

ACQUISITION SERVICES AND REVIEW BRANCH

DELEGATED ACQUISITION REFERENCE GUIDE (DARG)

Regulatory and Procedural Findings Checklist

I. APPLIES TO ALL FILES

A. REGULATORY

1. All (OM) / (FSS) BPA Call(s) over \$3,000, Other than small business was chosen without Justification. FAR 13.003(b) (1), FAR 19.502-2(a)
2. Acquisition files were not available for review. FAR 13.106-3(b) & FAR 4.805 (b)
3. Order(s) / Modifications missing from file. FAR 13.106 -3(b) & FAR 4.805 (b) (3)
4. Purchase Request missing from file. FAR 13.106 - 3 (b) & FAR 13.303-5 (e) (1-5)
5. Purchase Request lacking minimum required information. FAR 13.303-5(e)(1)-(5),
6. Orders contain evidence of after-the-fact purchasing or late entry of orders into NBS. FAR 1.602-3(b)
7. No indication that Mandatory sources were considered. OR Mandatory sources not checked, or no documentation of check. FAR 8.002 & FAR 8.7
8. Line item incompletely described or catalog number not on order. FAR 10.002(a)
9. Clearances were not obtained or obtained

after-the-fact. FAR 1.602-1(b), NIH Manual Issuances, 6307-3

10. Incorrect object class code.
FAR 13.303-5(e) (4), NIH Accounting Manual, 1930...Codes, chapter 1935

11. Approver exceeded authority.
FAR 1.602-1(a)

12. Order was signed by an individual without authority. FAR 1.602-3(a)

13. Split orders. FAR 13.003(c) (1) (2)

14. Prior year funds obligated on order for current/future year performance.
FAR 32.703-(3),

15. Incomplete purchase description.
FAR 13.303-5(e) (1)-(5), FAR 11.002

16. No indication that action(s) were reported in the Departmental Contracts Information System (DCIS-FPDS-ng) for orders over \$3,000. FAR 4.604, HHSAR 304.602.

B. PROCEDURAL

1. Clearance information was not annotated in **RMKS:** field, and / or within the acquisition file.
NIH Manual Issuances 6307-3

2. **LPRICE:** and **UPRICE:** fields were used incorrectly.

3. Improper sharing of NBS IDs and Keywords.

4. File did not contain a Personal Appeal item justification

5. The Purchase Request(s) did not contain the printed / typed / or signed NAME of the requestor.

**II. APPLIES TO OPEN MARKET BPA PURCHASES OVER \$3,000
(MICRO PURCHASE THRESHOLD)**

A. REGULATORY

1. Open Market / BPA Call(s) over \$3,000, not competed / no justification. FAR 13.104
2. Open Market / BPA Call(s) over \$3,000, Inadequate / No price reasonableness determination. FAR 13.106-3(a) (1) (2) (I)-(vii), FAR 13.202(3) (I) (ii) (b),

III. APPLIES TO MICRO PURCHASES (UNDER \$3,000)

A. REGULATORY

1. Failure to rotate sources under \$3,000. FAR 13.202(a) (1)
2. No indication that Mandatory source(s) were considered/ no documentation of checking sources. FAR 8.002
3. Evidence of order splitting to stay under the purchase limit. FAR 13.003 (c)

**IV. APPLIES TO FEDERAL SUPPLY SCHEDULE
BPA Call(s) OVER \$3,000**

A. REGULATORY

1. FSS BPA order(s) over \$3,000, Best Value vendor on FSS not determined and / or the file was not annotated. FAR 8.404(b) (2)

V. APPLIES TO PURCHASE ORDER(S) UNDER \$3,000

A. REGULATORY

1. Inadequate / no description provided on purchase orders for Professional Service Order(s) (PSO) Honorarium / Fee for Services. FAR 37.102(e),

2. Acquisition file for Professional Service(s) purchase order(s) did not contain FAR Clause 52.223-6, Drug Free Workplace, or indicate that FAR Clause 52.223-6, was provided to vendor. FAR 23.505

B. PROCEDURAL

1. Line Item(s) for a PSO purchase order was not in correct format

2. Approval was not obtained to pay honorarium exceeding the daily rate of \$200.00.