

CONTRACT FILE CHECKLIST

INSTRUCTION: The Contracting Officer is responsible for completing the Contract File Checklist and ensuring it is included in all contract files for contract actions which exceed the Simplified Acquisition threshold. Place documents in the file, separated by Section TABS. Individual items under each section shall be separated by appropriately numbered tabs. Place an "X" in either the "N/A" or "YES" columns. Place all contract related documents in the file, separated by numbered tabs.

CONTRACT ORGANIZATION FILE CONTENT UST		PR Number	Solicitation Number		Contract Number
(Part I - Precontract Data) (Part II - Award Data and Contract)		Contractor Name			
(Part III-Contract Administration)		Department of Transportation			
PART 1 – PRECONTRACT DATA					
TAB		N/A	YES	FLDR#	REFERENCES
1	Acquisition Planning				
	Procurement Forecast Form (over \$100K)				<a href="#">TAM 1207</a>
	Acquisition Plan (\$20M or more)/OMB Exhibit 300/Acquisition Strategy				
	COCO Determination if CO questions whether Plan change is significant				
	Source Selection Strategy (if not contained in the "Plan")				<a href="#">FAR 15/15.3</a>
2	Procurement Request (DOT F 4200.1)				<a href="#">TAM 1232.7</a>
	PR Initiator's Independent Government Estimate				<a href="#">TAM 1214, 1215 &amp; 1232</a>
	Performance Work Statement/ Statement of Objective as applicable: <ul style="list-style-type: none"> <li>• Use of Metrics</li> <li>• Security requirements for info systems &amp; gov't facilities access</li> <li>• EVM Compliant for Major IT procurements</li> <li>• Microcomputers equipped with EPA Energy Star Features</li> <li>• Privacy Requirements (DOT public website &amp; IT) DOT F 1361</li> <li>• EIT Section 508 Compliant (<i>Applicable terms may include DOT F 4260.1, DOT 4261.1 and/or DOT F 4262.1</i>)</li> <li>• Performance-Based Requirements [Exceptions must be justified.]</li> </ul>				<a href="#">FAR 37.6</a> <a href="#">FAR 4.4, 7.103, 11 &amp; 39</a> <a href="#">TAM 1204, 1223, 1224 &amp; 1239</a> <a href="#">Seven Steps to Performance Based Service Contracting</a>
	Funds CERTIFICATION				<a href="#">TAM 1232.702-70(a)(1)</a>
	Recovered Materials Determination (DOT F4271.1 or Request for Waiver (DOT F 4272.1)	Waiver (DOT F 4272.1)(PRs requiring EPA designated item)			
	Unsolicited Proposal Documentation				
	Technical Evaluation Criteria (including team composition)				<a href="#">FAR 15.3</a>
	Description of basis and methodology used for determining the estimated quantity under indefinite delivery contracts.				<a href="#">TAM 1216.501-2(b)(2)</a>
	Determination to Lease vs. Purchase Equipment				<a href="#">TAM 1207.5</a>
	Inherently Governmental Requisitioner Determination				<a href="#">TAM 1207.5</a>
	Other				
3	Source List/Market Research				
	Synopsis of Solicitation or Justification * For Not Synopsizing (over \$25K) including TAM info at Item #17 (*Include if not documented elsewhere in the file). REMINDERS: (1) Significant FedBizOpps amendments require legal review. (2) Include JOTFOC with solicitation when posted if sole manufacturer required)				<a href="#">FAR 5.2/TAM 1205.2</a>
	Market Research (Reminder: Use of the results of this effort to determine if commercial items or non-developmental items are available)				<a href="#">FAR 10</a>
	Small Business Program Review [DOT F 4250.1)				<a href="#">FAR 19.5/TAM 1219.5</a>
	8(A) Correspondence				<a href="#">FAR 19.8</a>
	SBA/PCR & OST/S-40 Approval - (Reprocurement outside a SB Program of a previously procured requirement through a SB Set-aside Program) Reminder: Obtain HCA clearance prior to initiating action				<a href="#">TAM 1219.202</a>
	List of Sources Solicited				<a href="#">FAR 14&amp;15</a>
4	Approvals and Determinations				
	Justification for Other Than Full and Open Competition (JOTFCC)				<a href="#">FAR 6.303</a>
	Justification for Use of Brand Name or Equal				<a href="#">FAR 11.104(b)</a>
	Criteria for Use of a Warranty				<a href="#">TAM 1246.7</a>
	Advisory and Assistance Determination for Evaluation or Analysis of proposals				<a href="#">FAR 37.204</a>

NOTE: In accordance with TAM 1203.104-5, please ensure cover sheets for Proprietary and/or Source Selection (DOT F 4200.36 and DOT F 4200.35 respectively) data are used appropriate.

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TAB		N/A	YES	FLDR#	REFERENCES
	Memo to the file Justifying the use of Options				<a href="#">FAR 17.205</a>
	Determination Not to Include Option Quantities in Award Evaluation				<a href="#">FAR 17.206</a>
	Approval for Use of letter Contract				<a href="#">TAM 1216.603-3</a>
	Authority for Individual Deviations from FAR, TAR and TAM				<a href="#">TAM 1201.403</a>
	Higher-Level Contract Quality Requirements Determination. Reminder: Indicate in the FAR Clause <i>what higher-level quality standards apply</i>				<a href="#">FAR 46.2</a>
	D & F for No Subcontracting Opportunities - copy of D & F for no subcontracting possibilities to Director OSDDBU (S-40)				<a href="#">FAR 19.705-2/TAM 1219.705-2</a>
	Justification for Extending the Constructive Acceptance Period				<a href="#">FAR 32.905(a)(1)(ii)</a>
	Conflict of Interest Documentation				<a href="#">FAR 9.5</a>
	Contract Type Determination (See TAM 1216/Appendix A Format)				<a href="#">TAM 1216.6/Appendix A</a>
	Determination whether or not to use multiple awards of an Indefinite-Quantity Contract (Check this block if this determination is part of an acquisition plan)				<a href="#">FAR 16.504(c)</a>
	Approval of Contract to Cross Fiscal Years				<a href="#">TAM 1232.703-3</a>
	DOL Wage Determination				<a href="#">TAM 1222.404</a> & <a href="#">1222.101</a>
	Bid Samples' Descriptive Literature Justification				<a href="#">TAM 1214.202</a>
	Justification for Inclusion of Minimum Qualifications for Information Technology (IT) Services				<a href="#">FAR 39.104</a>
	Reevaluation of Requirement (if over 12 months old) prior to bid opening				<a href="#">TAM 1214.470</a>
	Other				
5	<b>Solicitation [Reminder: CO ensures the solicitation is consistent with approved acquisition "Plan" prior to issuance.]</b>				
	Solicitation and Amendments (RFP, RFQ & IFB) <b>[Reminder: CO coordinated sol. Closing date with customer]</b>				
	Coordination with SBA/PCR & OST/S-40 if subcontracting plan required.				<a href="#">TAM 1219.705-3/FAR 19.7</a>
	Coordination with Technical Initiator				
	Review(s) of Solicitation including significant amendments CO/Policy/Legal as applicable) & Response				
	Solicitation Approval (\$500K)				<a href="#">TAM 1204.70</a>
	Technical Evaluation Plan (Reminder: CO must receive the technical evaluation plan from the team chairperson prior to proposals)				
	Exchange with Industry Before Receipt of Proposals including Pre-Solicitation of Pre-proposal Conference(s)				<a href="#">FAR 15.201</a>
	Offeror's Inquiries/Correspondence Regarding Solicitation				
6	<b>Receipt of Offers</b>				
	Abstract of Offers or Proposals, including, as applicable <ul style="list-style-type: none"> <li>Bid/Proposal Receipts</li> <li>Record of, and Receipt for Bids/Proposals</li> <li>Bid Opening Attendance Record</li> </ul> <b>Reminder: After opening of bids or receipt of proposals, (the CO shall review the List of Parties Excluded from Federal Procurements and Nonprocurement Programs. Offers received from listed contractors will be annotated on the abstract and processed per FAR 9.405(d))</b>				<a href="#">FAR 14/15</a> & <a href="#">FAR 9.405(d)</a>
	D&F for Rejection of Bid(s)				<a href="#">FAR 14.404</a>
	Minor Informalities/Irregularities in Bids				<a href="#">FAR 14.405</a>
	Data Relating to Late Bids/Offers				<a href="#">FAR 14.304</a> & <a href="#">FAR 15.208</a>
	No Bid/Offer Correspondence				
	Extension of Acceptance Period (if applicable)				
	Mistakes in Bids Proposals				<a href="#">FAR 14.407/15.508</a>
	Data Regarding Cancellation Before Bid Opening				<a href="#">FAR 14.209</a> & <a href="#">14.403</a>
	Evaluation of Bid(s) including Documentation of Award Data				<a href="#">FAR 14.4</a>
	Miscellaneous				

NOTE: In accordance with TAM 1203.104-5, please ensure cover sheets for Proprietary and/or Source Selection (DOT F 4200.36 and DOT F 4200.35 respectively) data are used appropriate.

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TAB		N/A	YES	FLDR#	REFERENCES
7	Proposal Analysis/Evaluation				
	Field Pricing Reports □ Copy of each proposal				<a href="#">FAR 15.404-2</a>
	DCAA Audit Report □ Copy of audited proposal retained 6/ DCAA (Check if applicable)				<a href="#">FAR 15.404-2</a>
	Technical Evaluation Documentation				
	Technical Analysis				<a href="#">FAR 15.404-1(e)</a>
	SBA Review/Approval Subcontracting Plan(s)				<a href="#">FAR 19.705</a>
	Clarifications				<a href="#">FAR 15.306</a>
8	Competitive Range Determination (including Communications and Weakness/Deficiency Letters)				<a href="#">FAR 15.506</a>
	Notification of Offerors Not in Competitive Range				<a href="#">FAR 15.503</a>
9	Pre Negotiation Objective (over \$100K)				<a href="#">TAM 1215.406-1</a> <a href="#">FAR 16.103(d) / TAM 1206.102(b)</a> <a href="#">TAM 1215.404/FAR 15.4</a> <a href="#">FAR 15.4/TAM 1215.406</a>
10	Price Negotiation Documentation including correspondence related to discussions ( <b>Reminder: CO ensures award is consistent with the approved Acquisition "PLAN"</b> )				
	Final Proposal Revision Letters				<a href="#">FAR 15.307</a>
	Memorandum Summarizing Proposal Evaluation results and Documenting the Source Selection Decision when making award without discussions ( <b>Reminder: CO ensures award is consistent with the approved Acquisition "Plan"</b> )				<a href="#">FAR15.3</a>
	Abstract of Receipt of Final Proposal Revisions				
	Source Selection Decision (If separately documented) <b>Reminder: CO ensures award is consistent with the approved Acquisition "Plan"</b>				<a href="#">FAR 15.303</a>
11	Successful Bid Proposal including Revisions and Representations and Certifications				
	Cost or Pricing Data/including Certification per FAR 15.406-2				<a href="#">FAR 15.403-4</a>
12	Unsuccessful/Offerors/including Revisions				<a href="#">FAR 4.803 &amp; 4.805/TAM 1204.805</a>
13	Responsibility Determination (DOT F 4220.1)				<a href="#">TAM 1209.105</a>
	Immediately prior to award, the CO again reviewed the List of Parties Excluded from Federal Procurement and Nonprocurement Programs dated _____ and determined the Contractor does not appear thereon.				<a href="#">FAR 9.4/TAM 1209.4</a>
	Verification that the prospective contractor is registered in the CCR database				<a href="#">FAR 4.11</a>
	EEO Preaward Clearance (Over \$100,000,000) Except Construction <ul style="list-style-type: none"> <li>● Documentation of listing in OFCCP</li> <li>● Preaward Registry</li> <li>● Preaward Clearance Request/OFCCP Clearance</li> </ul>				<a href="#">FAR 22.805/TAM1222.805</a>
	Contractor accounting system is determined adequate for cost type contracts				<a href="#">FAR 16.301</a>
	Approval of Contractor's Property Control System (if Contractor Acquired Property (CAP) or Government Furnished Equipment GFE))				<a href="#">TAM 1245.104/FAR 45.502</a>
	Approving Agency Name                      Approval Date (or otherwise filed)				
	Approved Purchasing System				<a href="#">FAR 44.3</a>
	Cognizant Authority                              Approval Data				
	SBA Certificate of Competency				<a href="#">FAR 19.6</a>
14	Review(s) of Award (CO/Policy/Legal as applicable) & Response thereto				<a href="#">TAM 1204.70</a>
	OST/S-40 & SBA/PCR Review/Comment – Award (including Subcontract Plan				<a href="#">FAR 19.705-5/TAM 1219.705-5</a>
	Award Approval				<a href="#">TAM 1204.70</a>

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TAB		N/A	YES	FLDR#	REFERENCES
	<b>PART II - AWARD DATA AND CONTRACT</b>				
15	Preaward Notices for Small Business Programs				<a href="#">FAR 15.503</a>
16	Contract Award Notification to OST (DOT F 4220.14) - Awards \$3M or more				<a href="#">FAR 5.303/TAM 1205.303</a>
17	Contract Document (Including incorporation of subcontracting plan, subcontract consent, list of Key Personnel, any portions of the Contractor's proposal, etc. as applicable)				
	Letter of Transmittal to Contractor. Forward copy of COTR Designation <b>letter</b> and property administration delegation, as applicable.				<a href="#">TAM 1242</a>
	Correspondence Forwarding 3 copies of Approved Small Business Subcontracting Plan to SBS, [ <b>NOTE: SBS will forward 1 copy to OST/IS-40 &amp; SBA/PCR within 7 days of award</b> ] [Reminder: Copy of award with Sub. Plan required to be sent to SBA Area Office]				<a href="#">FAR 19.705-6/TAM 1219.705-6</a>
	Hard copy of final updated PRISM Milestone Report				PRISM
	Contract Document Distribution Form				
18	Contracting Officer Technical Representative (COTR) Designation Letter [Reminder: Verify COTR is a qualified COTR (has taken the required training, and training has not expired).				<a href="#">TAM 1242.7</a>
19	Government Property Administration Delegation Request (if potential for GFP or CAP)				
	Acceptance of Delegation				
20	DCAA Audit Assignment (applicable to cost reimbursement type contracts when quick closeout procedures not anticipated to be used)				
21	Synopsis of Award/or Rationale Why Not Necessary If applicable, synopsis of award shall include statement identifying the contract as one containing Public Law 95-507 subcontracting plans and goals)				<a href="#">FAR 5.301/TAM 1205.3</a>
	Notice to Unsuccessful Offerers (unless processed using SAP)				<a href="#">FAR 14.409 &amp; 15.503</a>
22	FPDS Reporting [Reminder: File a hard copy of the final FPDS record generated in PRISM.]				<a href="#">TAM 1204.6</a>
23	Debriefing Summary and Related Correspondence				<a href="#">FAR 15.505</a> and <a href="#">15.506</a>
24	Bid Guarantee				<a href="#">FAR 28.101</a>
	Performance and Payment Bonds				<a href="#">FAR 28.102/28.103</a>
	DD Form 254 (Classified acquisitions)				<a href="#">FAR 4.4/TAM 1204.4</a>
	Insurance Certificate				<a href="#">FAR 28.3</a>
	Evidence of an Acceptable Inspection System Provided by the Contractor (Required if any of the following FAR Clauses are included : 52.246-2 thru 52.246-8 and 52.246-10)				<a href="#">FAR 46.2/46.3</a>
	Forward DOT F 4272.1 to DOT Environ. Executive (M-1) 30 days of award				<a href="#">TAM 1223.404</a>
25	Other				
	<b>PART III - CONTRACT ADMINISTRATION</b>				
26	General Correspondence				
27	Past Performance Evaluation(s) • NIH CPS (automated system)				<a href="#">FAR 42.15/TAM 1242.15</a>
28	Subcontract Administration Correspondence/Documentation [REMINDER: To document consent to subcontract, ensure the following is in the contract file - (1) The Contractor's request including all information required by FAR Clause 52.244-2; (2) The Contracting Officer's signed review of the request addressing each of the considerations outlined in FAR 44.202-2, and the limitations of FAR 44.203 as applicable; and (3) A copy of the Contracting Officer's written consent]				<a href="#">FAR 44/TAM 1244</a>
29	Deliverable Reports [REMINDER: (1) Monthly Contract Progress & Cost Reports can be provided to the Administrative Support Contractor for filing. (2) Ensure Subcontracting Reports filed in eSRS as required.]				<a href="#">FAR 19/TAM 1219.7</a>
30	System Reviews				<a href="#">FAR 46.2/TAM 1245</a>

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31	Public Voucher/Invoices <i>[REMINDER FOR COST TYPE CONTRACTS: The CO needs to identify when the contractor's fiscal year ends and review the provisional billing rates for the fiscal year ending as well as consider the appropriate provisional billing rates for the succeeding fiscal year. Significant differences between provisional billing rates and those claimed, un-audited rates contained in the annual final Indirect cost rate proposal (which is submitted to the cognizant ACO and audit office within 6 months following the end of the contractor's fiscal year) should result in timely adjustments to invoiced costs and should not wait until contract completion.]</i>				<a href="#">FAR 32.9/TAR&amp;TAM 1232.70/TAM 1232.9</a>
32	Government Property Administration Correspondence/ Documentation				<a href="#">FAR 46/TAM 1245</a>
	Modifications <i>[Reminder: Sub-divide all Modifications with Tabs included on the tabs should be the Modification Number . _____]</i>				<a href="#">FAR 43</a>
	Task Orders or Delivery Orders (Approval Required over \$500K)				<a href="#">FAR 16.5/TAM 1216.5</a>
	Other				

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