



**CONTRACTING OFFICER'S TECHNICAL
REPRESENTATIVE (COTR)
PROGRAM**

SEPTEMBER 2008

Table of Contents

SECTION 1 – Introduction	Page 3
A. Overview and Purpose.....	3
B. Authorities.....	3
C. Definitions.....	3
D. Applicability	4
SECTION 2 – COTR Nomination and Appointment	Page 5
A. Nomination Responsibilities.....	5
B. Appointment Responsibilities.....	6
SECTION 3 – COTR Certification Program	Page 8
A. Certification Responsibilities	8
B. Certification Requirements	8
C. Certification Training Requirements.....	9
D. Certification Application Process	14
E. Certification Fulfillment Process	14
F. Continuous Learning Requirements.....	15
SECTION 4 – ACMIS	Page 16
A. Responsibilities	16
B. Registration Process and Log-in Guidance.....	16
SECTION 5 – Appendices A-H	Page 17
Appendix A, Sample COTR/ACOTR Nomination Memorandum	18
Appendix B, Sample COTR Appointment Memorandum.....	20
Appendix C, FAC-COTR Competency Definitions.....	26
Appendix D, Technical Competencies to Suggested Curriculum.....	28
Appendix E, FAC-COTR Application	29
Appendix F, FAC-COTR Fulfillment Request Form.....	33
Appendix G, Guidance on Continuous Learning	37
Appendix H, Frequently Asked Questions	40

SECTION 1 – Introduction

A. Overview and Purpose

1. Contracting Officer's Technical Representatives (COTRs) serve the federal government as business leaders, helping to ensure government-contractor business relationships are mutually beneficial and provide exactly those products and services for which the government has contracted. There are three central facets of a COTRs role: (1) a technical information conduit, (2) a contracting and regulatory liaison, and (3) a business partnership manager. The changing nature of acquisition work places significant importance on COTR activities. It is essential that all COTRs understand their responsibilities and are provided with appropriate support, training experiences, and developmental tools to effectively perform these responsibilities.
2. The purpose of this policy is to provide guidance for the appointment, limitations, responsibilities and oversight of a COTR and to establish a certification program as detailed in the Office of Federal Procurement Policy (OFPP) Memorandum, *Federal Acquisition Certification for Contracting Officer Technical Representatives (FAC-COTR)*, dated November 26, 2007. The purpose of the certification program is to standardize the competencies and training across agencies and to improve the overall quality and effectiveness of the federal acquisition process.
3. The FAC-COTR program sets forth minimum acquisition training requirements for all individuals who serve as a COTR under a written delegation of authority from a Contracting Officer (CO). This policy also specifies the roles, responsibilities, and limitations of authorities for the various individuals and offices involved in acquisition.

B. Authorities

- OFPP Act, as amended (41 U.S.C. § 433)
- OFPP Policy Letter No. 05-01 April 15, 2005
- OFPP Memorandum November 26, 2007
- Federal Acquisition Regulation (FAR) 1.6 and 7.5
- Department of Transportation Acquisition Manual (TAM) 1242.71

C. Definitions

1. **Acquisition Career Manager (ACM):** The individual responsible for managing the Department's acquisition career management program.
2. **Acquisition Career Management Information System (ACMIS):** ACMIS is the central acquisition workforce information system and the official system of records for all civilian agencies. ACMIS is managed by the Federal Acquisition Institute and contains education, training, experience, and certification information for all acquisition workforce members. The information collected will be useful for managers in making informed budgeting, staffing, and training decisions; enable managers to monitor certification and specific skill

sets; and respond to information requests of the Administration, Congress, and other parties.

3. **Administrative Contracting Officer (ACO):** The warranted Government official responsible for administering the contract to the extent that the CO has delegated contract administration.
4. **Alternate COTR (ACOTR):** The alternate Government official appointed in writing by a CO and so designated in the contract. The ACOR provides technical direction/clarification in the absence of the COTR.
5. **Continuous Learning Point (CLP):** CLPs are points awarded for successful completion of continuous learning activities. One CLP responds generally to one classroom hour and varies for other learning activities, as described in Appendix A of the OFPP memorandum dated November 26, 2007, entitled "*The Federal Acquisition Certification for Contracting Officer Technical Representatives.*"
6. **Contracting Officer (CO):** A Federal employee delegated authority pursuant to FAR 1.6 and the DOT Contracting Officer Appointment Program to award, administer, and terminate contracts, purchase orders, delivery orders, task orders and modifications; obligate Government funds; and make determinations and findings, all subject to the limitations of his or her Certificate of Appointment. Only the CO can make changes to a contract.
7. **Contracting Officer's Technical Representative (COTR):** A Federal employee appointed in writing by a CO to serve as technical liaison between the government and a contractor for a specific contract, set of line items or an order under a contractual document. The COTR monitors the contractor's performance and provides technical advice to the CO and contractor within the scope of work or performance work statement of the contract. Pursuant to FAR 7.503(c)(12), this function must be performed by a Federal employee, although contractors may be used to provide inspection or testing services.
8. **COTR Nominating Official:** The individual from the program or requirements office responsible for submitting a written COTR nomination to the CO.

D. Applicability

1. This policy applies to all DOT Operating Administration (OA) COTRs and alternate COTRs and establishes a competency development program for all COTRs included in DOT's Acquisition Workforce.
2. The Federal Aviation Administration (FAA) is exempt from this program under P.L. 104-50. However, the FAA shall align its Career Development and Certification

Program for Contracting Officer's Technical Representatives with the DOT FAC-COTR Program to ensure that their affected employees meet similar core competencies.

SECTION 2 – COTR Nomination and Appointment

COTRs provide technical expertise necessary to convey the technical requirements of the Government, oversee the technical work of the contractor, and ensure that deliverables meet the technical requirements of the Government. Contracting Officers (COs) shall appoint COTRs when necessary in contractual documents. A COTR may also be appointed to monitor contracts that require unusual monitoring and surveillance or technical discussions to clarify the Performance Work Statement (PWS). COTRs must ensure that the contracts they manage provide the products and services negotiated and agreed upon in the contractual document. They must fulfill this duty by adhering to the terms of the contract, the law, and the limits of their delegation of authority from the CO. The COTR works in close partnership with, and as a representative of the CO throughout the performance of the contract.

A. Nomination Responsibilities

- 1. Program/Requiring Offices** are responsible for proactive planning to ensure qualified individuals are available for COTR appointment. Program/requiring offices are also responsible for nominating only technically competent and qualified individuals to be COTRs.
- 2. Nominating Officials** are responsible for:
 - Nominating an individual to be appointed as a COTR if deemed necessary for contract performance by either the Program/Requiring Office or CO.
 - Ensuring that the person nominated has completed or will complete COTR training and certification requirements prior to contract award or within 6 months of appointment;
 - Certifying prior to appointment that the individual possesses technical expertise consistent with the duties to be assigned;
 - Issuing a nominating memorandum to the CO prior to performance by the nominee in contract execution duties. The COTR nominee must have the requisite security clearance and sufficient time available to perform the COTR duties. It is acceptable for offices to nominate individuals as primary and alternate COTRs in the event the primary COTR is unavailable for an extended period. Each individual nominated for appointment must be technically and professionally competent, free of conflicts of interest, and qualified to serve as a COTR. A sample nomination memorandum is included as Appendix A. The nomination letter shall contain:
 - a. The nominee's technical qualifications and experience;
 - b. The recommended technical functions and duties to be performed. Duties assigned shall be applicable to the contract, line item, or order. If the nominee will be serving as alternate COTR, the nomination letter shall so state;

- c. Whether the individual's performance rating elements include the COTR function (if not, an explanation of why not); and
- Providing timely notice to the appointing CO as to when the COTR must be replaced or the appointment terminated, such as, if a conflict of interest develops or the COTR is transferred.
- Ensuring that any changes to those duties recommended in the nomination letter are discussed and agreed to by the CO prior to issuing the appointment letter.

B. Appointment Responsibilities

1. Contracting Officers are responsible for:

- Formally designating (appointing) a COTR in a contract when:
 - a. Technical direction is to be provided to clarify, define or give specific direction within the Performance Work Statement such as engineering services or research and development contracts; or
 - b. A cost reimbursement-type task/delivery order is used under an indefinite delivery type contract. Examples include indefinite delivery type service contracts priced on a time and materials, labor hour, or cost plus fixed fee basis; or
 - c. The contract requires unusual monitoring and surveillance efforts beyond what the CO/ACO is able to provide.
- Verifying the date when the COTR completed training and certification requirements;
- If concurring with a nomination, making the appointment through issuance of a separate appointment letter. Appointments may be made for the total contract or at the delivery/task order level or other appropriate sub-level as determined by the CO. The appointment memorandum must be a complete and stand-alone document, therefore, either repeat or enclose the nomination letter responsibilities and limitations. COs may add, delete, revise or elaborate on the COTR responsibilities contained in the nomination letter as necessary. A sample appointment letter is included as Appendix B. The sample is not all inclusive and should be tailored to the appointment. At a minimum, the memorandum shall contain the following:
 - a. The contract/line item/order number to which the COTR is being appointed;
 - b. The period covered by the appointment;
 - c. A statement that COTR duties are not re-delegable;

- d. A statement that the COTR may be personally liable for unauthorized acts;
and
 - e. A statement that the COTR's signature on the appointment letter certifies the information as correct to the best of his or her knowledge.
- Ensuring that a single individual performs only one of the following functions: (a) initiation of the requirement; (b) award of contract or placement of order and (c) receipt, inspection and acceptance of supplies or services. If circumstances preclude an individual from performing a single function, as a minimum, the individual responsible for the award of a contract or placement of an order shall not perform the receipt as well as the inspection and acceptance function;
 - Personally and clearly briefing COTRs on the functions to be performed and the limitations of authority being delegated.
 - Withholding or terminating appointments when there is reason to believe the appointment would not be in the best interest of the Government. When appointments are withheld or terminated, the CO will immediately notify the nominating official of the reason(s) (i.e. contract is completed, retirement, transferred to another agency, conflict of interest, inadequate training or experience);
 - Annually meet with and review the COTR files and COTR adherence to appointed duties;
 - Providing a copy of the contract, any modifications, and any additional guidance as needed to the COTR;
 - Providing a copy of the COTR appointment/termination letter to the Contractor

SECTION 3 – COTR Training and Certification Program

A. Certification Responsibilities

- 1. Office of Senior Procurement Executive (OSPE)** is responsible for issuing written Department-wide policy and procedures that include internal controls for certifications, initial and continuous learning requirements, approval processes, and other necessary support for operating administrations to implement this program.
- 2. Operating Administration Chief Acquisition Officers (OACAOs)** are responsible for identifying COTRs within their organizations. OACAOs are also responsible for funding, implementing and administering this program within their organization, including written guidance detailing the COTR nomination, appointment, and termination process and, if necessary, any supplemental written guidance detailing internal approvals and selection of any specific training curriculum. OACAOs shall ensure ACMIS contains accurate and current information relative to the training, certification, and appointment of all COTRs.
- 3. Supervisors of COTRs** are responsible for assessing and approving achievement of competencies under the FAC-COTR program. Supervisors shall, in conjunction with the employee, develop and update a career development plan (such as an Individual Development Plan (IDP)) which shows completion of essential and departmental/agency specific COTR training, and continuing learning requirements. Supervisors shall review and validate data entered by employees into ACMIS; and ensure the fulfillment of the continuous learning requirements are met for their employees.
- 4. Contracting Officers (COs)** are responsible for validating that training and certification requirements have been met prior to appointing an individual as a COTR.
- 5. Contracting Officer's Technical Representatives (COTRs)** are responsible for meeting the standards contained herein, including, entering their training data into ACMIS, updating their existing ACMIS records in a timely manner and keeping these records current to reflect their certification status and continuous learning points.
- 6. Acquisition Career Manager (ACM)** is responsible for reviewing and approving all applications for certification, monitoring continuous learning requirements and ACMIS records, and providing acquisition career guidance.

B. Certification Policy

- 1.** Certification will consist of competency based core and assignment specific training to achieve certification, and ongoing continuous learning to maintain certification.
- 2.** All individuals appointed as a COTR to a contract *after* November 26, 2007 must be certified no later than six months from their date of appointment and maintain their skills

currency through continuous learning.

3. Individuals who have been properly appointed by a Contracting Officer and hold a COTR delegation (appointment) letter on an active contract ***on or prior to*** November 26, 2007 may be considered to have met the FAC-COTR requirements, provided the individual shows evidence of completion of COTR training based on previous DOT COTR Training Standards or another Federal agency training program that was previously determined by FAI to be in alignment with the FAC-COTR program, and submits the necessary documents to obtain certification.
4. Individuals who have served in the COTR role and participated in another federal agency's COTR training previous to the FAC-COTR program may seek recognition for fulfillment of the FAC-COTR requirements and demonstrate their proficiency by completing a fulfillment request form (See Appendix F).
5. Individuals who hold a Federal Acquisition Certification in Contracting (FAC-C) Level I or Federal Acquisition Certification for Program/Project Managers (FAC-P/PM) Mid-Level/Journeyman are considered to have met the FAC-COTR requirements but must still submit the necessary documents to obtain certification. (It should be noted that someone having their FAC-COTR does NOT automatically make them either FAC-C Level I or FAC-P/PM Mid-Level/Journeyman certified).

C. Certification Training Requirements

1. COTRs must have a minimum of 40 hours of training to achieve certification. The training can be obtained through the Federal Acquisition Institute (FAI), the Defense Acquisition University (DAU), commercially-available sources, colleges or universities, or OA-specific courses. Twenty-two of the required 40 hours of training must cover the essential COTR competencies listed below. The remaining 18 hours of the required 40 hours of training will consist of Department-wide or OA specific courses, electives, and/or those identified by the COTR's supervisor in consultation with the Contracting Officer, as necessary, for managing a particular contract. The training must be comprehensive and specific to COTR duties. *A minimum of 8 hours of the required 18 hours must include training on performance-based acquisition (PBA) or earned value management (EVM).* Examples of additional training topics include service contracts, construction contracts, time and materials contracts, green purchasing, socioeconomic issues, etc.

a. **Key Competencies for COTRs:** The skills and competencies are divided into two categories: Professional Business and Technical and are the basis for which the certification is built upon. A definition of each competency is included in Appendix C.

COTR Key Competencies	
Professional Business Competencies	Technical Competencies

Oral Communication	* Understanding COTR duties, responsibilities, and obligations
Decision-Making	Effective Communication of Contract Requirements
Teamwork	Effective Performance Management
Problem Solving	Strategic Planning
Attention to Detail	Detailed Evaluation Skills
Reasoning	Defining Business Relationships
Flexibility	Understanding the Marketplace
Interpersonal Skills	Effective Communication
Self-Mgmt./Initiative	Defining Government Requirements in Commercial/Non -Commercial Terms
Integrity/Honesty	Effective Negotiation Skills and Effective Analytical Skills
Planning and Evaluating	
Influencing/Negotiating	
Writing	
Project Management	

*These duties are articulated in FAI's 2003 report. COTRs are reminded that their duties, responsibilities, and obligations are limited to those articulated in their delegation letters and must be exercised in accordance with agency policies.

b. **Suggested Training Curriculum for Essential Competencies:** Suggested training based on Defense Acquisition University (DAU) curriculum to meet the essential (core) competencies and the assigned continuous learning points (CLPs) are listed below. A chart mapping the technical competencies for the FAC-COTR to the suggested DAU curriculum is included in Appendix D. OAs considering substituting other training for these courses must ensure that the curriculum covers all essential competencies.

Course Name	Course #	Course Description	CLPs
Contracting Officer Representative with a Mission Focus	CLC106	This learning module will provide the basic skill set needed to be a Contracting Officer's Representative (COR). It will provide an overview of the acquisition process, teaming, ethics and integrity, authorities, contract classification, contract types, proper file documentation, performance assessment methods, remedies for poor performance, invoice requirements contract modifications, and contract management.	8
Market Research	CLC004	Market Research has become more important than ever in the acquisition process. Public and private organizations in acquisition personnel need to deal with commercial practices that have been commonplace in the private sector. The specific benefits of effective Market Research are reduced acquisition costs, reduced cycle times, and greater access to advanced technologies.	3

Contract Source Selection	CLC007	This Source Selection Essentials Continuous Learning Module (CLM) is an interactive module aimed at providing federal procurement and acquisition professionals with a better understanding of the source selection process and its goals. This CLM is divided into an Introduction and two Lessons. Each Lesson contains: a set of learning objectives; material related to those objectives; references that provide additional or more detailed information on the topics in the module; and scenario-based knowledge checks to help you gauge your understanding of the material presented. A Final Exam is included to ensure sound understanding of the Contract Source Selection Process.	1
Contracting Overview	CLM024	The Contracting Overview module gives an overview of the market research process, the process for developing criteria or factors that teams will use to evaluate contractors during source selection, and the use of the uniform contract format.	8
Ethics Training for Acquisition Technology and Logistics	CLM003	This module reinforces the most important legal ethics standards governing interaction between government personnel and our contractors. Areas addressed include conflicts of interest; gratuities from contractors; the Procurement Integrity Act; job-hunting for a position with private industry while still employed with the federal government; restrictions on 'post-government employment of a former federal employee or officer, ethical problems that can arise when both government and contractor personnel work on common goals as a single 'team'. Training is interactive and students will be 'put in the shoes' of the government employee facing the ethical dilemma and be required to deduce an ethically correct way to resolve the problem.	2

c. **Suggested Training Courses for Agency Specific/Electives:** The Federal Acquisition Institute (FAI) and DAU offer a number of on-line courses that can be used to meet agency-specific courses/electives. A sample listing of courses are provided below.

Course Name	Course #	Course Description	CLPs
Fundamentals of Earned Value Management	BCF 102	This course builds on the earned value management (EVM) concepts introduced in ACQ 101. The course summarizes the language, data reports, metrics, graphs, and management processes associated with EVM as they apply to acquisition management. The course emphasizes the processes related to the Performance Measurement Baseline (PMB), the Integrated Baseline Review (IBR), and the American National Standards Institute (ANSI) for EVM systems. Finally, students evaluate and compute basic EVM metrics and EVM metric-based Estimates at Completion (EACs). Self-paced.	14.5
HUBZone Empowerment Contracting Program – Certification and Eligibility	FAC 001	SBA, and its partners, offer many programs and services that can assist the small business in almost every aspect of growth and development, to include providing access to federal contracts through such programs as the	.5

DOT Contracting Officer's Technical Representative Program

		Historically Underutilized Business Zone Empowerment Contracting Program (HUBZone). The HUBZone Program encourages economic development in historically underutilized business zones -- "HUBZones" -- through the establishment of Federal contract award preferences for qualified small businesses located in such areas. The purpose of this training module is to familiarize procurement officials with the certification and eligibility requirements for program participation.	
HUBZone Empowerment Contracting Program – Contractual Assistance	FAC 002	The purpose of this training module is to familiarize procurement officials with the types of HUBZone contracts and the HUBZone small business concern's contract performance requirements.	1
HUBZone Empowerment Contracting Program – Historical Overview	FAC 003	The purpose of this training module is to familiarize procurement officials with the historical development of the HUBZone Program and provide an explanation of the statutory and regulatory development.	.5
HUBZone Empowerment Contracting Program – Protests and Appeals	FAC 004	The purpose of this training module is to familiarize procurement officials with the procedures for filing a protest and/or appeal.	1
Set-Asides for Small Business	FAC 009	Provides an overview of the Small Business Act and the small business programs that have been put in place to provide maximum practicable opportunities in acquisitions.	.5
Shaping Smart Business Arrangements – Expert Edition	FAC 013	This is a web-based course designed for personnel newly assigned to the contracting specialty. The purpose of this course is to: (1) Obtain a broad, comprehensive understanding of the environment in which you will serve, (2) Develop professional skills for making business decisions and advising other acquisition team members toward success in meeting customers' needs, (3) Be introduced to knowledge management and information systems, (4) Prepare to provide contracting support within the overarching business relationships of Government and industry.	11.5
Time and Materials Contracts	FAC 014	Time and Material Contracts module material includes an overview of the new policies, with links to the FAC and DFARS changes, and examples of applications.	.5
Cost Estimating	CLM016	Focuses on basic cost estimating tools and techniques. The cost estimate and its supporting budget are a part of the baseline against which a program's progress and success are measured.	8
Performance-Based Services Acquisition (PBSA)	CLC 013	Provides an introduction to performance-based services acquisition including developing the performance-based statement of work, using a statement of objectives, and administering a PBSA.	6
Work Breakdown Structure	CLM013	Addresses two fundamental and interrelated types of Work Breakdown Structures (WBS) including the Program WBS developed by the Program Office and the Contract WBS developed by the Contractor. The WBSA summarizes data for successive levels of management and provides the appropriate information on the projected, actual, and current status of the program.	6
Technical Reviews	CLE 003	Provides a systematic process for continuously assessing the design maturity, technical risk, and programmatic risk	3

		of acquisition programs.	
Service Disabled Veteran Owned Small Business Program	CLC 009	Focuses on the Service Disabled Veteran-Owned Small Business Program	1
Contracting for the Rest of Us	CLC 011	Designed to provide people who do not work in the Contracting field with a basic knowledge of some of the essential processes and considerations that contracting professionals encounter to satisfy their customers requirements. Note: Although this training is geared toward DoD personnel, the principles are also applicable to civilian agencies.	2

d. **How to apply for courses:** There is no cost for the above listed courses. Employees must submit applications for training electronically via the Federal Acquisition Institute Training Application System (FAITAS) which can be accessed by registering at www.fai.gov. First time users must create a profile before applying for training.



c. **Commercial Training Providers:** Several commercial training providers offer courses that cover most or all of the essential COTR competencies listed above. The following matrix provides a summary of these courses and the training providers that offer them.

COURSE TITLE	TRAINING PROVIDER	COURSE LENGTH
The COTR Training Program	ESI International www.esi-intl.com	3 days
COTR Management of IT	ESI International	

Service Contracts	www.esi-intl.com	3 days
Contracting Officer's Technical Representative (COTR) Training	Northwest Procurement Institute (NPI) www.npi-training.com	
Contracting Officer's Representative Course	Management Concepts, Inc. (MCI) www.managementconcepts.com	5 days
COR/COTR Training	Business Management Research Associates (BMRA) www.bmra.com	At this time BMRA does not offer open-enrollment for individual students. Their specialty is on-site training to meet the needs of the agency.
Contracting Basics for COTRs	US Department of Agriculture Graduate School http://grad.usda.gov	3 days

D. Certification Application Process

Step 1. Complete the FAC-COTR application located in Appendix E.

Step 2. Attach all training certificates, transcripts, resumes, or other records that provide evidence of how the competencies and training requirements were attained. **All training information must be entered into ACMIS.**

Step 3. Submit application package to immediate supervisor for approval.

- a. The immediate supervisor must review and validate each application for certification.
- b. The supervisor should take this opportunity to assess the skills and competencies of the employee and develop a plan for enhancing or adding to the employee's competencies, if appropriate.

Step 4. Forward the application package to the OACAO (or designee).

Once approved by the immediate supervisor, the FAC-COTR application shall be forwarded to the OACAO (or designee) for review and approval.

Step 5. Forward the approved application package to the OSPE for final approval.

Once reviewed and approved by the OACAO (or designee), the FAC-COTR application shall be forwarded to the OSPE for final approval and issuance of certificate indicating achievement of government-wide COTR standards. Normal processing time to issue a certificate is a minimum of 10 business days. Certification indicates achievement of Government-wide COTR standards.

E. Certification Fulfillment Process

1. Individuals who have previously served in the COTR role may seek recognition of experience by requesting fulfillment of the FAC-COTR requirements. Individuals must request fulfillment approval from the Acquisition Career Manager (ACM) by providing evidence of satisfactory completion of mandatory DOT COTR training requirements previous to the implementation of the FAC-COTR. Individuals must also demonstrate their proficiency by completing the Appendix F "Fulfillment Request Form." Supporting documentation such as a resume, course completion certificates, college transcripts, etc. must be submitted with the fulfillment request form.
2. Supervisors will verify the individual's justification and documentation for proficiency in the FAC-COTR competencies and determine if the individual has gained the required proficiency for FAC-COTR certification.
3. Once a determination is made by the Supervisor, the fulfillment request form is submitted to the OSPE for final approval and/or disposition. Normal processing time to process the approval of the fulfillment request is a minimum of 5 business days.

F. Continuous Learning Requirement

4. To maintain a FAC-COTR certification, COTRs are required to earn a minimum of 40 continuous learning points (CLPs) of skills currency training every two years in acquisition or COTR-related training. Any OA, Federal, or commercial training course for which a certificate of training is issued is acceptable, however, COTRs must complete a *minimum of 8 hours of training on performance-based acquisition (PBA) or earned value management (EVM)*. Acceptable training methods include videotape, CD/DVD, classroom, and on-line courses. Additional guidance on continuous learning is included in Appendix F.
5. A FAC-COTR certification will expire if the 40 CLPs are not earned every two years, and the OACAO or other appropriate authority shall recommend to the Contracting Officer (CO) that the COTR's delegation letters be revoked or modified if this condition is not met. The CO must notify the COTR in writing in a timely manner of any changes to his/her delegations of authority, and the contractor should be notified as appropriate.
6. It is the individual's responsibility to ensure the continuous learning requirements are met. Supervisors are responsible for verifying the applicability and reasonableness of the CLPs.

SECTION 4 – Acquisition Career Management Information System

A. Responsibilities

- 1. COTRs** are responsible for regularly updating their existing ACMIS records in a timely manner and keeping these records current to reflect their certification status and continuous learning points. For audit purposes, certificates or other documentation giving proof of training completed must be maintained by the COTR.
- 2. Supervisors of COTRs** are responsible for verifying compliance with the training and certification requirements for validating information employees enter into ACMIS.

B. Registration Process and Log-in Guidance

- 1. To access the system**, COTRs must first register as a new user account on the ACMIS site. Once the form is submitted, the COTR will be sent a temporary password via email to login to ACMIS.
- 2. Detailed guidance** is available in the ACMIS User Guide which may be accessed at www.acmis.gov.
- 3. Additional guidance** may be provided by the ACM.

APPENDICES

APPENDIX A: Sample COTR Nomination Memorandum

Subj: Nomination of Contracting Officer's Technical Representative

From: *(Insert name of Nominating Official)*

To: *(Insert name of prospective COTR)*

I hereby nominate Mr./Ms. _____ as the Contracting Officer's Technical Representative (COTR) for the contract resulting from requisition number _____ to acquire _____ supplies/services in support of _____.

Mr./Ms. _____ title, office code, business address, e-mail address and phone number are:

Mr./Ms. _____ technical qualifications and experience are:

Mr./Ms. _____ is/is not FAC-COTR certified and is current with the required continuous learning points.

Mr./Ms. _____ has/has not completed required COTR training. He/she attended/is scheduled to attend COTR training in (month, year).

The individual performance rating elements of Mr./Ms. _____ include/do not include the COTR function (if not, why not).

I recommend that the COTR/ACOTR be assigned the following duties (tailor as necessary):

- a. Control all Government technical interfaces with the contractor.
- b. Ensure that a copy of all Government technical correspondence is forwarded to the contracting officer (ordering officer) for placement in the contract (delivery/task order) file.
- c. Promptly furnish documentation on any request for change, deviation, or waiver, whether generated by the Government or the contractor, to the contracting officer and ordering officer for their action.
- d. Determine causes when the contract is not progressing as expected and make recommendations to the contracting officer for corrective action.

- e. Monitor contractor performance to ensure individual contractor employees are of the skill levels required and are actually performing at the levels charged against the contract during the performance period.
- f. Monitor contractor performance to ensure that the labor hours charged against the contract are consistent and reasonable for the effort completed and that any travel charged was necessary and actually occurred.
- g. Monitor Government Furnished Property. Ensure that property provided the contractor is authorized by the contract.
- h. Complete the COTR Report of Contractor's Performance per the schedule established in the contract administration plan for the contract.

In case of any problems, disagreements, or other questions pertaining to the COTR's performance of duties you may contact _____.

Any changes to these recommended duties must be discussed with the undersigned prior to issuing the appointment letter.

Signature of Nominating Official/Date

APPENDIX B: Sample COTR Appointment Letter

Subj: Appointment as a Contracting Officer's Technical Representative

From: *(Insert name of Contracting Officer)*

To: *(Insert name of prospective COTR)*

You are hereby appointed as the Contracting Officer's Technical Representative (COTR) for:

Contract Number:

For: *(Enter item/system/services)*

Contractor:

Contract Period:

Unless sooner terminated, in writing, by the Contracting Officer, or unless you are separated from Government service, this appointment shall remain in effect for the life of the contract described above. You are responsible for providing prompt notification to the Contracting Officer if, for any reason, it becomes necessary to terminate your appointment as COTR. **Your authority as COTR, may not be re-delegated.**

As COTR, you are the technical representative of the Contracting Officer in the administration of the contract described above. Your duties include providing technical direction and guidance as necessary with respect to the performance of work under the contract.

In accomplishing your duties as COTR, you are cautioned to carefully monitor your actions/discussion or the actions/discussions of other Government personnel who may assist you in the performance of your duties to ensure that the contract does not become a personal services contract (see FAR 37.1). If potential for a conflict of interest with your appointment as a COTR develops, you will advise your supervisor and the Contracting Officer of the conflict so that appropriate action may be taken. COTRs shall avoid the appearance of a conflict of interest to maintain public confidence in the U.S. Government's conduct of business with the private sector.

You are responsible for bringing to the attention of the Contracting Officer and the program/requiring office for which the work is being performed, any significant deficiencies with respect to contractor performance or other actions which might jeopardize contract performance.

You are not authorized by this letter to take any action, either directly or indirectly, that could result in a change in the cost/price, quantity, quality, place of performance, delivery schedule, or any other terms or conditions of the contract (or task/delivery order), or to direct the accomplishment of effort which would exceed the scope of the basic contract (or task/delivery order). You are cautioned that you could be held personally liable for any unauthorized acts. Whenever there is a potential that discussions may impact any of the areas described above, contact the Contracting Officer or Contract Specialist for guidance. You must be especially

cautious when providing an interpretation of contract specifications/requirements. The understanding reached, or the technical direction given, must be formalized in writing and copies provided to the Contracting Officer (or Contract Specialist).

You must meet the requirements of the Federal Acquisition Certification for COTRs (FAC-COTR) no later than six months from the date of this appointment and maintain your skills currency through continuous learning. You are required to earn 40 continuous learning points (CLPs) of skills currency training every two years. If you do not earn the 40 CLPs every two years, the Contracting Officer may revoke or modify your delegation (appointment) letter and notify the contractor as appropriate.

You are required to enter your training and certification data into the Acquisition Career Management Information System (ACMIS). You must update your ACMIS records in a timely manner and keep these records current to reflect your certification status and continuous learning points.

You will need an understanding of and access to a number of Department of Transportation automated systems to assist in the management of the contracts to which you are assigned. These systems include:

- **PRISM** – An automated procurement management system used by the Agency to create, route and approve requisitions, award documents, and procurement related reports. If you currently do not have a user account, please contact _____ for PRISM account set up and training opportunities.
- **Markview** – An automated invoice imaging and approval system used by the Agency to route and approve contract invoices prior to payment. If you currently do not have a user account, please contact Kathryn Chadwick (Kathryn.Chadwick@faa.dot.gov) of the Enterprise Service Center in Oklahoma City for account set up and training opportunities.
- **National Institutes of Health Contractor Performance System (CPS)** - An automated contractor past performance evaluation system used to report and research contractor performance information. Your Contracting Officer will assist in the set up of your CPS account.

Your points of contact under each system will provide assistance, but it is your responsibility to request assistance when required.

In addition the COTR duties prescribed by the Transportation Acquisition Manual (TAM) Subpart 1242.71, specific duties and limitations are as follows:

MONITORING PERFORMANCE.

Ensure that the contractor complies with all of the requirements of the statement of work, specifications, or performance work statement, and when requested by the contractor, provide technical direction to the contractor's technical manager. This technical assistance must be within the scope of the contract (e.g., interpreting specifications, statement of work, performance work

statement, etc.). When a difference of opinion between you and the contractor occurs, notify the contracting officer or the contract administrator/specialist immediately for resolution.

Ensure that the personnel being used by the contractor are of the same caliber that was originally proposed by the contractor to the Government. The experienced personnel contracted for and/or approved by the Government should not be diluted by the use of personnel with less experience. However, you may not permit changes, substitutions, or additions to personnel. Any decrease in or lack of performance shall be brought to the attention of the Contracting Officer or Contract Administrator/Specialist immediately.

You will also be required to complete the attached "Evaluation of Contractor's Performance Sheet" within 30 days after the contractor has met all terms and conditions of the contract. Note: This form shall not be used for construction and architect-engineer contracts (see (FAR) 48 CFR 36.604).

MONITORING COSTS.

Review and evaluate the contractor's progress in relation to the expenditures. When the costs expended by the contractor are not commensurate with the contractor's progress, bring this to the attention of the contracting officer or contract administrator/specialist for immediate action.

You will use the Markview system to review the contractor's invoices/vouchers for reasonableness and applicability to the contract. Depending on the type of contract, you will either recommend to the Contracting Officer approval, conditional approval, or disapproval for payment. The review must be completed within five days after receipt of the invoice or voucher. If you cannot meet the required review time, advise the contracting officer or contract administrator/specialist so that action can be taken to ensure Government compliance with the Prompt Payment Act, thereby avoiding the payment of interest penalties to the contractor.

CHANGES TO THE CONTRACT.

You cannot authorize the contractor to stop work, and you are not authorized to delete, change, waive, or negotiate any of the technical requirements or other terms and conditions of the contract. Should a change (monetary or otherwise) to the contract become necessary, it must be made by a contract modification issued by the contracting officer. When in doubt, contact the contracting officer or contract administrator/specialist.

Any contract change requested by the contractor must be put in writing by the contractor to the Contracting Officer for action; however, you should immediately advise the contracting officer or contract administrator/specialist of the proposed change since it may affect the contract price, cost, or delivery/performance schedule. When the proposed change is received by the Contracting Officer, you will be required to provide the Contracting Officer with a written analysis and rationale for the change and to evaluate any costs associated with the change.

You must also recognize and report to the contracting officer any Government required changes to the contract (e.g., items or work no longer required, changes in the specifications, etc.).

VISITS AND MEETINGS WITH THE CONTRACTOR.

Make arrangements with the contractor for periodic visits to the contractor's plant to: (1) evaluate the contractor's performance; (2) evaluate changes in the technical performance affecting personnel, the schedule, deliverables, and price or costs; (3) inspect and monitor the use of Government property, if applicable; and (4) ensure that contractor employees being charged to the contract are actually performing the work under the contract. A trip report fully documenting all activities during the visit must be written and a copy provided to the contracting officer within three working days after the visit.

Document the file to record each meeting and telephone conversation with the contractor. A daily log book is recommended which should reflect the date, time, name, and title of individual(s) involved in the subject matter and the details of the meeting or conversation.

INSPECTION OF CONTRACT ITEMS.

When notified by the contractor or the contracting officer, perform, in accordance with the terms of the contract, inspection, acceptance or rejection of the supplies, services, or construction. Immediately notify the contracting officer of all rejections and the reason for the action.

Review progress reports from the contractor and advise the contracting officer of any contractor problems or action required to be taken by the Government.

STANDARDS OF CONDUCT AND CONFLICT OF INTEREST.

The attached (FAR) 48 CFR Part 3 and (TAR) 48 CFR Part 1203 TAM Chapter 1203, Improper Business Practices and Personal Conflict of Interest, provides guidance to avoid improper business practices and personal conflicts of interest and to deal with their apparent or actual occurrences. Please read these documents very carefully and contact the contracting officer should you require further information or clarification on this subject matter.

CONTRACT FILE CONTENT AND MAINTENANCE.

Establish and maintain an organized contract file to record all contractor and Government actions pertaining to the contract. The COTR file is of particular importance since the documentation of your interaction with the contractor may be used in the event of litigation. In addition, an organized file facilitates an easy transition from one COTR to another if reassignment becomes necessary. A complete and organized file should contain the following documentation:

1. A duplicate copy of the COTR nomination and appointment letters.
2. Documentation supporting completion of COTR training and COTR certification.
3. A copy of the procurement request(s) with Statement of Work (SOW) and Independent Government Estimate (IGE).
4. A copy of the request for proposal and all amendments.
5. A copy of the Contractor's technical proposal.

6. Copies of pre-award correspondence.
7. A copy of the contract and all modifications.
8. A copy of all correspondence with the contractor, Contracting Officer and other Government officials involved in the contract and/or delivery/task order.
9. Copies of any security specifications.
10. Name, position, title, phone number, e-mail address and function of every Government person who is providing technical or administrative assistance.
11. Name, position, title, phone number, e-mail address of the alternate COTR.
12. A surveillance plan describing when, where, and how surveillance is accomplished, and how the results will be used.
13. Copies of the minutes and list of attendees for each contract related meeting.
14. Copies of test reports (if applicable).
15. Contract "diary".
16. Government inspector's performance log.
17. An outline showing any important dates.
18. Contractor inspection procedure and log (if applicable).
19. Record of unforeseeable situations, conditions, Acts of Nature, etc. and any actions taken to minimize adverse consequences.
20. A tickler system showing all due dates.
21. Copies of all contractor performance reports.
22. Descriptions of contractor performance or provisional deficiencies and steps taken to correct them.
23. A system of documenting all labor hours, costs, travel dollars authorized and expended.
24. Copies of all invoices and receipt documents processed from the contractor.
25. Copies of all receipt and acceptance documents processed.
26. Any additional supporting documentation.
27. Record of overall contractor performance evaluation at the end of the contract or delivery/task order.
28. Letter terminating COTR appointment (if applicable).

29. Minutes of the debriefing between the Contracting Officer and the COTR at the end of the contract.

EVALUATING PERFORMANCE.

Annually, and at the completion of the contract, you will receive an e-mail notification to go to the NIH-CPS website at <https://cps.nih.gov> to fill out an electronic "Evaluation of Contractor's Performance Sheet." You will be given an access password by your Contracting Officer or Contract Specialist. First time users should complete the on-line CPS training module. You are required to complete the electronic evaluation within 30 days and to notify your Contracting Officer or Contracts Specialist when you have completed the evaluation. An online user's manual is available for self-paced study at <http://cps.od.nih.gov>.

Please acknowledge receipt and acceptance of this appointment by signing and returning the attached sheet to the Contracting Officer or Contract Specialist. Your appointment as the COTR under the above numbered contract is terminated upon receipt of a written notice of termination from the appointing contracting officer, the contracting officer's successor, or a higher level of authority. Please direct any questions you may have on this delegation to the contracting officer or contract administrator/specialist.

*(Typed name and signature
of the Contracting Officer)*

Attachments

I understand and accept my assignment as the Contracting Officer's Technical Representative (COTR) under Contract No. *(Insert contract number)* as outlined in your letter to me dated *(insert date of contracting officer's letter)*.

(Signature of COTR)

(Typed Name and Title of COTR)

(Effective Date)

APPENDIX C: FAC-COTR Competency Definitions

Professional Business Competency
<p><i>Attention to Detail</i> Is thorough when performing work and conscientious about attending to detail.</p>
<p><i>Decision-Making</i> Makes sound, well informed, and objective decisions; perceives the impact and implications of decisions; commits to action, even in uncertain situations, to accomplish organizational goals; causes change.</p>
<p><i>Flexibility</i> Is open to change and new information; adapt behavior or work methods in response to new information, changing conditions, or unexpected obstacle; effectively deal with ambiguity.</p>
<p><i>Influencing/Negotiating</i> Persuades others to accept recommendations, cooperate, or change their behavior; work with others towards an agreement; negotiates to find mutually acceptable solutions.</p>
<p><i>Integrity/Honesty</i> Contributes to maintaining the integrity of the organization; displays high standards of ethical conduct and understands the impact of violating these standards on an organization, self, and others; is trustworthy.</p>
<p><i>Interpersonal Skills</i> Shows understanding, courtesy, tact, empathy; develops and maintains relationships; deals with difficult people; relates well to people from varied backgrounds; is sensitive to individual differences.</p>
<p><i>Oral Communication</i> Expresses information to individuals or groups effectively, taking into account the audience and nature of the information; makes clear and convincing presentations, listens to others; attends to nonverbal cues.</p>
<p><i>Planning and Evaluating</i> Organizes work, sets priorities, determines resource requirements, determines goals and strategies; coordinates with other organizations, monitors progress; evaluates outcomes.</p>
<p><i>Problem Solving</i> Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives, and make recommendations.</p>
<p><i>Project Management</i> Develops and maintains a workable plan and manages resources to accomplish the overall goal of the project; plans, manages and follows through to ensure the smooth flow and timely completion of activities that deliver project results; anticipates obstacles or gaps that would impact project success and works to continuously improve the agency's capability to achieve success.</p>
<p><i>Reasoning</i> Identifies rules, principles, or relationships that explain facts, data or other information; analyzes information and makes correct inferences or accurate conclusions.</p>
<p><i>Self-Management/Initiative</i> Sets well-defined and realistic personal goals; displays a high level of initiative, effort, and commitment towards completing assignments in a timely manner; works with minimal supervision; is motivated to achieve; demonstrate responsible behavior.</p>

<p>Teamwork Encourages and facilitates cooperation, pride, trust; fosters commitment; works with others to achieve goals</p>
<p>Writing Recognizes or uses correct English grammar, punctuation, and spelling; communicates information in a succinct and organized manner, produces written information that is appropriate for the intended audience.</p>
<p>Technical Contracting Competency</p>
<p>Strategic Planning Ability to advise customers on their acquisition-related roles and in the development and implementation of strategies needed to assure that supplies and services are available when needed to meet mission requirements.</p>
<p>Market Research (Understanding the Marketplace) Ability to collect and analyze relevant market information and identify possible sources for the acquisition through effective market analysis and industry knowledge.</p>
<p>Defining Government Requirements in Commercial/Non-Commercial Terms Ability to determine or develop offer evaluation factors that will discriminate between offerors and that tie back to the technical requirements included in the solicitation. Ability to determine the most appropriate method of acquisition for each procurement request.</p>
<p>Defining Contractual/Business Relationships Ability to identify and select the most appropriate contractual terms and arrangements; for example, in pricing, financing, and payment methods.</p>
<p>Effective Communication/Solicitation of Offers Ability to manage the solicitation process and adhere to procedures, including writing and publicizing the procurement, conducting discussions and conferences, and amending or canceling the solicitation when appropriate.</p>
<p>Detailed Bid Evaluation Skills Ability to receive, handle, and evaluate bids adhering to proper procedures.</p>
<p>Proposal Analysis and Evaluation (Analytical Skills) Ability to receive, handle, and evaluate quotations/proposals adhering to proper procedures. Ability to obtain proper disclosure of accounting practices and to determine if the firm's accounting practices comply with Government cost accounting standards.</p>
<p>Negotiation Skills Ability to plan negotiation positions and prepare negotiation strategies. Ability to conduct a negotiation session and document the elements of the negotiated agreement.</p>
<p>Requirements Management (Effective Communication of Contract Requirements) Ability to administer contract requirements and manage vendor relationships for effective delivery of goods and services.</p>
<p>Performance Management Ability to monitor contract performance and take any necessary action and apply remedies to protect the rights of the Government. Ability to use performance metrics to evaluate actual performance against goals.</p>

APPENDIX D:

FAC-COTR Technical Competencies to Suggested DAU 22 Hour Curriculum

Competency	COR with a Mission Focus (CLC106)	Market Research (CLC004)	Contract Source Selection (CLC007)	Contracting Overview (CLM 024)	Ethics (CLM003)
Understanding COTR duties, responsibilities and obligations*	X	X	X	X	X
Defining and communicating requirements	X	X	X	X	
Performance (& requirements) Management	X	X	X	X	X
Strategic Planning	X	X	X	X	X
Evaluation skills	X	X	X	X	
Defining Contractual (Business) Relationships	X	X	X	X	X
Understanding the marketplace		X			
Negotiation & evaluation skills	X	X	X	X	X

Per OMB-OFPP memorandum of November 26, 2007 on The Federal Acquisition Certification for Contracting Officer Technical Representatives *articulated in FAI's 2003 report and in individual delegations letters received by COTRs

APPENDIX E:



**Application for
Federal Acquisition Certification
Contracting Officer's Technical Representative (FAC-COTR)**



CERTIFICATION REQUIREMENTS. COTRs must have a minimum of 40 hours of training to achieve certification. Twenty-two (22) of the required 40 hours of training must cover the essential COTR competencies listed at www.fai.gov. The remaining 18 hours of the required 40 hours of training will consist of DOT-wide and/or OA specific courses, electives, and/or those identified by the COTR's supervisor in consultation with the Contracting Officer.

PART A - EMPLOYEE INFORMATION

Name (Last, First, Middle Initial) _____

Email Address _____

Phone _____ Agency Name _____

Agency Address _____

Title, Series, Grade _____

PART B – CERTIFICATION INFORMATION

Select the appropriate section and method used to meet COTR certification requirements.

Section I. – Use this section if you are a current COTR on an active contract and were officially appointed before November 26, 2007.

I met previous DOT mandatory COTR training requirements *and* I meet all FAC-COTR essential competencies. (The previous DOT COTR training requirements included 24 hours of basic COTR training and annual refresher training. In order to use this method, you must submit evidence of completed training (certificate or other official record. If evidence of training cannot be produced, you must submit request for fulfillment of competencies).

I fulfilled all essential COTR competencies: I met previous DOT mandatory COTR training requirements or other agency-required training. My fulfillment request was approved; therefore I meet all FAC-COTR essential competencies. (You may request approval by the ACM for fulfillment of the FAC-COTR essential competencies if you served in the COTR role and completed the mandatory DOT or other agency-requirement COTR training previous to the FAC-COTR program. The fulfillment process is outlined in the current DOT COTR Program policy available at <http://www.dot.gov/ost/m60/workforce>.) You must indicate in the chart below the date of fulfillment approval and submit supporting documentation with this application.

Section II. – Use this section if you are a current COTR on an active contract and were officially appointed after November 26, 2007.

1. Met the 22 hours of required training on essential COTR competencies through (select method):

Actual Completion of Suggested DAU Training: The below suggested training courses are based on Defense Acquisition University (DAU) curriculum and will meet the essential COTR competencies for certification. You

must indicate in the chart below the actual course completion date and submit all course certificates with this application to the Acquisition Career Manager (ACM).

Completion of Commercial Training: Some commercial training providers offer courses that cover most of the *essential* COTR competencies. It is the responsibility of the COTR and their supervisors to ensure that the curriculum of the selected commercial provider will cover the required essential competencies. Individuals must indicate in the chart below the name of the training provider, course name and date course completed.

Fulfillment of all essential COTR competencies: My fulfillment request was approved; therefore I meet all FAC-COTR essential competencies. (You may request approval by the ACM for fulfillment of the FAC-COTR essential competencies if you served in the COTR role and completed the mandatory DOT or other agency-requirement COTR training previous to the FAC-COTR program. The fulfillment process is outlined in the current DOT COTR Program policy available at <http://www.dot.gov/ost/m60/workforce>.) You must indicate in the chart below the date of fulfillment approval and submit supporting documentation with this application.

COTR TRAINING REQUIREMENTS				
	ACTUAL DAU TRAINING	COMMERCIAL TRAINING		FULFILLMENT
SUGGESTED DAU TRAINING	Date Actual Course Completed	Course Name and Training Provider	Date Commercial Course Completed	Date Fulfillment Approved by ACM
CLC 106 COR With a MISSION FOCUS				
CLM 024 CONTRACTING OVERVIEW				
CLC 004 MARKET RESEARCH				
CLC 007 CONTRACT SOURCE SELECTION				
CLM 003 ETHICS TRAINING FOR ACQUISITION TECHNOLOGY AND LOGISTICS (or similar)				

2. Met the 18 hours specific/elective training. The remaining 18 hours of the required 40 hours of training will consist of DOT-wide and/or OA specific courses, electives, and/or those identified by the COTR's supervisor in consultation with the Contracting Officer. The training must be comprehensive and specific to COTR duties. A minimum of 8 hours of the required 18 hours must include training on performance-based acquisition (PBA) or earned value management (EVM). Examples of additional training topics include services, time and materials contracts, green purchasing, socioeconomic issues, etc:

List all completed training courses in the below chart (you must submit evidence of completion e.g. certificate or other official record):

TRAINING COURSE/ELECTIVE	Name of Training Provider	Date of Completion	Course Hours

PART C – SIGNATURES

Applicant's Signature _____ Date _____

Supervisor's Endorsement:

I have reviewed and verified all supporting documentation and recommend the above employee for FAC-COTR certification. The employee has entered all required data into ACMIS and all data is current and accurate.

Name _____ Signature _____ Date _____

OACAO (or designee) Approval:

I concur with the supervisor's endorsement and approve the above individual for FAC-COTR certification.

Name _____ Signature _____ Date _____

PART D – OSPE CERTIFYING OFFICIAL DECISION

Certification is: Approved Disapproved _____

Name _____ Title _____

Signature _____ Date _____

INSTRUCTIONS FOR APPLYING FOR FEDERAL ACQUISITION CERTIFICATION – Fill in Application Sheet As Follows:

PART A – EMPLOYEE INFORMATION Applicant fills in completely.

PART B – CERTIFICATION REQUIREMENTS

Training: Attach evidence of successful completion of the required 40 hours of training to include 22 hours of training on the essential COTR competencies and 18 hours of DOT-wide and/or OA specific training/electives. Methods to satisfy completion are actual completion of suggested DAU training courses, approved fulfillment of essential competencies, or by completing equivalent training courses offered by commercial training providers. Acceptable documentation includes: copies of course completion certificates, SF 182s showing completion, or Defense Acquisition University transcript. If satisfying training through fulfillment, attach a copy of the approved fulfillment form with the application.

PART C – SIGNATURES: The applicant, immediate supervisor, and the OA Chief Acquisition Officer (OCAO) (or designee) are required to sign and date the application.

PART D – OSPE CERTIFYING OFFICIAL DECISION: The final approval (certification decision) will be made by the SPE or designee.

<p>Interpersonal Skills Shows understanding, courtesy, tact, empathy; develops and maintains relationships; deals with difficult people; relates well to people from varied backgrounds; is sensitive to individual differences.</p>	
<p>Oral Communication Expresses information to individuals or groups effectively, taking into account the audience and nature of the information; makes clear and convincing presentations, listens to others; attends to nonverbal cues.</p>	
<p>Planning and Evaluating Organizes work, sets priorities, determines resource requirements, determines goals and strategies; coordinates with other organizations, monitors progress; evaluates outcomes.</p>	
<p>Problem Solving Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives, and make recommendations.</p>	
<p>Project Management Develops and maintains a workable plan and manages resources to accomplish the overall goal of the project; plans, manages and follows through to ensure the smooth flow and timely completion of activities that deliver project results; anticipates obstacles or gaps that would impact project success and works to continuously improve the agency's capability to achieve success.</p>	
<p>Reasoning Identifies rules, principles, or relationships that explain facts, data or other information; analyzes information and makes correct inferences or accurate conclusions.</p>	
<p>Self-Management/Initiative Sets well-defined and realistic personal goals; displays a high level of initiative, effort, and commitment towards completing assignments in a timely manner; works with minimal supervision; is motivated to achieve; demonstrate responsible behavior.</p>	
<p>Teamwork Encourages and facilitates cooperation, pride, trust; fosters commitment; works with others to achieve goals</p>	

<p>Writing Recognizes or uses correct English grammar, punctuation, and spelling; communicates information in a succinct and organized manner, produces written information that is appropriate for the intended audience.</p>	
<p>Technical Contracting Competency</p>	<p>Proficiency Justification</p>
<p>Strategic Planning Ability to advise customers on their acquisition-related roles and in the development and implementation of strategies needed to assure that supplies and services are available when needed to meet mission requirements.</p>	
<p>Market Research (Understanding the Marketplace) Ability to collect and analyze relevant market information and identify possible sources for the acquisition through effective market analysis and industry knowledge.</p>	
<p>Defining Government Requirements in Commercial/Non-Commercial Terms Ability to determine or develop offer evaluation factors that will discriminate between offerors and that tie back to the technical requirements included in the solicitation. Ability to determine the most appropriate method of acquisition for each procurement request.</p>	
<p>Defining Contractual/Business Relationships Ability to identify and select the most appropriate contractual terms and arrangements; for example, in pricing, financing, and payment methods.</p>	
<p>Effective Communication/Solicitation of Offers Ability to manage the solicitation process and adhere to procedures, including writing and publicizing the procurement, conducting discussions and conferences, and amending or canceling the solicitation when appropriate.</p>	
<p>Detailed Bid Evaluation Skills Ability to receive, handle, and evaluate bids adhering to proper procedures.</p>	
<p>Proposal Analysis and Evaluation (Analytical Skills) Ability to receive, handle, and evaluate quotations/proposals adhering to proper procedures. Ability to obtain proper disclosure of accounting practices and to determine if the firm's accounting practices comply with Government cost accounting standards.</p>	

Negotiation Skills Ability to plan negotiation positions and prepare negotiation strategies. Ability to conduct a negotiation session and document the elements of the negotiated agreement.	
Requirements Management (Effective Communication of Contract Requirements) Ability to administer contract requirements and manage vendor relationships for effective delivery of goods and services.	
Performance Management Ability to monitor contract performance and take any necessary action and apply remedies to protect the rights of the Government. Ability to use performance metrics to evaluate actual performance against goals.	

I have demonstrated proficiency in the FAC-COTR competencies as explained above and request that this justification be considered as fulfillment of the requirements for FAC-COTR certification.

SignatureDate

Supervisor Verification and Recommendation

I have reviewed and verified the applicant's justification and documentation for proficiency in the FAC-COTR competencies and concur/do not concur (circle your decision) that the individual has gained the required proficiency for FAC-COTR certification.

NameTitle

SignatureDate

Acquisition Career Manager (ACM)/Certifying Official Decision

Certification is Approved/Disapproved (circle one)

NameTitle

SignatureDate

APPENDIX G

FAC-COTR Guidance on Meeting the Requirements for Continuous Learning Points (CLPS)

Continuous Learning: To maintain a FAC-COTR, COTRs are required to earn 40 continuous learning points (CLPs) of skills currency training every two years beginning on their certification date. ACMs, or designees, shall monitor the continuous learning requirements for employees holding FAC-COTRs to ensure they meet this requirement.

These guidelines reflect best-in-practice recommendations for continuous learning. Agencies retain flexibility and supervisors remain responsible for working with COTRs to identify those activities and opportunities of greatest benefit to the professional development of an individual. The training, professional activities, education and experience that are used to meet the CLP requirements must be job related.

A. Training

- 1) Completing awareness training. Periodically agencies conduct briefing sessions to acquaint the workforce with new or changed policy. Generally, no testing or assessment of knowledge gained is required.
- 2) Completing learning modules and training courses. These may be formal or informal offerings from a recognized training organization, including in-house training courses/sessions, which include some form of testing/assessment for knowledge gained.
- 3) Performing Self-Directed Study. An individual can keep current or enhance his or her capabilities through a self-directed study program agreed to by the supervisor.
- 4) Teaching. Employees are encouraged to share their knowledge and insights with others through teaching of courses or learning modules.
- 5) Mentoring. Helping others to learn and become more productive workers or managers benefits the agency and the individuals involved.

B. Professional Activities

- 1) Participating in Organization Management. Membership alone in a professional organization will not be considered as fulfilling continuous learning requirements, but participation in the organization leadership will. This includes holding elected/appointed positions, committee leadership roles, or running an activity for an organization that one is permitted to join under current ethics law and regulation. The employee and supervisor must first ensure that participating in the management of an organization is allowed by the agency.
- 2) Attending/Speaking/Presenting at Professional Seminars/Symposia/Conferences. Employees can receive points for attending professional seminars or conferences that are job related.

However, the supervisor needs to determine that the individual learned something meaningful from the experience. Because significant effort is involved in preparing and delivering presentations, credit should be given for each hour invested in the preparation and presentation.

3) Publishing. Writing articles related to acquisition for publication generally meets the criteria for continuous learning. Points will be awarded only in the year published. Compliance with agency publication policy is required.

4) Participating in Workshops. Points should be awarded for workshops with planned learning outcomes.

C. Education

1) Formal training. Supervisors should use Continuing Education Units (CEUs) as a guide for assigning points for formal training programs that award CEUs. The CEUs can be converted to points at 10 CLP points per CEU.

2) Formal academic programs. For formal academic programs offered by educational institutions, each semester hour is equal to one CEU. A three-hour credit course would be worth three CEUs and 30 CLP points, assuming that it is applicable to the acquisition function.

Sample Activities	Recommended Number Of Hours*
Active Association Membership (in relevant subject area such as program/project management, acquisition management, or appropriate technical area)	5 hours for an active membership year OR 1 hour for each 60 minutes of activity attended during the year
Publication of related management or technical papers, etc.	20 hours for articles 25 for technical paper
Formal rotational assignments	40 hours per assignment
Conference presentations, training or seminar delivery	2 hours for 60 minutes of first-time presentation (1 for presentation, 1 for preparation, .5 credit for repeat delivery of same material)
Team leadership activities, participation on project teams for new products/activities	1 hour for every 60 minutes of participation
Formal education	1 hour for each hour of instruction up to 36 hours for a 3 credit course or American Council on Education (ACE) recommendation
Professional examination, license, or certification	40 hours in the year obtained
1 Continuing Education Unit (CEU)	10 hours

DOT Contracting Officer's Technical Representative Program

Sample Activities	Recommended Number Of Hours*
1 Continuous Learning Point (CLP), Professional Development Unit (PDU), or Professional Development Hour (PDH)	1 hour
1 credit hour (college course or ACE recommendation)	12 hours
Conference attendance	1 hour for each 50 minute presentation attended

*Note – Points are earned only in the year accomplished, awarded or published.

APPENDIX H

FREQUENTLY ASKED QUESTIONS/FAQS

Policy that established FAC-COTR

1. How was this program established?

Paul Denett, the Administrator of the Office of Federal Procurement Policy (OFPP) issued a Memorandum on November 26, 2007, which establishes the Federal Acquisition Certification - Contracting Officer Technical Representative. The memo is posted at: www.fai.gov. The purpose of this certification program is to establish the competencies, training, and experience requirements for Contract Officer Representatives in civilian agencies. FAC-COTR focuses on essential competencies needed by those individuals acting as a Contracting Officer Representative (COR) or Contracting Officer Technical Representative (COTR). The certification requirements shall be accepted by, at minimum, all civilian agencies as evidence that an employee meets the core competencies, training and experience requirements.

2. Why did OFPP establish this program?

Well-trained and qualified COTRs are critical to the acquisition process and the successful accomplishment of mission goals. A strong partnership between the COTR and the Contracting Officer requires a common understanding of how to meet the government's needs through acquisitions that deliver quality goods and services in an effective and efficient manner. This memorandum establishes a structured development program for COTRs that will improve this partnership and our collective stewardship of taxpayer dollars.

3. To whom does the policy apply?

The policy that established FAC-COTR applies to all executive agencies, except those subject to the Defense Acquisition Workforce Improvement Act (DAWIA).

FAC-COTR policy as it applies to the individual

1. How do I know if I'm subject to the new Federal Acquisition Certification for Contracting Officer Technical Representative (COTR)?

Check with your Department Acquisition Career Manager (ACM).

2. How do I find my ACM?

The DOT ACM is located in the Office of the Senior Procurement Executive (M60). Point of contact is Cassandra Wells at 202-366-4960, email: Cassandra.Wells@dot.gov.

3. What is required for FAC- COTR Certification?

You can satisfy the competency requirements through successful completion of mandatory and continuous training. Additional guidance can be found at www.fai.gov or through your agency Acquisition Career Manager.

4. I have considerable experience as a COTR. Must I still achieve the certification?

Yes. All COTRs appointed to a contract after the effective date of the OFPP policy memo must be certified no later than six months from their date of appointment and must maintain their skills currency through continuous learning.

COTRs who hold delegation letters on active contracts as of the effective date of this policy have generally taken agency-required training. To recognize this earlier training, current COTRs must review their training in accordance with agency policy, ensure that all essential competencies articulated in the OMB Memo have been obtained, and be certified no later than 12 months from the effective date of this policy. Any training required to obtain needed competencies can count toward the continuous learning requirements for current COTRs.

5. Why must I meet the FAC-COTR continuous learning requirements?

FAC-COTR describes core, minimum competencies that are considered essential for successful contract administration and management. If you are required by your CAO to attain COTR certification you must not only acquire these competencies, you must also earn 40 continuous learning points (CLPs) every two years to maintain the currency of your certification.

6. What are examples of acceptable skills currency training and continuous learning points?

Guidelines can be found in Appendix A of the November 26, 2007, memorandum. These guidelines reflect best-in-practice recommendations for continuous learning. Agencies retain flexibility and Contract Officers remain responsible for working with COTRs to identify those activities and opportunities of greatest benefit to the professional development of an individual. The training, professional activities, education and experience that are used to meet the CLP requirements must be job related.

Continuous learning activities related to COTR activities include, but are not limited to, the following:

- Training activities, such as teaching, self-directed study, mentoring
- Courses completed to achieve certification at the next higher level
- Professional activities, such as attending/speaking/presenting at professional seminars/symposia/conferences, publishing and attending workshops
- Educational activities, such as formal training, and formal academic programs
- Experience such as developmental or rotation assignments

FAI will provide additional guidance as needed on its Web site, www.fai.gov.

7. Who keeps track of my Continuous Learning Points?

Individuals are responsible for maintaining continuous learning records, and agency ACMs, or their designees, will monitor the continuous learning requirements to ensure certifications remain active.

8. When will courses to begin the certification process be available?

Private vendors, the Defense Acquisition University, and other government agencies offer a variety of online and classroom courses that address many of the competencies. FAI plans to offer additional training in the first quarter of FY 2008.