILING GUIDE TEMPLATE

Contractor Name
Contract No. _____
FY____ File Guide

A. Original Contract and Modifications

B. Modification Back-up Documentation

C. Post-Award Administration

- C.1 Correspondence Received from Contractor
 - C.1.1 Contractual
 - C.1.2 Technical (may be further broken down by work element)
 - C.1.2.1 (example: Facilities Demolition)
 - C.1.2.2 (example: Facilities Transfer)
 - C.1.2.3 (example: Utility Systems)
- C.2 Chronological File for Contracting Officer
 - C.2.1 Correspondence Signed by Contracting Officer
 - C.2.2 Correspondence Signed by Contractor
- C.3 Subcontracting
 - C.3.1 Purchasing System
 - C.3.1.1 Surveillance Plans
 - C.3.1.2 HQ Reviews/Approvals
 - C.3.2 Business Systems Review
 - C.3.3 Advance Notifications
 - C.3.4 Consents to Subcontract
 - C.3.5 Balanced Scorecard
- C.4 Fee Payments
- C.5 Personnel/Industrial Relations/Workforce Restructuring/Pensions
- C.6 Financial
 - C.6.1 Budget
 - C.6.2 Invoices
 - C.6.3 Project Cost Reports
- C.7 Directives
- C.8 Litigation
- C.9 Audits
- C.10 Property/Equipment
- C.11 Cost Accounting Standards Board Disclosure
- C.12 Foreign Ownership Control or Influence (FOCI)
 - C.12.1 Contract Security Classification Specification Form
- C.13 Make/Buy
- C.14 Change Control/Baseline
- C.15 Security

- C.16 Freedom of Information Act (FOIA) Requests
- C.17 Congressional Inquiries
- C.18 Records Management
- C.19 Key Personnel
- C.20 Contracting Officer Representative (COR) Documentation
- C.21 GSA Vehicles
- C.22 Government Furnished Services and Items (GFSI)

D. Reports

- D.1 Program Committee Reports
- D.2 Subcontracting Reports/Goals
- D.3 Deliverables

FINANCIAL ASSISTANCE FILE CONTENT CHECKLIST			
Award Number:		Recipient:	
Amendment Number:			
Document	File # Tab#	Document	File # Tab #
SECTION I (PLANNING & PRESOLICITATION)		SECTION IV (NEGOTIATION)	
1. Procurement Request (PR)		1. Pre-negotiation Plan	
2. Business Strategy/Planning Documents		2. Post Negotiation Summary	
3. Transaction Determination: Program Principal Purpose Determination (PPPD); Statement of Substantial Involvement		3. Correspondence and Memos Relating to Section IV	
4. Statement of Objective/Work & Project Management Plan			
5. Financial Assistance Reporting Checklist & Distribution List			
6. Cost Sharing Documentation or Waiver of Cost Participation in Cooperative Agreements		SECTION V (REVIEWS/APPROVALS/CLEARANCE)	
7. Non-competitive Justification		1. Procurement Office Review, Resolution of Findings and Approval	
8. Other PR Package Documents		2. Legal Review and Resolution of Findings	
9. Special Program Regulations or Guidance		3. HQ Review, Resolution of Findings and Business Clearance Approval	
10. Catalog of Federal Domestic Assistance (CFDA) Number		4. Civil Rights Pre-Award Review	
11. List of Potential Applicants			
12. Source Selection Authority Delegation & Team Designation			
13. Correspondence and Memos Related to Section I			
		SECTION VI (PRE-EXECUTION DOCUMENTS)	
		1. Correspondence (Transmittal Letter)	
SECTION II (SOLICITATION)		SECTION VII (AWARD DOCUMENTS)	
1. Federal Register Notice; Other Publications		1. Notice of Financial Assistance Award with Attachments	
2. Solicitation (if separate from Federal Register) or Letter Request		2. Amendments	
3. Solicitation Review Comments and Resolution of Findings			
4. Source Evaluation Team Certifications (Confidentiality and Conflict of Interest)			
5. Proposal Log			
6. Other Correspondence and Memos Relating to Section II			
		SECTION VIII (POST AWARD DOCUMENTS)	
		1. Individual Procurement Action Report (IPAR) Documentation (Report to PADS)	
SECTION III (EVALUATION)		2. Post Award Orientation Documentation	
1. Selected Application, Assurances and Certifications, and Financial Statements		3. Invoices, Payments and Correspondence	
2. Technical Evaluations and Worksheets (Objective Merit Review)		4. OSTI Notifications: Announcement of DOE Scientific and Technical Information, and Notice of Energy R&D Project	
3. Pricing Support/Waiver/Audits/Credit Report/Dun & Bradstreet		5. Financial Status Reports	
4. Source Evaluation Team Report		6. Performance Reports	
5. Debarred, Ineligible or Suspended Bidder's List Check		7. Other Deliverable Reports	
6. Source Selection Decision Briefing and Statement		8. Patents	
7. Notice to Unsuccessful Applicants		9. Property	
8. Unsuccessful Applications and Debriefings*		10. Post-Award Audits	
9. Correspondence and Memos Relating to Section III		11. Correspondence and Memos Related to Contract Administration	
		12. Closeout Documentation	
		Contracting Officer/Contract Specialist (Typed/Printed Name)	
		Date	

*Copy of each application filed separately in File No (s).

INTERAGENCY AGREEMENTS
FILE CONTENT CHECKLIST

AGREEMENT NO: _____

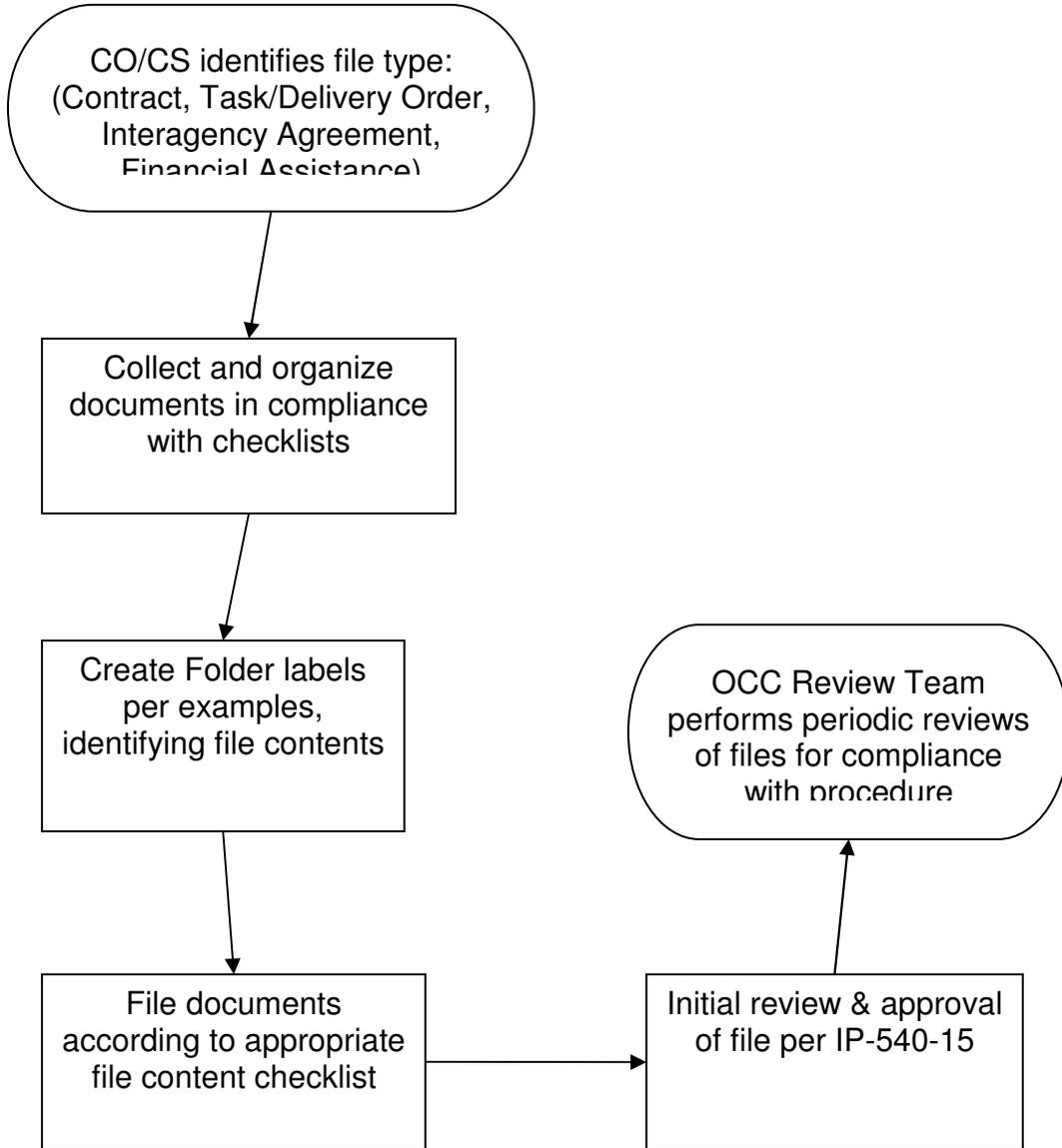
OTHER FEDERAL AGENCY: _____

CONTRACTOR: _____

Mark the block with a file and tab number if the document is required, or mark the block "N/A" if the document is not required.

File #/ Tab#	Interagency Agreements Documentation
	Other Federal Agency's Funding Document (i.e., IAG, MIPR)
	Acceptance of Other Federal Agency's Funding Document (i.e., IAG, MIPR)
	Approved Procurement Request-Authorization (DOE F 4200.33)
	Statement of Work and Performance Schedule
	Reporting Requirements
	Determination of Findings – Required by FAR 17.503
	Proposal with Independent Cost Estimate
	Technical Evaluation of Cost
	Reporting Requirements
	Negotiation with Servicing Agency Documentation
	Interagency Agreement Document
	PADS Reporting Documentation
	Correspondence

Organization of Contract, Financial Assistance and Interagency Agreements Flowchart



EMCBC RECORD OF REVISION

DOCUMENT

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
1	Original Issue	All	8/21/08