





Balanced Scorecard
Federal Compliance Review Criteria

**Acquisition & Financial Assistance
Self-Assessment Checklist**

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U.S. Department of Energy
Office of Contract Management
Office of Procurement & Assistance Management



INTRODUCTION AND PURPOSE OF THE CHECKLIST

The Procurement Executive of the Department of Energy (DOE) is responsible for establishing an effective acquisition and financial assistance management system which ensures that quality goods and services are obtained at reasonable prices, in a timely fashion, and in accordance with the statutory and regulatory requirements and the programmatic needs of the agency.

To assist in the accomplishment of this responsibility, the Procurement Executive has established the Balanced Scorecard Performance Measurement and Performance Management Program (Balanced Scorecard). The program is described in detail in a document of the same name available on the Balanced Scorecard Homepage (http://www.management.energy.gov/about_us/726.htm). The program provides the methodology for assessing performance of the Federal procurement offices, and major site contractor purchasing organizations. This methodology includes a “compliance” review component which focuses on the organization’s ability to comply with system requirements, including laws, regulations, terms and conditions of contracts, ethical standards, and good business management practices, as appropriate.

To assist in the compliance portion of the self-assessment process, this Acquisition and Financial Assistance Self-Assessment Checklist (Checklist) has been developed for use by Heads of Contracting Activities and field procurement managers as an available tool that will facilitate conduct of the review. This Checklist has been designed for reviews of Federal procurement offices. Compliance reviews of DOE’s major site contractors will be conducted utilizing separate guidelines.

Additionally, there are other sources of information that may be of benefit to any organization conducting a compliance review. The Balanced Scorecard Homepage listed above provides links to a wealth of relevant information including the Peer Review Program sponsored by the Procurement Evaluation & Reengineering Team (PERT). This program provides guidance and assistance to DOE Federal and major site contractors in performance of compliance reviews (or any other portion of the Balanced Scorecard self-assessment process).

COMPLIANCE REVIEW ACTIVITIES

It is not the intent of this Checklist to provide a discussion of the compliance activities already described in the Balanced Scorecard program description document referenced on the previous page, or to provide a detailed listing of the logistical issues that should be considered when conducting the compliance portion of a self-assessment. However, any compliance review should exhibit careful consideration of the following salient characteristics:

- Advance Planning. Any effective compliance review will exhibit timely consideration of all logistical issues, including selection of team members, and notification to the appropriate management and procurement personnel of the office being reviewed.
- Selection of Team Members. In addition to ensuring the selection of qualified reviewers, strong consideration should be given to the inclusion of knowledgeable team members that are from outside the organization being reviewed. Inclusion of “independent reviewers” adds a large measure of objectivity and credibility to the review process.
- Conduct of the Compliance Review. The methodological approach for conducting the review should be clearly articulated and understood by all reviewers. In particular, the criteria to be used must be uniformly applied by all reviewers. In most instances, the criteria would be applied to a representative, but randomly selected, group of contract and assistance files that have been awarded since the time of the last compliance review. In addition, the review should consider an assessment of the procurement system management criteria provided for in Part I of this Checklist. Interviews with professional staff should be included in the review process.
- Issuance of a Final Report. At the conclusion of the compliance review, a written report shall be prepared which identifies review activities and participants, lists the major findings/weaknesses, and recommendations for corrective action. A copy of the report shall be provided to the Head of the Contracting Activity, with a copy to the Headquarters Office of Contract Management (MA-62).
- Follow-up Activities. The contracting activity is responsible for establishing target dates for completion of corrective actions and for resolution of all recommendations. A status of the resolution of each recommendation is to be included in the Federal office’s annual Balanced Scorecard Self-Assessment Report provided to MA-62.

ACQUISITION AND FINANCIAL ASSISTANCE CRITERIA

This Checklist is divided into the following three major parts:

PART I: ACQUISITION AND FINANCIAL ASSISTANCE MANAGEMENT CRITERIA

PART II: ACQUISITION SYSTEM REVIEW CRITERIA

PART III: FINANCIAL ASSISTANCE SYSTEM REVIEW CRITERIA

Within each part, the system criteria are organized according to generally accepted acquisition and financial assistance groupings. Each system criterion is further divided into subcriteria groupings as needed. For example, System Criterion 1: ***Organization, Staffing, and Facilities*** under **PART I: Acquisition and Financial Assistance Management Criteria** is divided into three sections, each containing criteria pertinent to that section.

In addition, each criterion is presented in a table format, with questions to be answered as “Yes,” “No,” or “N/A.” Room is provided for “Remarks.” The team preparing the Checklist felt that the table format makes it easier to conduct reviews. However, use of this table format is not required. In fact, each team conducting a compliance review has complete flexibility in deciding the format team members are to use for documenting and reporting review comments/findings.

Finally, the criteria provided within each system criterion are designed to serve as “memory triggers” of the issues that should be examined when doing a review of that system criterion. They are not intended to represent a complete and exhaustive listing of all the issues that may need to be considered. Each organization being reviewed has individual characteristics that will require tailoring of the system criteria, and generation of additional criteria to be considered.

Quality of Documentation – Although it is not explicitly stated under each of the criteria contained in this document, one of the key things a reviewer will be looking at is the *quality* of the documentation contained in the files. The criteria questions do not always ask you to comment on the quality or sufficiency of the document in question. Nevertheless, it is expected that when you encounter a file document that is not of sufficient quality, or does not adequately address the issue at hand, a comment to this effect will be made in the remarks column.

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PART I: Acquisition and Financial Assistance Management Criteria

System Criterion 1: *Organization, Staffing, and Facilities*

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
	Organization				
1.	Does the organizational structure of the contracting activity and its location within the overall organization allow for effective operation?				
2.	Are delegations of authority, responsibility, and accountability formally documented?(FAR 1.6, DEAR 901.6 and Local Procedures)				
3.	Is there a viable partnership between the contracting activity and other organizations?				
	Staffing				
4.	Are personnel resources adequate to meet workload requirements? (Discuss the authorized personnel ceiling for the Division, number of employees on board, plans or activities for the recruitment of vacancies and succession planning.)				
5.	Is the skill mix and experience level suitable for current and projected requirements?				
6.	Is the supervisory span of control appropriate for each Branch/Team/Group of the procurement organization?				
	Facilities				
7.	Do the facilities permit adequate safeguarding of procurement files and protection of proprietary data? (FAR 4.8, 14.401(a) and 15.207)				

System Criterion 2: Policies and Procedures

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Do the existing organizational structure and resources ensure the timely interpretation, dissemination, and local implementation of new or amended regulatory or policy issuances? Is the policy function a separate organizational function reporting directly as front line staff to the Procurement Director?				
2.	Is there an established Independent Review function that is a separate component of the contracting activities’ operations?				
3.	Are there adequate resources in place to represent the local contracting activities’ interests and obligation to support Department-wide activities such as the Procurement Policy Advisory Group, the Financial Assistance Council, Strategic Sourcing, and the Site Acquisition Career Management Council?				
4.	Is there a senior policy focal point for ensuring development and dissemination of local regulations, policy, and guidance?				
5.	Do local policies, directives and forms supplement rather than duplicate higher level policies, directives and forms? (DOE Acquisition Guide Chapter 1.1)				

System Criterion 3: *Employee Conduct and Development*

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Training:				
	a. Are records maintained?				
	b. Are records current?				
	c. Are all acquisition personnel certified under the Federal Acquisition Certification in Contracting?				
	d. Have Individual Development Plans (IDPs) been established for all division members, as appropriate?				
	e. Has IDP training been received or scheduled?				
	f. Does the procurement organization utilize the in-house training program as a tool for obtaining employee training?				

System Criterion 4: Contracting Officer Certification

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Contracting Officers (COs) and Warrants:				
	a. Are selections, appointments, and terminations of COs done in accordance with DOE Order 541.1B?				
	b. Is there a focal point for maintaining warrant files?				
	c. Is CO authority controlled through higher level reviews?				
	d. Are certificates of appointment signed by the Head of Contracting Activity? (DOE Order 541.1B)				
2.	Contracting Officer’s Representatives (CORs) for Acquisitions Actions:				
	a. Are selections, appointments, and terminations of CORs done formally in accordance with DOE Order 541.1B?				
	b. Are specific instructions regarding authority given?				

System Criterion 5: *Quality Attainment and Checks and Balances*

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are management objectives established to improve the quality of acquisition and assistance?				
2.	Are adequate systems and procedures established for ensuring the quality of acquisition actions (e.g., are independent team or peer reviews of transactions performed; are local self-assessments conducted; etc.)?				
3.	For actions that are required to be sent to Headquarters for a business clearance review (Acquisition Guide Chapter 71.1): a. Did the action undergo local independent review? b. Did the action undergo local general counsel review? c. Had the local Procurement Director reviewed the submission? d. Does the file evidence local coordination of the above reviews and document resolution of comments?				
4.	Is the procurement office using the Balanced Scorecard core measures and supporting local measures as a tool to assist in managing the office?				
5.	For the periodic compliance review (self-assessment) required by the BSC program, is a Final Report of the review being developed with a copy submitted to Headquarters MA-62? Are corrective action plans being developed and progress monitored?				

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6.	Are Balanced Scorecard records being maintained in accordance with records management requirements?				
7.	Are there trends in either the quantity or type of protests, which would indicate problems with the procedures of the activity or with the peer or independent review function?				
8.	Is the administration function receiving adequate resources and management attention? (FAR 42)				

System Criterion 6: Management Information System

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Is Federal Procurement Data System - Next Generation (FPDS-NG) and Procurement and Assistance Data System (PADS) input data timely, accurate, and complete? (DOE Acquisition Guide, Chapter 4)				
2.	Are FPDS-NG and the electronic Subcontracting Reporting System (ESRS) award information all utilized in support of reporting functions of small and small disadvantaged business utilization and competition advocate?				
3.	Are PADS and FPDS-NG and/or other procurement information systems used by management as tools for analysis and decision-making, including the following areas among others?				
	a. Accomplishing awards within the contracting office’s standard published lead times?				
	b. Reducing noncompetitive actions?				
	c. Reducing the inventory of inactive and overage contracts and financial assistance instruments?				
	d. Achieving socioeconomic goals?				
4.	Are all responsible personnel trained in the use of, and responsible for, entry of data into the Contractor Past Performance Database?				
5.	Does the contracting activity either maintain or utilize an information system which tracks simplified acquisition actions, including modifications?				

PART II: Acquisition System Review Criteria

System Criterion 7: Socioeconomic Programs

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Has the contracting activity appointed a Small Business Specialist? (FAR 19.201 and DEAR 919.201)				
2.	Does the contracting activity have a system for identifying and developing new small, small disadvantaged, Historically Underutilized Business Zone (HUBZone) small business, 8(a), women-owned, veteran-owned and service disabled veteran-owned business sources? (FAR 19.202-2)				
3.	Is the contracting activity maintaining and utilizing a list of active prime contracts having subcontracting plan requirements? (FAR 19.705-6 and DEAR 919.705-6)				
4.	Is the contracting activity pursuing and achieving its Head of the Contracting Activity (HCA) prime and subcontract award goals for small, small disadvantaged, HUBZone small business, 8(a), women-owned, veteran-owned, and service disabled veteran-owned businesses? (Public Law 95-507)				
5.	Has a Green Acquisition Advocate been appointed pursuant to Acquisition Letter 2002-05 and DOE Acquisition Guide Chapter 23?				
6.	Has the contracting activity appointed a Contracting Activity Competition Advocate pursuant to FAR 6.5?				
7.	Is coordination between the contracting activity, the Office of Small and Disadvantaged Business Utilization (OSDBU), and/or the Small Business Administration Procurement Center Representative (SBA-PCR) occurring for required actions? (AL-2005-02, AL-2005-08, Form DOE F 4220.2)				

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8.	Does the contracting activity conduct periodic reviews of major site contractors' small business programs to determine the contractors' performance against their small business subcontracting plans? (AL-2005-08)				
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System Criterion 8: Advance Planning System

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Is each customer of the contracting activity identifying its requirements prior to the start of the fiscal year in which contract award was required? (FAR 7.104)				
2.	Is advance planning avoiding the following undesirable practices? (FAR 6.301 and 7.103)				
	a. Noncompetitive award or contract modifications?				
	b. Use of letter contract and/or pre-award cost arrangement?				
	c. An inordinately heavy workload at the end of the fiscal year?				
3.	Is adequate consideration given to socioeconomic programs? (FAR 19.201)				
4.	Is the contracting activity providing wide dissemination of standard lead times? (FAR Part 7)				
5.	Are acquisition plans being prepared as required by FAR Part 7?				
6.	When an acquisition plan is required, does it include all elements required by DOE O 413.3?				
7.	If applicable, do local procedures provide for HQ program office involvement in developing the fee structure and allocations including review & approval?				
8.	Are the items and/or services required available using General Services Administration (GSA) or other Government-wide sources and was this considered in the Acquisition Plan or other planning documentation? (DOE Acquisition Guide Chapter 38)				

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9.	Are the items and/or services required available using strategic sources and was this considered in the Acquisition Plan or other planning documentation? (DOE Policy Flash 2006-29)				
10.	If acquiring products and/or services that have Department-wide applicability, were other program offices considered in the generation of the requirement? In acquisitions that have Department-wide applicability, were major site contractors authorized to acquire the same products and/or services?				

System Criterion: 9: Pre-solicitation

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
	Market Research				
1.	Was market research conducted and documented? (FAR 10.001 and 10.002)				
	Procurement Request Package				
2.	Was the PR package complete when received?				
3.	Are complete PR packages received early enough to provide adequate time to award based on the lead times published by the contracting activity? (FAR 7)				
4.	Does the PR indicate that funds have been certified? (Anti-Deficiency Act)				
5.	Are SOWs written to allow performance-based contracting methods? (FAR 37.102)				
	Unsolicited Proposals				
6.	Is there evidence that unsolicited proposals are processed through the Department’s Unsolicited Proposal Coordinator and assigned a DOE proposal control number? (FAR 15.606 and DEAR 915.506)				
7.	Does documentation support that unsolicited proposals meet the criteria of validity? (FAR 15.603 and 15.606, and DEAR 915.503)				
8.	Are justifications for acceptance of unsolicited proposals being prepared? (FAR 15.606)				
	Small, Small Disadvantaged, Women-Owned and HUBZone Concerns				
9.	Is there evidence in the file of a small business review by the local Small Business Specialist? (FAR 19.501)				
10.	Are procurement request packages valued in excess of \$3 million for services and \$5 million for supplies (and not set aside for small business or 8(a) participation) being forwarded to the DOE Office of Economic Impact and Diversity for review? (Acquisition Letter				

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	2000-02)				
11.	If it is determined that subcontracting possibilities do not exist for proposed contractual actions, is the determination approved at a level above the CO? (FAR 19.705-2)				
	Synopsis				
12.	Are synopses of proposed contract actions being publicized in FebBizOpps via IIPS? (FAR Part 5 and Part 17)				
13.	Was the synopsis published at least 15 days prior to issuing a solicitation as applicable? (FAR 5.203)				
14.	Are presolicitation notices being published in FedBizOpps via IIPS?				
15.	Were option periods and/or quantities included in the initial synopsis as applicable? (FAR 5.201 and 17.207)				
	Other than Full and Open Competition				
16.	Are justifications for other than full and open competition being processed for noncompetitive acquisitions exceeding the simplified acquisition threshold? (FAR 6.303)				
17.	Are justifications for other than full and open competition based on one of the permissible circumstances? (FAR 6.302) a. Are brand name justifications posted in accordance with FAR 5.102 or for Federal Schedule Supply buys in accordance with FAR 8.405-6 (2)?				
	Reviews and Approvals				
18.	Are justifications for other than full and open competition receiving the required reviews and approvals in accordance with agency and local procedures?(FAR 6.304, DEAR 906.304 and DOE O 542.1)				
19.	Are solicitations reviewed and approved at the appropriate level prior to issuance? (DOE Acquisition Guide Chapter 71, Delegation Letters and Local Procedures)				
20.	Were review comments resolved? (DOE Acquisition Guide Chapter 71 and Local Procedures)				

System Criterion 10: Solicitation

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Did the solicitation indicate the basis upon which award will be made including cost or price related factors, non-cost or non price related factors, and any significant subfactors that will be considered in awarding the contract? (FAR 12.301(c) and 15.304) Is the quality of the proposed product or service addressed? (FAR 15.304 (c)(2))				
2.	Was the relative importance of the evaluation criteria and sub-criteria communicated? (FAR 15.304(d))				
3.	Was past performance included as an evaluation factor in all competitively negotiated acquisitions that exceed \$100,000? If not, does the file include a determination that such action is inappropriate? (FAR 15.304(c)(3)(iv))				
4.	For acquisition of commercial items, was existing product literature requested in lieu of unique technical proposals? (FAR 12.205)(a)				
5.	Did solicitations with option provisions indicate how the option(s) would be evaluated? (FAR 17.206)				
6.	Did the evaluation factors for award match the instructions to offerors? (FAR 15.303)(b)(4)				
7.	Were solicitations issued using IIPS (Industry Interactive Procurement System) or other electronic means to facilitate the procurement process and reduce costs?				
8.	Were Organizational Conflicts of Interest (OCI) considered and any need to avoid, neutralize, or mitigate conflicts documented as required? (FAR 9.504) Are appropriate OCI provisions included in the solicitations and contracts as required? (DEAR 909.507-1 and -2)				

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9.	Are the solicitation provisions and contract clauses required regarding procurement integrity being used? (FAR 3.104-9)				
10.	If the solicitation contains local site clauses, were they approved in accordance with DOE policy for “Manning and Controlling STRIPES site local clauses”?				
11.	If required, does the solicitation contain a Wage Determination in accordance with the Service Contract Act of 1965, As Amended? (FAR 22.1002-1)				
12.	If the solicitation was issued before the wage determination was obtained, is there a notice in the solicitation? (FAR 22.404-4 & 36.213-3(c)(1))				
13.	Does the solicitation for construction, alteration, or repair of property include the proper regulatory requirements, i.e. Davis-Bacon, Copeland Act and Contract Work Hours & Safety Standards Act?(FAR 22.407)				
14.	Does the solicitation indicate that the requirement is set aside for small business concerns? (FAR 19.502-2)				
15.	If the requirement is not set aside for small business concerns, exceeds \$500,000 (\$1,000,000 for construction), and none of the conditions in FAR 19.702(b) apply, does the solicitation indicate that the apparently successful offeror(s) will be required to submit an acceptable subcontracting plan within a prescribed time limit?				
16.	For unrestricted acquisitions expected to exceed \$500,000 (\$1,000,000 for construction), does the solicitation indicate that the extent of participation of small disadvantaged business concerns in performance of the contract will be evaluated? (FAR15.304(c)(4))				

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17.	Under a solicitation which is expected to result in the award of an Indefinite Delivery/Indefinite Quantity contract, is the total minimum and maximum quantity of supplies or services the Government will acquire under the contract specified? (FAR 16.504(a)(4)(ii))				
18.	Does the solicitation state whether all evaluation factors other than cost or price when combined are significantly more important than cost or price, approximately equal to cost or price, or significantly less important than cost or price? (FAR 15.304(e))				

System Criterion 11: Evaluation and Source Selection

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	When contracting on a firm-fixed-price basis for a competitive procurement, was a price analysis performed? When contracting on a cost-reimbursement basis, was a cost realism analysis performed to determine what the Government should realistically expect to pay for the effort?(FAR 15.305(a)(1))				
2.	Were factors such as labor hours, skill mix, types and quantities of material, computer, travel requirements, etc., adequately addressed in the technical analysis? (FAR 15.404-1)(e))				
3.	Were technical evaluations accomplished consistent with the solicitation? (FAR 15.305)(a)(3)				
4.	If a cost/technical tradeoff was performed, did the source selection records include all the documentation required by FAR 15.305(a)(3)?				
5.	Did the notification to unsuccessful offerors include the information required by FAR 15.503?				
6.	Were the offerors' representations and certifications complete? If not, is there evidence in the file to demonstrate that the CO followed up for resolution?				
7.	When representations by offerors or other office documentation indicated that there were OCI (FAR 9.5 and DEAR 909.5) or FOCI (DEAR 904.7003) issues, did the CO follow the required procedures to resolve them?				
8.	Does the evaluation of past performance information take into consideration the past performance of subcontractors that will perform major or critical aspects of the requirement?(FAR 15.305(a)(2)(iii))				

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9.	Does the pre-award file contain evidence that the Government debriefed all unsuccessful offerors who requested a debriefing within three days of notification of their status as unsuccessful? (FAR15.505(a)(1))				
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System Criterion 12: Cost/Price Analysis and Profit/Fee

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Did cost/price analyses support the pre-negotiation objectives? (FAR 15.305, 15.406-1)				
2.	If the contract price is based on offeror supplied cost or pricing data, were audit reports requested for proposals in excess of \$500,000 for fixed price type contracts or \$1,000,000 for all other type contracts, or was a waiver prepared? (DEAR 915.404-2-70)				
3.	Were the weighted guidelines used when required? (FAR 15.404-4 (d) and DEAR 915.404-4-70-2)				
4.	Were the assigned weights used in weighted guidelines explained and documented in the price negotiation memorandum and do they appear appropriate for the products and services being acquired? (FAR 15.406-3(a)(10), DEAR 915.404-70-2 and 915.404-4-70-3)				
5.	When weighted guidelines were not used, was the file documented to justify the fee negotiated? (DEAR 915.404-4-70-4(c))				
6.	Were the contract fee amounts negotiated within statutory or regulatory limitations? (FAR 15.404-4(c)(4)(i))				

System Criterion 13: Negotiation

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Was a competitive range established for competitive procurements when discussions were held? (FAR 15.306)				
2.	If a competitive range was established for the purpose of negotiations, were all offerors determined not to be in the competitive range promptly notified? Is there evidence that written notification was provided to offerors when their proposals were excluded from the competitive range (FAR 15.503) or were no longer included in, or eliminated from, the competitive range? (FAR 15.306 (c)(3))				
3.	Is there evidence that discussions were held with all offerors in the competitive range? (FAR 15.306)				
4.	If discussions were held, do the requests for Final Proposal Revisions include the information required by FAR 15.307?				
5.	Do contract files contain a Price Negotiation Memorandum (PNM)? (FAR 15.406-3)				
6.	Do PNM’s contain the minimum information required in FAR 15.406-3? Do PNM’s include an explanation of any significant differences from field pricing assistance recommendations? (FAR 14.406-3(a)(7))				
7.	Do PNMs include an explanation of any significant differences between the pre-negotiation objective and the negotiated price? (FAR 15.406-3)				
8.	When required, were certificates of current cost or pricing data executed on the date price agreement was reached or another mutually agreed to date? (FAR 15.403-4)				

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9.	If the contracts or any subcontracts are expected to exceed \$10,000,000 in value, was a pre-award clearance obtained from the appropriate OFCCP regional office? (FAR 22.805)				
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System Criterion 14: Award and Files

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Does the contract file include the appropriate documentation for the action and a properly completed Contract File Content Checklist? (FAR 4.8)				
2.	Are documents filed consistent with the Contract File Content Checklist and arranged in chronological order with the most recent document on top?				
3.	Are files cross-referenced when multiple files are used?				
4.	Did the source selection statement include the basis and the reasons for the decision? (FAR 15.308)				
5.	Do files contain required checks (e.g., GSA Parties Excluded from Federal Procurement and Non-Procurement Programs, Equal Employment Opportunity, VETS100)? (FAR 9.4, 22.805, 22.13)				
6.	Does the file include a properly prepared Subcontracting Plan? (FAR 19.704)				
7.	Were copies of the Subcontracting Plan provided to the SBA and Small Business Program Manager? (FAR 19.705)				
8.	Was the Office of Congressional Affairs notified? (DOE Acquisition Guide Chapter 5)				
9.	Were contract awards reviewed and approved at the required level prior to negotiation or execution? (DOE Acquisition Guide Chapter 71, Delegation Letters and Local Procedures)				
10.	Were review comments resolved? (DOE Acquisition Guide Chapter 71 and Local Procedures)				
11.	Are Affirmative Procurement Program provisions and clauses (FAR 52.223-4, 52.223-9, 52.223-10) included in appropriate contracts pursuant to FAR 23.406 and 23.705?				

System Criterion 15: Pre-Award Cost Authorizations, Letter Contracts, and Ratifications

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are terms being placed in contracts to provide a specific dollar limit to the Government’s obligation regarding pre-contract costs? (FAR 31.109, 31.205-32)				
2.	Are pre-contract costs being approved at the required level? (FAR 31.109, 31.205-32 and DEAR 931.205-32)				
3.	If ratification was required, did the Head of the Contracting Activity ratify the unauthorized commitment? (FAR 1.602-3) Was the dollar amount within the authority of the HCA? (DEAR 901.602-3)				
4.	Was the ratification within the limiting conditions of FAR 1.602-3(c) Limitations?				
5.	If a Letter contract was used, did it include the information required by 16.603-2(c)?				
6.	If a Letter contract was used, did it include the clauses required by 16.603-4(b)?				
7.	Did the HCA determine in writing that no other contract, other than a letter contract, is suitable? (FAR 16.603-3)				

System Criterion 16: Protests

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	If there was a protest prior to award and the HCA determined to proceed with contract award prior to a protest decision, was the HCA authorization concurred in by counsel, endorsed by the Senior Program Official, and approved by the Procurement Executive? (DEAR 933.103 and 933.104(c))				
2.	If the HCA proceeded with award (as described in the question above), was required notice given to GAO? (FAR 33.104(b)(2))				
3.	If there was a protest to GAO within 10 days after award or within 5 days after a debriefing date was offered to the protestor, whichever was later, did the CO suspend performance, terminate the contract or obtain required authorization for the contractor to continue performance? (FAR 33.104(c)(1))				
4.	If the HCA authorized contract performance after an award was protested, did the authorization receive approval by the Procurement Executive? (DEAR 933.104(c))				
5.	Were procedures followed when there are GAO’s recommendations for award of costs? (FAR 33.104(h))				

System Criterion 17: Contract Administration

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Was a COR designated in writing prior to or at the time of award? (DOE O 541.1B)				
2.	If the contract included Government-Furnished Property (GFP), was:				
	a. Property management delegated in writing?				
	b. Evidence of GFP accountability in the file?				
3.	If a post-award conference was held, was it properly documented? (FAR 42.503-2 & -3)				
4.	Does the contract file include a log to track modifications issued? Is the log being maintained?				
5.	Is there a method for tracking dollars and hours allocated and expended on applicable contract actions? Are these methods (e.g., logs) being maintained?				
6.	Were data deliverables submitted in accordance with the Reporting Requirements Checklist? If not, did the file document the CO’s actions to remedy the problem?				
7.	Are contractor performance reports (CPRs) prepared in accordance with FAR Part 42.15? (FAR 42.15 and DOE Acquisition Guide Chapter 42)				
8.	Did the CO initiate and document action on late delivery or poor performance? (FAR 42.302)				
9.	When contractors fail to make progress or comply with some other contractual provision, are “cure notices” sent? (FAR 49.402-3(d) and 49.607)				
10.	When “show cause” letters or “cure” notices are issued to small business firms, are copies sent to the SBA Regional Office nearest the contractor? (FAR 49.402-3(e)(4))				

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11.	Is there evidence validating inspection and acceptance of end items? (FAR 46.102)				
12.	<p>Is past performance data being submitted into the federal repository when over the simplified acquisition threshold? (FAR 42.1502 and 42.1503)</p> <p>a. Are interim evaluations being submitted?</p> <p>b. Was a final evaluation submitted?</p> <p>c. Was the contractor provided a copy and allowed 30 days to comment?</p> <p>d. Is a file retained containing the evaluation, contractor response, and review?</p>				
13.	If subcontracting goals were not met, did the file include documentation regarding the CO's action, including advising the local Small Business Specialist/Program Manager of subcontracting deficiencies? (FAR 19.702 and 19.706)				
14.	When there are novations or change-of-name agreements, are they processed in accordance with FAR 42.12? (DOE Acquisition Guide Chapter 42.3) Does legal counsel review them? (FAR 42.1203(f))				
15.	For M&O, facility, and other complex contracts, is a Contract Management Plan (CMP) in place and maintained? (DOE Acquisition Guide Chapter 42.5)				

System Criterion 18: Contract Modifications

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are certified funds available to cover estimated cost or price increases before new or change work was authorized? (FAR 43.105)				
2.	Were the proper authorities cited on the modifications and change orders?				
3.	Do modifications and change orders clearly describe the revisions to the contract? (FAR 43)				
4.	Are modifications to increase the scope of work supported by an appropriately approved justification for other than full and open competition? (FAR 6.3, DOE Acquisition Guide 6.1, & Local Procedures)				
5.	Are modifications to increase the scope of work synopsized if the modification meets the threshold at FAR 5.101(a)(1)? (FAR 5.201 & DOE Acquisition Guide Chapter 5.2)				
6.	Are cost/price analyses completed for modifications, which increase contract costs? (FAR 43.204(4) & 15.404)				
7.	If options were included in the contract, did the file include a:				
	a. Notification of intent to exercise the option provided to the contractor as specified in the contract? (FAR 17.207(a))				
	b. Determination to exercise an option in accordance with FAR 17.207(c)?				

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8.	Were Federal Procurement Data System (FPDS) or Procurement Assistance Data System (PADS) reporting requirements for interagency agreement actions met for modifications and definitized change orders, as appropriate?				
9.	Are modifications and change orders reviewed and approved at the required level prior to execution? (DOE Acquisition Guide Chapter 71, Delegation Letters and Local Procedures)				
10.	Were review comments resolved? (DOE Acquisition Guide Chapter 71 & Local Procedures)				

System Criterion 19: Payment

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are advance payments for non-commercial items utilized only in appropriate circumstances? (FAR 32.4 and DEAR 932.4)				
2.	Did the CO reconcile advance payments and actual expenditures? (FAR 32.4)				
3.	Did the HCA make a findings and determination and approve the contract terms and conditions concerning advance payments? (DEAR 932.402)				
4.	Are progress payment vouchers reviewed and approved prior to payment? (FAR 32.5)				
5.	Were guidelines for customary progress payments rates (FAR 32.501-1 & DEAR 932.501-2) and unusual progress payments (FAR 32.501-2) followed?				
6.	Does the Contracting Officer submit invoices to the paying office in time to comply with the Prompt Payment Act? (FAR 32.9)				
7.	Are copies of invoices maintained in the contract file?				
8.	Is an invoice log maintained in the contract file to track contract expenditures?				
	A&E Services				
9.	Are the amounts of any progress payments withheld documented and not more than 10 percent? (FAR 2.111(d)(1) and 52.232-10)				
	Construction Services				
10.	Are determinations to retain progress payments for unsatisfactory performance documented and justified? (FAR 32.103)				

System Criterion 20: Closeouts

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are contracting personnel meeting the established time standards for closing out physically completed contracts? (FAR 4.804-4)				
2.	Are quick closeout procedures utilized where applicable? (FAR 42.708)				
3.	Were all deliverables received prior to final payment?				
4.	Are all terms of contract performance satisfied prior to closeout? (FAR 4.804-2(b))				
5.	Are release of claims being obtained as required by the appropriate FAR 52.232 payment clauses? (e.g., 52.232-5, 52.232-7, 52.232-10)				
6.	Are cost contracts monitored to ensure timely request for final audit and closeout? (FAR 42.705 and DEAR 942.705-1)				
7.	Is there a mechanism/system to track delivery of the deliverables to the Office of Scientific and Technical Information (OSTI)? Send to OSTI via E-Link system using the 241.1 or 241.3 form				
8.	Did OSTI receive all required deliverables prior to closeout? (DEAR 935.010) Send to OSTI via E-link system. No longer use the 1332.15 form; now use the 241.1 or 241.3 form				
9.	Was a final assessment of the contractor’s performance entered into the federal repository?				

System Criterion 21: Terminations

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	When contracts are terminated for default, do the files contain a determination and a memorandum of circumstance signed by the CO? (FAR 49.402-5)				
2.	Are all the criteria and alternatives to default termination considered? (FAR 49.101(b) and 49.402-3 and 4)				
3.	Did technical personnel and legal counsel review the type of termination action prior to the CO terminating for default? (FAR 49.402-3(a))				
4.	If in default, but the requirement no longer exists, and there have been no damages to the Government, are no-cost termination settlements executed? (FAR 49.402-4(c))				
5.	Are the termination notices properly prepared? (FAR 49.102)				
6.	Are copies of termination notices sent to each assignee, guarantor, or surety? (FAR 49.102)				
7.	When a contractor is in default of contract for failure to make timely delivery, is a “show cause” letter issued and a copy sent to the surety, if any? (FAR 49.402-3(e) and 49.607) If a new date is negotiated, is consideration received for the extension?				
8.	Are termination settlement agreements approved at a level higher than the CO and, if over \$50K, by the HCA? (DEAR 949.111)				

System Criterion 22: GSA Federal Supply Schedules

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
	Supplies or Services without a Statement of Work (SOW)				
1.	Has the CO determined that the order represents the best value to the Government?				
2.	Has the CO ensured that the order was placed after proper acquisition planning, including developing an acquisition plan and complying with requirements on bundling? (FAR 8.404)				
3.	For orders at or below the micro-purchase threshold: Although not required to solicit from a specific number of contractors, did the contracting activity attempt to distribute orders among contractors? (FAR 8.405-1)				
4.	a. For orders exceeding the micro purchase threshold but below the maximum order threshold, did the contracting activity survey the price lists of at least three schedule vendors? (FAR 8.405-1)				
	b. Did the CO consider the factors, or similar factors, in FAR 8.405-1(c) in making the best value determination?				
5.	a. For orders exceeding the maximum order threshold, did the CO survey the price list of more than three schedule vendors? (FAR 8.405-1(d))				
	b. Did the CO seek price reductions from the schedule contractor considered the best value after reviewing the initial evaluation of price lists (FAR 8.405(d))				
6.	Does the CO ensure that the proper SIN codes applies to the supply or service being acquired?				
	Services with a SOW				
1.	Does the SOW include the items required by FAR 8.405-5(b)?				
2.	Did the CO determine that the order is not being used to circumvent DOE policy or regulation? (FAR 13.303-6)				

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3.	Did the CO determine that the order's SOW is within the schedule contract's SOW? (AL 2005-05)				
4.	Did the CO include a provision in the order that all follow-on tasks must be reviewed by the CO to ensure that the scope of work is appropriate? (AL 2005-05)				
5.	Did the CO comply with all specific schedule and schedule contract requirements?				
6.	Did the CO document advice from GSA COs when sought? (AL 2005-05)				

System Criterion 23: Architect/Engineering Services

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	For the cost type A-E contracts, is the scope of work being written in either a completion or term form? (FAR 16.306(d))				
2.	Does the description of services exclude inherent Government functions? (FAR 11.106)				
3.	If the A-E contractor is performing inspection services of another contractor, are written instructions defining its responsibilities being given to the A-E Contractor and a copy to the Contractor who is to be inspected? (DEAR 936.7101(b))				
4.	Are evaluation boards being appointed? (FAR 36.602-2)				
5.	Did the evaluation board prepare a selection report that included the requirements identified in FAR 36.602-3(d)?				
6.	For each contract over \$25,000 is a performance evaluation report, SF-1421, being prepared? (FAR 36.604)				
7.	Are potential contractors evaluated on the criteria in DEAR 936.602-70?				
8.	Is the FAR clause “52.236-22 Design Within Funding Limitation” included in fixed price A-E contracts or its exclusion documented? (FAR 36.609-1(c))				
9.	Are independent confidential Government cost estimates prepared and submitted to the CO before commencing negotiations for each proposed contract or contract modification expected to exceed \$100,000? (FAR 36.605)				
10.	Were discussions held with at least three of the most highly qualified A-E firms? (FAR 36.602-3(c))				
11.	Is there evidence in the contract file that during negotiations, the A-E firm was informed that no construction contract may be awarded to the designing A-E firm? (FAR 36.606 (c))				

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12.	Are subcontracts to outside firms or consultants limited to those specifically agreed upon during negotiations? (FAR 36.606(e), 44.204(b), and 52.244-4)				
13.	Are FAR 52.236-24 and DEAR 952.236-71 included in the contract? (FAR 36.609-3 and DEAR 936.609-3)				
14.	Do Architect-Engineer specifications and selections address “Green Purchasing” considerations such as energy and water efficiency, use of recovered material products, and environmentally preferable materials and services pursuant to FAR 36.601-3(a) and 36.602-1(c)?				

System Criterion 24: Construction Contracts

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Do the advance notices and solicitations state the magnitude of the requirement in terms of physical characteristics and estimated price range? (FAR 36.204)				
2.	If there is a statutory cost limit for the construction project or for individual contract line items, is it stated in the solicitation and is the award amount within the limit? (FAR 36.205)				
3.	Are appropriate methods of contracting being selected? (FAR 6.401 and 36.103)				
4.	If the construction contract was determined to be set aside for placement under the SBA 8(a) program, does the file contain documentation of the Agency Offering to the SBA? (FAR 19.804-2)				
5.	Except with the approval of the head of the agency or authorized representative, does the contracting activity ensure that construction contracts are not awarded to the firms who designed the projects or its subsidiaries or affiliates? (FAR 36.209)				
6.	Unless there is a waiver by the HCA or designee, are pre-solicitation notices publicized through the Government wide point of entry in accordance with FAR 5. when the proposed contract is expected to exceed \$100,000? (FAR 36.213-2(a))				
7.	Do pre-solicitation notices contain all the information required by FAR 36.213-2(b)?				
8.	Do files contain an independent Government estimate of each proposed contract and modification anticipated to cost over \$100,000 or more? (FAR 36.203)				

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9.	Do files contain documentation of a Preconstruction orientation in the form of an explanatory letter or a preconstruction conference agenda? (FARE 36.212)				
10.	Is the evaluation for the need of liquidated damages provisions in the contract documented and the amount of the damages justified? (FAR 36.206 and 11.502)				
11.	Are bid guarantees being required whenever performance and payment bonds are required for fixed price or unit price contracts obtained by sealed bidding? (FAR 28.101-1 and DEAR 928.101-1)				
12.	Are contractor performance evaluation reports using SF 1420 prepared and filed for all contracts \$500,000 or more than \$10,000 if terminated for default? (FAR 36.201)				
13.	If other than domestic source construction materials are used, are determination and findings being made? (FAR 25.202(b) & DEAR 925.202)				
14.	Are the Labor Law Clauses included in the solicitation and contracts in excess of \$2,000 for construction within the United States? (FAR 22.407)				
15.	If there are contracts and contract modifications with large businesses and are over \$1 million that have subcontracting possibilities, was a subcontracting plan submitted, approved made a part of the contract? (FAR 19.702)				
16.	Are copies of weekly payrolls and statements of compliance received from the contractor? (FAR 22.406-6)				
17.	Was a Statement and Acknowledgement (SF-1413) for each subcontract submitted to the CO within 14 days after award and 14 days after any subsequently awarded subcontract? (FAR 22.407(a)(6) and 52.222-11)				

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18.	If a contract modification was necessary because of an error or deficiency in design provided under an A/E contract, were excess costs recovered from the A/E and is there a written statement for reasons for the decision to recover or not to recover the costs from the firm? (FAR 36.608)				
19.	When negotiating prices for construction, are proposed prices compared to the Government estimate? (FAR 36.214(b))				
20.	Do construction contracts specify the use of EPA designated construction products and other “Green Purchasing” considerations such as energy and water efficiency, and environmentally preferable materials and services pursuant to FAR 11.002(d)?				

System Criterion 25: Information Technology Procurements

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Was an Agency Procurement Request (APR) submitted and approved by the DOE Chief Information Officer (CIO) for Information Technology Procurements (ITP) exceeding \$50 million? (DOE Acquisition Guide, Chapter 39-1)				
2.	Was a requirements analysis and risk assessment performed? (FAR 39.1, OMB Circular A-130)				
3.	Has a review been completed and documented that the DOE-wide Information Management Acquisition (DIMAP) list of existing DOE contracts does not meet the agency needs?				
4.	Is this acquisition a GSA-mandatory telecommunications requirement such as FTS? (DOE Acquisition Guide, Chapter 39-1)				
	a. If yes to number 4 above, has a request for exception been prepared and approved by the DOE-CIO and GSA?				
5.	Have Energy Star Requirements been included in the solicitation and award? (Executive Order 13123, DOE Acquisition Guide, Chapter 39-1)				
	a. If no to number 5 above, has an exception been granted by the HCA? (DOE Acquisition Guide, Chapter 39-1)				
6.	Is the acquisition part of a system that is being purchased in increments or modules? (FAR 39.103)				
	a. If yes to number 6 above, has the award been made within 180 days of solicitation to avoid obsolescence? (FAR 39.103(e))				

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7.	Have requirements for a program of Government inspection during performance of the contract been implemented to ensure efficacy and efficiency of safeguards? (FAR 39.105(d))				
8.	Has the clause 52.239-1, Privacy or Security Safeguards, been included in solicitations and contracts for ITP which require security of information? (FAR 39.107)				
9.	Has the use of full and open competition been done to maximize return on investment? (FAR 6.1, OMB Circular A-130)				
10.	<p>Is any hardware or software under this procurement IPv6 compliant? (AL-2006-04)</p> <p>a. If no to number 10 above, has a waiver from the DOE CIO been requested and received?</p>				
11.	<p>Is this contract for IT infrastructure services?</p> <p>a. If so, was the effort obtained through the IT MEO and its subcontractor, EES, as required under the Consolidated Operating Environment policies?</p>				

System Criterion 26: Simplified Acquisition Purchases –Purchase Orders, Purchase Cards, Blanket Purchase Agreements

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are at least three sources being solicited to promote maximum practicable competition? (FAR 13.104 and 13.106-1)				
2.	Have procedures been established for verifying that orders have been completed and all payments made? (FAR 4.804-5)				
3.	Is there evidence of repetitive small orders with a single firm, or for the same supplies, which indicates the need for a BPA or a Requirements contract? (FAR 13.303)				
4.	Are mandatory sources of supply and priorities for use of Government Supply Sources being used as required by FAR Part 8? (FAR 8.002(a))				
5.	Are files documented to explain awards not set aside for small business? (FAR 13.106-3 and 19.502-2)				
6.	Are files annotated to explain the absence of competition for purchases over \$2,500 where only one source is solicited? (FAR 13.106-3)				
7.	Are purchases exceeding \$25,000 synopsisized in FedBizOpps via IIPS?(FAR 13.105)				
8.	Are appropriate provisions and clauses included in solicitations and contracts when purchasing other than commercial items and services? (FAR 13.302-5)				
9.	When purchasing commercial items and services, are appropriate provisions and clauses included in solicitations and contracts? (FAR 12.301)				
10.	Are waivers obtained when the standard commercial items and services are tailored and inconsistent with customary commercial practice? (FAR 12.302 and DEAR 912.302)				

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11.	In the absence of adequate price competition, do files contain a statement of price reasonableness? (FAR 13.106-3(a)(2))				
12.	Has a follow-up system been established to check on deliveries? (FAR 46.601)				
13.	Are inspection and acceptance adequately accomplished? (FAR 46.102 and FAR 46.501)				
14.	Do orders just under \$25,000 appear to be split requirements that could have been combined into one purchase? (FAR 13.003(c)(2))				
15.	For construction contracts greater than \$25,000 but not greater than \$100,000, is there a selection of at least two or more types of payment protections for the contractor to furnish? (FAR 28.102(b)(1))				
16.	For construction contracts greater than \$2,000, are the appropriate Labor Clauses included in the solicitation and contract? (FAR 22.407)				
17.	When Purchase Orders are canceled or terminated has the Contractor been notified in writing, the Contractor's written acceptance been requested and the procedures of FAR 13.302-4 been followed and documented? (FAR 13.302-4)				
18.	Has a procedure for closing-out small purchases been established? (FAR 4.804 and DEAR 904-804)				
19.	Are completed orders closed out in a timely manner? (FAR 4.804)				
	Purchase Cards				
20.	Has the organizational Program Coordinator/ Purchase Card Manager completed the annual program audit required by the DOE Policy and Operating Procedures Manual? (DOE Acquisition Guide Chapter 13)				
21.	If the most recent audit had findings, have actions been taken to resolve them? (DOE Acquisition Guide Chapter 13)				
	Blanket Purchase Agreements				
22.	Do the Blanket Purchase Agreement (BPA) forms used for small purchases contain all necessary terms and conditions, including individuals authorized to place calls/orders and extent of their authority? (FAR 13.303-3)				

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23.	Are BPAs prepared without identification of appropriations and accounting data as stated in FAR 13.303-3(a)(2) and FAR 13.303-5(e)(4)?				
24.	Are calls/orders made against BPAs in accordance with required policies and procedures of FAR 13.3 and internal office procedures? (FAR 13.303-5)				
25.	Are individual orders placed under BPAs competed? (FAR 13.303-5)				
26.	Are consolidated monthly invoices being received in lieu of vendors invoicing for each call order? (FAR 13.303-3(a)(6))				
27.	Are BPAs receiving CO reviews annually to ensure that authorized procedures are being followed at least annually for updating, if necessary? (FAR 13.303-6)				
28.	Are sufficient calls/orders placed against a BPA to warrant its continued existence?				
29.	Are BPA calls/orders within the maximum call/order limits? (FAR 13.303-3(a)(3))				

System Criterion 27: Funds-Out Interagency Agreements

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Does the contracting activity ensure that contracting from other agencies is not performed for the purpose of avoiding competition requirements? (FAR 6.002)				
2.	Does the contracting activity ensure that contracting from other agencies is not for the purpose of circumventing DOE policies and regulations? (AL 2005-05)				
3.	Does the file include the following:				
	a. Approved procurement request?				
	b. Statement of Work and performance schedule?				
	c. Reporting requirements?				
	d. Independent government cost estimate for the total project costs?				
4.	Does the justification to support the Determination and Finding (D&F) required by FAR 17.503 include the following:				
	a. sets forth, with supporting documentation, the prerequisites found at FAR 17.503;				
	b. states conformance to all DOE regulations, policies and procedures; (AL 2005-05)				
	c. states that the supplies or services obtained are within the authority of the servicing agency;				
	d. states that any services to be contractually provided by the servicing agency are within the scope of the IAA statement of work and that any follow-on tasks will be reviewed by the DOE Contracting Officer to ensure that they are also with the scope of the IAA statement of work (AL 2005-05)				

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	e. states that any services to be contractually provided by the servicing agency have been determined to be within the scope of the servicing agency's contract /order statement of work by both the DOE and the servicing agency's cognizant Contracting Officer; (AL 2005-05)				
	f. includes detailed information on the supplies or services that are to be provided, performance/delivery schedules and the responsibilities of the servicing agency to ensure compliance with all contractual requirements; (AL 2005-05)				
	g. describes any DOE special or unique terms, conditions or requirements to be incorporated into the IAA and/or servicing agency contract/order;				
	h. states it is in the best interest of DOE for satisfying customer requirements, schedule, cost and administration requirements; and				
5.	Do the award documents contain the required elements, such as:				
	a. Description of the supplies or services required?				
	b. Delivery requirements?				
	c. A funds citation?				
	d. A payment provision?				
	e. Acquisition authority as may be appropriate?				
	f. An issue resolution mechanism?				
	g. Patents and technical data coverage?				
	h. Special DOE Terms and Conditions?				
	i. Limitation on adding work without CO approval?				
	j. Termination clauses?				
	k. Stop Work Order clause?				
	l. Environmental Safety Health Requirements?				
	m. Program officers identified?				
	n. Attachments? (i.e., drawings)? (FAR 17.504, 17.505, and DOE Acquisition Guide, Chapter 17, AL-2005-05)				

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6.	Are the model Interagency Agreement format and standard general provisions utilized? (FAR 17.504(b) and DOE Acquisition Guide, Chapter 17)				
7.	Was electronic media utilized to make an Interagency Agreement award, to notify the DOE Office of the Chief Financial Officer of the obligation of funds, and to submit reports by the servicing agency? (DOE Acquisition Guide, Chapter 17)				
8.	Did the CO designate a COR with specific administration functions? (AL 2005-05)				

System Criterion 28: Government-wide Acquisition Contracts

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Does the file contain a copy of the statement of work and other applicable contractual documents and validate that the services requested are within the scope of that GWAC? Did the CO document in a memo to the file this review of the statement of work?				
2.	Does the order comply with all DOE regulations, policies and procedures?				
3.	Did the CO document that the order is in the best interest of DOE for satisfying customer requirements, schedule, cost and administrative requirements?				
4.	Did the CO designate a DOE COR if the servicing agency is not acting as the COR? Did the CO put the designation in the file? (AL 2005-05)				
5.	If an option period or an extension has been exercised, did the CO execute a Determination and Findings as required by FAR 17.207? (AL 2005-05)				

System Criterion 29: Service Contracting

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
	Inherently Governmental Functions				
1.	Has the contracted effort been designed to ensure that the contractor will not perform any inherently Governmental functions? (FAR 7.5)				
2.	Is there evidence (such as training) indicating that CORs are familiar with the restrictions on employee-employer relationships, and with restrictions on performing inherently Governmental functions?				
	Advisory and Assistance Services				
3.	Are advisory and assistance services being required in accordance with the guidelines in FAR 37.2?				
4.	Does the award for advisory and assistance services include any of the prohibited services listed in FAR 37.203?				
5.	If the advisory and assistance services required are to assist the Government in the evaluation or analysis of proposals, were the requirements of FAR 37.204 followed?				
	Personal Services				
6.	Has the contracted effort been designed to ensure that a personal services relationship does not exist between the contractor and Government personnel? (FAR 37.104)				

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	Defining Requirements				
7.	<p>In drafting SOW requirements, does the CO ensure that (FAR 11.106):</p> <ul style="list-style-type: none"> a. All final determinations are reserved for the Government? b. Proper identification is required of contractor personnel who attend meetings, answer Government phones, etc? c. Contractor is required to mark all documents or reports produced suitably? 				
8.	<p>Are the SOW requirements defined clearly, and are appropriate performance standards developed? (FAR 37.503)</p>				
9.	<p>Does the contracting activity utilize performance-based contracting methods for acquiring services to the maximum extent practicable? (FAR 37.102 and 37.6)</p>				
10.	<p>Does the contracting activity ensure that services are obtained in the most cost-effective manner, without barriers to full and open competition, and free of any potential conflicts of interest? (FAR 37.102)?</p>				

System Criterion 30: *Extend/Compete for M&O Contracts*

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are noncompetitive extensions, exercises of option, or authorizations to continue use of Management & Operating (M&O) contracts processed in accordance with AL 96-09?				
2.	If currently an FFRDC, has a comprehensive review been documented for continuation as an FFRDC, in accordance with FAR 35.017-4?				
3.	Are all necessary determinations and supporting documents included when actions identified in question 1 above are submitted to Headquarters for approval? (DOE Acquisition Guide Chapter 71)				
4.	Are the recommendations resulting from Headquarters review of the draft contract resolved or implemented?				
5.	Does the file include the necessary documentation to fully cover and explain all significant aspects of the negotiation/renewal processes, such as the pre-negotiation plan, summary of negotiations (including support of amounts exceeding objectives), required justifications, business considerations, etc.?				
6.	Has a determination of contractor responsibility been made in accordance with FAR Part 9?				
7.	Has a site utilization & management plan been developed in accordance with AL 2000-08?				

System Criterion 31: Performance-Based Fees (Award Fee/Incentives) for M&O Contracts

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	When determining fee objectives for M&O contractors, is a structure used which allows judgmental evaluation and consideration of such significant factors as set forth in DEAR 970.1504-1-1				
2.	Are fixed fee values assigned to the significant factors set forth in DEAR 970.1504-1-5? Do these values appear to be appropriate?				
3.	If the maximum amounts of fixed fee set forth in the fee schedules at DEAR 970.15404-1-6 were exceeded, was the approval of the Procurement Executive obtained? (DEAR 970.1504-1-2)				
4.	When determining the fee base for M&O contractors, are adjustments made to the allowable costs as set forth in DEAR 970.1504-1-7?				
5.	When the total available fee amount exceeds the guidelines set forth in DEAR 970.15404-1-9 is approval of the Procurement Executive obtained? (DEAR 970.1504-1-9)				
6.	If the use of the award fee guidelines in DEAR 970.15404-1-2(d) results in total fees exceeding statutory limitations at 41 U.S.C. 254(b), is approval of the Procurement Executive obtained? (DEAR 970.1504-1-2)				
7.	Are the determination of the fee prenegotiation objective and the determination of the negotiated fee documented in accordance with FAR 15.406?				
8.	Is a rating and fee determination process adequately set forth in the contract or in a Performance Evaluation and Measurement Plan?				
9.	Was the fee determination issued in accordance with DEAR 970.5215-1?				

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10.	Are fees for laboratory management and operation established in accordance with DEAR 970.1504-1-3?				
11.	Are changes under performance-based incentives properly documented in accordance with local change control procedures?				
12.	For fees above the HCA delegation level was the approval of the Office of Contract Management obtained? (DOE Acquisition Guide, Chapter 71.1)				

System Criterion 32: Administration and Modifications for M&O Contracts

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Does the HCA ensure that periodic appraisals of the contractor's management of all facets of the purchasing function are performed by the CO in accordance with established policies? (DEAR 970.4401-1 and DOE Acquisition Letter 2005-03)				
2.	Does the contracting activity review individual subcontracts of certain types or above stated dollar values to assure compliance with DOE policies and procedures? (DEAR 970.4401)				
3.	Is the Work For Others program being managed in accordance with the requirements and policies of DEAR 970.3400-1 and DOE Order 481.1C?				
4.	Are incurred-cost audits conducted annually as required, for those contracts having full CAS coverage?				
5.	Have Proposal Audits been conducted for the contract award and/or modification for: <ul style="list-style-type: none"> • each action greater than or equal to \$500K, if a fixed-price contract, or • each action greater than or equal to \$1M, if a cost type contract? (DEAR 915.404-2-70) 				
6.	Is the CO aware of the organizational element responsible for property and, when actions involving property occur, does the CO coordinate with the designated property administrator? (FAR 45.104)				
7.	If motor vehicles are to be furnished to contractors, are all criteria for acquisition at FAR 45.304 and DEAR 945.570-2 met and approved by the CO?				

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8.	When a modification is made to a M&O contract, is the file appropriately documented to fully explain and support the actions taken?				
9.	Have annual plans for financial managements systems and/or subsystems and major enhancements and/or upgrades been submitted to DOE for approval? (DEAR 970.5232-7)				
10.	Are modifications issued to reflect changes in cost, price and/or fee?				
11.	Is the contracting officer's representative designated in writing and does the contracting officer's representative: <ul style="list-style-type: none"> - have the required training - know the scope and limitations of the contracting officer's representative's authority - report to and properly represent the contracting officer who administers the contract 				
12.	Do subcontract awards requiring consent to subcontract show evidence of receipt of appropriate levels of review and approval? (DEAR 970.4401)				
13.	Do support service contracts featuring performance at a Government-owned or leased facility include the Waste Reduction Program clause, FAR 52.223-10, required by FAR 23.705?				
14.	Do contracts and/or solicitations for contractor operation of Government-owned or leased facilities include the Waste Reduction Program clause, FAR 52.223-10, required by FAR 23.705?				
15.	Does a Contract Management Plan (CMP), if required by DOE Acquisition Guide Chapter 42.5, exist for the contract(s) sampled?				
16.	If a CMP exists, does the file contain evidence that the CMP was reviewed locally? Does the file contain evidence that the CMP was reviewed/approved by HQ Contract Administration Division (MA-622), as required by the DOE Acquisition Guide, Chapter 71?				

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17.	Are the Affirmative Procurement Program clauses at FAR 52.223-10 and DEAR 970.5223-2 used in management and operating contracts pursuant to FAR 23.705 and DEAR 970.2304-2?				
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PART III: Financial Assistance System Review Criteria

System Criterion 1: *Presolicitation*

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	If a financial assistance award is to be competitively solicited by the contracting office have the guidelines set forth in 10 CFR 600.8 and the DOE Guide to Financial Assistance been followed?				
2.	Does the PR contain a certification that funds are available and authorized for the purpose stated by the procurement package? (Anti-Deficiency Act)				
3.	Has the appropriate award instrument been selected (i.e., financial assistance instrument versus a procurement contract) in accordance with 10 CFR 600.5 and the Guide to Financial Assistance?				

System Criterion 2: Solicitation

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Have the procedures for the treatment of application information set forth in 10 CFR 600.15 been followed?				
2.	Did DOE post synopsis of its funding opportunity announcements (FOA) and modifications to the announcements at the grants.gov/FIND Internet site via the Industry Interactive Procurement System at the same time that the announcement was posted on IIPS? (10 CFR Part 600.8(a)(2) and the Guide to Financial Assistance)				
3.	Does the FOA contain the standard data elements/formats set forth in 10 CFR 600.8(c) and the Guide to Financial Assistance?				
4.	Was the FOA developed using the standard template program in IIPS?				
5.	If there is a restriction of eligibility to less than all otherwise eligible applicants explained in the solicitation, is it supported by a properly approved written determination? (10 CFR 600.6(b))				
6.	Are FOAs reviewed and approved at the appropriate level prior to issuance? (Delegation Letters and Local Procedures)				
7.	Were review comments resolved? (Local Procedures)				

System Sub-Criterion 2: Non-Competitive and Unsolicited Applications

#	Criteria	Yes	No	N/A	Remarks
1.	If the award is noncompetitive, has a written determination of noncompetitive financial assistance been completed? (10 CFR 600.6(c) and the DOE Guide to Financial Assistance)				

System Criterion 3: Evaluation/Source Selection

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Does the award file reference or contain the FOA, including the merit review criteria and the program policy factors as appropriate?				
2.	If the program is covered by Executive Order 12372, does the awarding activity follow applicable guidance and direction on the evaluation of State Plans? (Executive Order 12372; 10 CFR 600.211; and Guide to Financial Assistance 2.1.4)				
3.	Are the merit review criteria and program policy factors used the same as in the published FOA (10 CFR Part 600.8(c)(12) and the DOE Guide to Financial Assistance, Section 2.4.2)				
4.	Is the allowability, reasonableness, and consistency of treatment of proposed budget items, both Federal and non-Federal, being determined in accordance with applicable Federal cost principles and program regulations? (Guide to Financial Assistance, Section 2.5.1; 10 CFR 600.127, 600.222, and 600.317)				
5.	When cost sharing or matching is required, are the source, amount and reasonableness of the applicant’s contribution being reviewed? (10 CFR 600.30, 600.123, 600.224 and 600.313)				
6.	Do technical evaluations of the proposed budget adequately address quantitative factors such as labor hours, skill mix, types and quantities of material, travel requirements, etc.? (DOE Guide to Financial Assistance, Section 2.5.1)				
7.	Are proposed indirect costs being properly provided for in proposed awards? (10 CFR 600.127(b) and 600.220(b)(5))				

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8.	With regard to lobbying activities, is a certification and a disclosure form (if required), being filed with each application submitted in anticipation of an award exceeding \$100,000? (10 CFR 601.110); or, in the case of applications submitted via grants.gov, has the applicant certified as to the statements contained in the applicable certifications, and provided a disclosure form (if required)?				
9.	Are applicants pre-screened for financial responsibility, when applicable? (DOE Guide to Financial Assistance, Section 2.5.2)				
10.	Are proposed plans for subcontracts and financial assistance sub-awards reviewed?				
11.	Does the file contain written notification to unsuccessful offerors? Were unsuccessful applicants afforded the opportunity of requesting additional information concerning the basis of their non-selection? (10 CFR 600.19)				

System Criterion 4: *Negotiation*

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are any special terms or conditions requiring DOE prior approval limited to areas permitted by the Financial Assistance Regulations? (10 CFR 600.114, 10 CFR 600.125, 600.230 and 600.315)				
2.	Are deviations from the Financial Assistance Regulations justified and processed in accordance with 10 CFR 600.4 for prime and sub-awards?				
3.	Does the award file contain an adequate record of the negotiations?				

System Criterion 5: Award/Files

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are Procurement Requests (PRs) prepared on DOE F 4200.33 by the program office prior to the initiation of all funded financial assistance?				
2.	Are requirements reviewed to ensure that assistance instruments or interagency agreements are not chosen over acquisition instruments for the purpose of avoiding competition requirements or other acquisition requirements? (31 USC Part 63, 10 CFR 600.5, FAR 6.002, 17.504, and 35.003, and the DOE Guide to Financial Assistance – Planning)				
3.	Do PR packages include the items identified in Local Procedures, where applicable, for new, continuation, and renewal awards?				
4.	Are all actions exceeding the HCA’s delegated authority reviewed and approved by Headquarters and documented in the file? (Local Procedures)				
5.	Does the procurement request package include a Merit Review Summary Statement to document the results of a Merit Review? (Merit Review Guide)				
6.	Did actions receive required reviews with documented results and approvals prior to award? (Delegation Letters and Local Procedures)				
7.	Are the award documents accurate and do they include the following (10 CFR 600.17):				
	a. DOE F. 4600.1 “Notice of Financial Assistance Award” including special terms and conditions, and the final negotiated budget(s)?				
	b. Attached or incorporated reporting checklist				

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	c. Special requirements from law or program regulations?				
	d. Intellectual Property Provisions?				
	e. Statement of Project Objectives (if applicable)?				
	f. Final negotiated application (usually incorporated by reference)?				
8.	Does the award document properly reflect any special (restrictive) award conditions consistent with 10 CFR 600.114, 600.212, or 600.304?				
9.	Is the awardee meeting existing reporting requirements? If not, do new, continuation, or renewal awards reflect tighter administrative controls or remedial actions?				
10.	Are any mutually agreed upon changes from the original application explicitly included in the award document either as an attachment or incorporated by reference?				
11.	Is the advance notification made to the Office of Congressional and Intergovernmental Affairs at least 48 hours in advance of an impending DOE financial assistance award, if required? (DOE Guide to Financial Assistance – Congressional Notification)				
12.	Are award data properly reported for all financial assistance actions in accordance with the most current “Handbook for Preparation of Individual Procurement Action Report (IPAR)? Was Procurement and Assistance Data System (PADS) data entered within five working days of award? (DOE Guide to Financial Assistance – PADS/FAADS)				

System Criterion 6: *Pre-Award Cost Authorizations*

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are costs incurred 90 days or more prior to the beginning of the budget period authorized by the CO or by Program Rule? (10 CFR 600.16, 600.125(e), 600.230 or 600.317(b))				

System Criterion 7: Funding

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	When the project period is 12 months or less, are the budget period and project period coextensive? (10 CFR 600.26(b))				

System Criterion 8: Administration

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are post-award notices sent when appropriate? (Guide to Financial Assistance, topic - Post-Award Orientations)				
2.	Does the awarding office maintain periodic liaison with technical and other offices concerning awardee performance including timely reporting? (FAL 2002-04)				
3.	Are follow-up actions initiated on late reports and poor performance and files reflect CO and other team members’ actions?				
4.	Is any cost sharing requirement monitored for compliance with award terms?				
5.	Is accountability of Government -furnished/federally-owned property adequate during performance? Are annual inventories received, if required? (Guide to Financial Assistance, topic - Property, and 10 CFR 600.133 or 10 CFR 600.232(d))				
6.	Did the recipient request applicable prior approvals from the CO? (10 CFR 600.125 or 10 CFR 600.230)				
7.	Does the administration function receive adequate resources and management attention?				
8.	Does management periodically assess the effectiveness of monitoring by Government personnel?				
9.	Is informal resolution, including resolution through an alternative dispute resolution mechanism, used over formal procedures available in 10 CFR Part 1024, to the extent practicable? (10 CFR 600.22)				
10.	Are claims and disputes processed in a timely manner and in accordance with 10 CFR 600.22?				

System Criterion 9: Amendments

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are amendments issued on NFAAs (DOE F 4600.1) and are they completed correctly? (Guide to Financial Assistance, topic - Notice of Financial Assistance Award)				
2.	Does the file contain documentation that the action was reviewed for compliance with applicable regulations?				
3.	Did the CO process rebudgeting/program change within a reasonable period (such as 30 days) of receipt?				
4.	Are the following actions accomplished for continuation awards? (Guide to Financial Assistance, topic - Continuation Awards)				
	a. Schedules for receipt and review of continuation applications established for timely issuance?				
	b. Continuation awards executed prior to the beginning of the continuation budget period?				
	c. Continuation budget periods established so that they do not overlap the prior budget period?				
	d. Placement in continuation awards of an estimate of carryover funds consistent with the estimate in the application?				
	e. The reconciliation of estimated carryover to actual carryover based on the annual financial status report?				

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5.	For renewals of discretionary awards, do written determinations of noncompetitive financial assistance adequately satisfy one or more of the 10 CFR 600.6(c) selection criteria, and are they approved by the appropriate officials? (Guide to Financial Assistance, topic - Renewal Awards and 10 CFR 600.6(d))				
6.	Are recipient initiated extensions to the final budget period made prior to the expiration date? Was the CO notified within 10 days of making the extension? (Guide to Financial Assistance, topic - Extensions and 10 CFR 600.26(d))				
7.	Are New & Renewal Awards executed prior to beginning of budget period?				

System Criterion 10: Payment

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	If advance payments are made, are they made in accordance with 10 CFR 600.122 or 600.221, 31 CFR Part 205, and Treasury Circular 1075?				
2.	Has the proper payment method been selected, i.e., advance payment or reimbursement? (10 CFR 600.122 or 600.221)				
3.	Have required procedures been followed whenever payment has been withheld? (10 CFR 600.122(h) or 600.221(g))				
4.	Are any cost sharing requirements monitored for compliance with award terms? (Guide to Financial Assistance – Monitoring)				

System Criterion 11: Closeout

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Does the awarding office have a consistent format for closeout procedures?				
2.	Are awards generally closed out in a reasonable time after their date of completion or termination?				
3.	Has a procedure been established to routinely identify those instruments which are scheduled for completion in the following 90 days?				
4.	Are disposition instructions of Government-furnished/ federally-owned property provided the recipient at agreement completion? (10 CFR 600.130 or 10 CFR 600.231-.232)				
5.	Are disposition instructions for non-expendable property acquired under the award provided when property is no longer needed? (10 CFR 600.130 or 10 CFR 600.231-.232)				
6.	Are required forms submitted by recipients for closeout including the following?				
	a. Final financial report				
	b. Final payment request or check remitting funds, if applicable				
	c. Final performance report				
	d. Copy of latest audit report for recipients				
	e. Patent certificate, if applicable				
	f. Property report				
	g. Is a financial reconciliation performed?				
7.	Has a final cost determination been made for the project?				
8.	Is an amendment to the award document prepared for closeouts involving obligation or deobligation?				
9.	Did OSTI receive any/all required deliverables prior to closeout?				

System Criterion 12: Fees

Answers to questions (e.g., checkmarks) outside the shaded areas require an explanation in the “Remarks” column, unless the answer is not applicable.

#	Criteria	Yes	No	N/A	Remarks
1.	Are any proposed fees or proposed contribution toward required cost sharing specifically authorized by statute and/or program regulation?				
2.	Has the applicant submitted all required documentation or justification for the fee?				
3.	Applicable only awards made under 10 CFR 605 for the Office of Science:				
	a. Does the fee base include allowable cost of direct salary and wages and allocable fringes and does it exclude all other direct and indirect costs? (10 CFR 605.15 (c)(1))				
	b. Is the fee less than or equal to the amount of the percentage rate of fee which would have resulted if a Federal agency had contracted for the same amount of salary, wages, and fringe benefits under a cost reimbursable contract? (10 CFR 605.15 (c)(2))				
	c. Have fee amounts been reduced as a result of advance payments and title to property acquired with DOE funds vesting in the grantee? (10 CFR 605.15 (c)(3))				
	d. Are fees fixed and only paid out in accordance with any regulatory requirements such as after reports have been submitted following the budget period? (10 CFR 605.15(d))				