



**DEPARTMENT OF DEFENSE**  
**Defense Contract Management Agency**

# **INSTRUCTION**

## **Warrants and Other Official Appointments**

**Contracts Directorate**  
**OPR: DCMA-AQ**

**DCMA-INST 129**  
**August 5, 2013**

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**1. PURPOSE.** This Instruction:

- a. Reissues and updates DCMA Instruction (DCMA-INST) 129, “Warrants and Other Official Appointments” (Reference (a)).
- b. Updates DCMA policy, assigns roles and responsibilities for personnel involved, provides procedures for implementing the Warrant Assessment Program, and the process for requesting and issuing of Warrants and Other Official Appointments.
- c. Implements DCMA policy pursuant to the references on page 5.
- d. Complies with DoD Directive 5105.64 (Reference (b)).

**2. APPLICABILITY.** This Instruction applies to all DCMA activities unless higher-level regulations, policy, guidance, or agreements take precedence (e.g., International Directorate and Special Programs Directorate activities).

**3. MANAGERS’ INTERNAL CONTROL PROGRAM.** This instruction contains managers’ internal control provisions that are subject to evaluation and testing as required by DCMA-INST 710, “Managers’ Internal Control Program” (Reference (c)). The Process Flowchart is located at Appendix A.

**4. RELEASABILITY – UNLIMITED.** This Instruction is approved for public release.

**5. PLAS CODE.** 009 – Selection, Appointment, Termination of Officers.

**6. POLICY RESOURCE PAGE.** <https://home.dcma.mil/policy/129r>  
The resource page contains templates, attachments, references, and points of contact for this Instruction.

**7. EFFECTIVE DATE.** By order of the Director, DCMA, this Instruction is effective immediately.



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## REFERENCES

- (a) DCMA-INST 129, “Warrants and Other Official Appointments,” December 31, 2011 (hereby canceled)
- (b) DoD Directive 5105.64, “Defense Contract Management Agency (DCMA),” January 10, 2013
- (c) DCMA-INST 710, “Managers’ Internal Control Program”, September 12, 2011
- (d) Public Law 101-510, Title 10 United States Code, Defense Acquisition Workforce Improvement Act (DAWIA)
- (e) Federal Acquisition Regulation (FAR) 1.603, Selection, Appointment, and Termination of Appointment for Contracting Officers
- (f) Defense Federal Acquisition Regulation Supplement (DFARS) 201.603, Selection, Appointment and Termination of Appointment
- (g) FAR 1.603-1, General
- (h) Part 21.210(b) of title 32, Code of Federal Regulations
- (i) DoD 3210.6-R, “Department of Defense Grant and Agreement Regulations,” August 27, 2007
- (j) DFARS 201.670, Appointment of Property Administrators and Plant Clearance Officers
- (k) Defense Transportation Regulations, 4500.9-R, chapter 201, paragraph (C)(13)(a) “Cargo Movement,” June 2008
- (l) FAR 42.602, Assignment and Location
- (m) DFARS 242.602, Corporate Administrative Contracting Officer, Assignment and Location
- (n) FAR 1.602-2, Responsibilities
- (o) FAR 1.602, Contracting Officers
- (p) FAR 42.302(a), Contract Administration Functions
- (q) FAR 42.302(a)(24), Contract Administration Functions
- (r) DCMA-INST 631 “Civilian Rotation Program – CONUS,” June 26 , 2013
- (s) FAR 42.603(a)(2), Responsibilities
- (t) FAR 42.302(a)(5), Contract Administration Functions
- (u) FAR 42.1701, Forward Pricing Rate Agreements Procedures
- (v) DCMA-INST 130, “Forward Pricing Rate Agreements,” December 31, 2011
- (w) FAR 42.603(a)(3), Responsibilities
- (x) FAR 42.603(a)(1), Responsibilities
- (y) FAR 42.801(e), Notice of Intent to Disallow Costs
- (z) DFARS 242.771-3(a), Independent Research and Development and Bid Proposal Costs
- (aa) DFARS 242.302(a)(4)(S-70), Contract Administration Functions
- (ab) FAR 30.201-1, CAS Applicability
- (ac) FAR Part 49, Termination of Contracts
- (ad) FAR 12.403, Termination
- (ae) FAR Part 45, Government Property
- (af) DFARS Part 245, Government Property
- (ag) FAR 1.603-3, Appointment
- (ah) FAR 1.603-4, Termination
- (ai) DCMA-INST 809, “Records Management,” May 1, 2009

## CHAPTER 1

### POLICY

#### 1.1. OVERVIEW.

1.1.1. It is DCMA policy to ensure only qualified, well trained, and experienced personnel receive appointments for DCMA positions having an identifiable workload.

1.1.2. DCMA will implement a Warrant Assessment Program with written and oral components to be successfully completed prior to the submission of a request for a contracting officer appointment.

1.1.3. Decisions for selection, appointment and termination of appointments of Contracting Officers are in accordance with the Defense Acquisition Workforce Improvement Act (DAWIA) (Reference (d)), Federal Acquisition Regulation (FAR) 1.603 (Reference (e)), and Defense Federal Acquisition Regulation Supplement (DFARS) 201.603 (Reference (f)).

1.1.4. Only duly warranted or appointed individuals may enter into contracts and agreements on behalf of the government. Types of warrants or appointments:

- Administrative Contracting Officer (ACO)
- Administrative Grants Officer/Administrative Agreements Officer (AGO/AAO)
- Procuring Contracting Officer (PCO)
- Termination Contracting Officer (TCO)
- Corporate Administrative Contracting Officer (CACO)
- Divisional Administrative Contracting Officer (DACO)
- Contingency Contract Administrative Services (CCAS) ACO
- Property Administrator (PA)
- Plant Clearance Officer (PLCO)
- Transportation Officer (TO)
- Transportation Agent (TA)

#### 1.2. DELEGATION OF AUTHORITY.

1.2.1. The authority identified in FAR 1.603-1 (Reference (g)) for selection, appointment, and termination of appointment of Contracting Officers has been delegated by the Director, DCMA to the Executive Director, Contracts, with power of further delegation; and to the Director, Special Programs, without power of further delegation.

1.2.2. The authority in part 21.210(b) of title 32, Code of Federal Regulations (CFR) (Reference (h)) (as implemented by DoD 3210.6-R, part 21.425, DoD Grant and Agreement Regulations (DoDGAR) (Reference (i)) to appoint Grants Officers and Agreements Officers is delegated by the Director, DCMA to the Executive Director, Contracts, with power of further delegation; and to the Director, Special Programs, without power of further delegation.

1.2.3. The authority in DFARS 201.670 (Reference (j)) for the appointment and termination of PAs and PLCOs is delegated by the Director, DCMA to the Executive Director, Contracts, with power of further delegation; and to the Director, Special Programs, without power of further delegation.

1.2.4. The Executive Director, Contracts, has delegated the authority to select, appoint, and terminate the appointment of Contracting Officers (inclusive of PCO, ACO, CACO, DACO, TCO), along with AGO/AAO, PA, and PLCO to the Director, Contracts Policy Division.

1.2.5. The Director, Contracts Policy Division has further delegated authority to terminate contracting officer warrants for routine situations (workload no longer supports the position, retirement, leaving the agency, transfer to new position not requiring a warrant) to the performance advocate for Warrants and Other Official Appointments.

1.2.6. In accordance with the Defense Transportation Regulations 4500.9-R, chapter 201, paragraph (C)(13)(a) (Reference (k)), authority to issue TO and TA appointments is delegated to the DCMA Director of the Transportation Group.

## CHAPTER 2

### ROLES AND RESPONSIBILITIES

**2.1. EXECUTIVE DIRECTOR, CONTRACTS.** The Executive Director, Contracts may extend a CACO appointment for 2 years (for a maximum of 7 years) in cases where there is no other CACO position within the same commuting area to rotate a CACO who has reached the 5-year term limit.

**2.2. DIRECTOR, CONTRACTS POLICY DIVISION.** It is the responsibility of the Director, Contracts Policy Division to manage the Agency's Contracting Officer Warrant Program.

**2.3. DIRECTOR, CORPORATE/DIVISIONAL ADMINISTRATIVE CONTRACTING OFFICER (ACO) GROUP.** The Director of the Corporate/Divisional ACO Group shall:

2.3.1. Recommend CACO assignments and locations of positions in accordance with the criteria set forth in FAR 42.602 (Reference (l)) and DFARS 242.602 (Reference (m)).

2.3.2. Recommend DACO assignments and locations, except for Special Programs Directorate.

2.3.2.1. Review DACO assignments for potential rotation or reassignments.

2.3.3. Review, approve, sign, and date all CACO and DACO warrant requests using the latest version of the respective Appointment Request Qualifications Statement (ARQS) (see Resource Web Page), except for Special Programs Directorate.

**2.4. DIRECTOR, PROPERTY GROUP; DIRECTOR, PLANT CLEARANCE GROUP; DIRECTOR, PROCUREMENT DIVISION; DIRECTOR, TERMINATIONS GROUP; OPERATIONS CONTRACTS DIRECTOR; INTERNATIONAL CONTRACTS DIRECTOR; SPECIAL PROGRAMS CONTRACTS DIRECTOR; AND CONTRACT MANAGEMENT OFFICE (CMO) CONTRACTS DIRECTORS.**

2.4.1. The appropriate Directors shall review, approve, sign, and date all appointment requests for contracting officer, PA, and PLCO using the latest version of the respective ARQS within 10 days of receipt.

2.4.2. CMO Contracts Directors will immediately recommend termination of appointment when an ACO fails to demonstrate the requisite specialized knowledge, experience, training, business acumen, and judgment required to execute the duties of an ACO or within 30 days after the position is vacated, to the Director Contracts Policy Division using the latest version of the Appointment Termination Request (see Resource Web Page).

**2.5. PERFORMANCE ADVOCATE – WARRANTS AND OTHER OFFICIAL APPOINTMENTS.** The performance advocate is responsible for processing ACO, AGO/AAO,

CCAS, PCO, TCO, CACO, and DACO appointment requests uploaded to the AQ-Warrant Requests Project in the portal by Operations, the Corporate/Divisional ACO Group, International Directorate, Procurement Center, and the Terminations Group. The performance advocate is responsible for maintaining current templates, forms, warrant logs, and records retention.

**2.6. PERFORMANCE ADVOCATE – PROPERTY AND PLANT CLEARANCE APPOINTMENTS.** The performance advocate is responsible for processing PA and PLCO appointment requests and maintaining current templates, forms, warrant logs, and records retention.

**2.7. TRANSPORTATION DIRECTOR – TRANSPORTATION OFFICER (TO) AND AGENT (TA) APPOINTMENTS.** The Director, Transportation is responsible for processing TO and TA appointment requests and maintaining up-to-date transportation-related templates, forms, warrant logs, and records retention. The Transportation performance advocate is responsible for transportation appointments policy. These appointments will not be further addressed in this policy.

## CHAPTER 3

### CONTRACTING OFFICER WARRANT ASSESSMENT PROGRAM

**3.1. OVERVIEW.** It is the intent and purpose of the DCMA Contracting Officer Assessment Program to enhance Contracting Officer selection and appointment by validating a candidate's general and specialized knowledge to determine the effectiveness, readiness, and qualifications of contracting workforce members prior to submission of a request for a Contracting Officer warrant.

#### **3.2. APPLICABILITY OF THE WARRANT ASSESSMENT PROGRAM.**

3.2.1. When fully implemented, all personnel applying for a permanent DCMA Contracting Officer warrant (ACO, PCO, TCO, CACO or DACO) shall successfully complete the two-part assessment prior to submitting a request for warrant. There is no required order for taking either part of the assessment (Contracting Officers Assessment Tool (COAT) or Contracting Officer Review Board (CORB)). The CORB may be completed before the COAT.

3.2.2. Effective February 25, 2013, all requests for permanent Contracting Officer warrants must include the CORB Certificate of Completion of the Contracting Officer Assessment Program in the supporting documentation.

3.2.3. All requests for permanent Contracting Officer warrants must include both the COAT and CORB Certificates of Completion for the Warrant Assessment Program in the supporting documentation.

3.2.4. Successful completion of the Warrant Assessment Program is required once per warrant type, prior to submission of a request for a Contracting Officer warrant.

3.2.5. Potential candidates can participate in the program when applicable qualifications have been met at the request of the supervisor or a requesting official (see the Appointment Qualifications Matrix on the Resource Web Page).

3.2.6. Successful completion of the two-part assessment does not guarantee issuance of a DCMA Contracting Officer warrant.

#### **3.3. EXEMPTIONS TO THE WARRANT ASSESSMENT PROGRAM.**

3.3.1. Appointments for CCAS Contracting Officers and temporary appointments of less than 1-year are exempt from the CORB, but will be required to successfully complete the written assessment (COAT) once per warrant type. Subsequent requests for a permanent Contracting Officer warrant will require a CORB.

3.3.2. Individuals with a DCMA warrant at the time of Warrant Assessment Program implementation (includes DCMA internal transfers and laterals) are exempt from both the COAT and the CORB.

3.3.3. An individual with a DCMA ACO warrant is required to complete the COAT and CORB prior to submitting a request for a different warrant type (TCO, PCO, CACO, or DACO).

3.3.4. An individual with a current DACO warrant is exempt from CORBs and COATs when applying for a CACO warrant.

3.3.5. Small Business warrant requests are exempt from the Warrant Assessment Program.

3.3.6. An individual with a DCMA ACO warrant does not need to complete the COAT and the CORB to obtain an AGO/AAO warrant.

### **3.4. PURPOSE OF THE COAT.**

3.4.1. The purpose of the COAT is to allow a qualified Contracting Officer candidate to demonstrate the ability to research the FAR and DFARS by answering questions and providing accurate FAR and DFARS references. A qualified candidate is a person who meets all the requirements required for a warrant identified in the Appointment Qualifications Matrix (see Resource Web Page).

3.4.2. The COAT is to be completed once per warrant type. The COAT eTool will generate 25 random warrant-type specific, true/false or multiple choice questions. The candidate researches questions using online versions of FAR, DFARS, and Procedures, Guidance and Information (PGI) to identify the correct answer and the appropriate reference.

### **3.5. COAT PROCEDURES.**

3.5.1. The requesting official will send an email to the “WAP Inbox” requesting COAT access for a qualified candidate.

3.5.2. Access requests may be granted by the Assessment Coordinator through Internal Web Access management (IWAM) or External Web Access Management (EWAM) process.

3.5.3. The Assessment Coordinator will grant a 1-day access to the COAT. The eTool provides detailed instructions and reference formatting.

3.5.3.1. To gain access to the COAT questions, the candidate must certify that the assessment will be completed without assistance.

3.5.3.2. A practice assessment will be available to familiarize the candidate with answering questions and reference formatting. The practice assessment consists of five questions applicable to specific Contracting Officer warrant types (ACO, PCO, TCO, CACO, and DACO). Practice assessment results are not retained or tracked.

3.5.3.3. The COAT will generate 25 random, warrant-type specific, true/false or multiple choice questions to be completed by the candidate.

3.5.3.4. A complete response includes an answer to the question and one appropriate FAR, DFARS, or PGI reference (there may be more than one reference, but only one is needed). Successful completion of the assessment means that at least 20 out of 25 questions (80 percent) are answered correctly, plus at least 20 out of 25 references (80 percent) are correctly identified. A candidate cannot achieve success by answering questions only or providing references only.

### **3.6. COAT RESULTS.**

3.6.1. Answers to questions and fill-in-the-blank references are to be tallied separately and then be combined.

3.6.2. Points will be awarded as follows with a maximum of 4 points per question (25 questions x 4 points = 100 points).

3.6.3. Assessments will be scored automatically with instant results provided to the candidate after the "Submit" button is clicked. A view of all questions showing correct and incorrect responses will be provided to the candidate.

3.6.3.1. The results will also be automatically provided by the system to the requesting official and the Assessment Coordinator upon completion.

3.6.4. If the candidate successfully completes the assessment, a link to an auto-generated, dated, warrant-type-specific certificate is sent to the candidate.

3.6.5. If the candidate is unsuccessful, the candidate will be prompted to contact the Assessment Coordinator to request another 1-day access to the COAT to retake the assessment. Candidates are permitted two attempts per month.

3.6.6. The requesting official or supervisor will enter a successful completion into the Training Competency Assessment Tool (TCAT) for DCMA employees.

3.6.7. The Assessment Coordinator will receive a report of wrong answers for future training opportunities or question revision.

### **3.7. COAT APPEAL PROCESS.**

3.7.1. Any request for reconsideration of the COAT results will be sent by email from the candidate to the WAP Inbox within 3 business days of the candidate's receipt of COAT results.

3.7.2. The request for appeal shall include the specific question(s) and or reference(s) considered to be in error. The request for appeal shall provide an explanation and basis for the correction requested.

3.7.3. The Assessment Coordinator will review the candidate's request within 2 business days and send a notification to the candidate and the requesting official with the results of the appeal.

3.7.3.1. If the request is valid, the Assessment Coordinator will adjust the candidate's results in the COAT accordingly, generating an email to the candidate with a link to an auto-generated dated certificate, if applicable.

3.7.3.2. If the basis of the appeal is correct, the Assessment Coordinator will take action to adjust the items in question in the COAT system.

3.7.3.3. If the request is not deemed appropriate, no adjustment will be made to a COAT question, answer, or reference and further appeal will not be considered.

### **3.8. PURPOSE OF THE CORB.**

3.8.1. The purpose of the CORB is to assess the candidate's experience, qualifications, and communication skills, in order to provide additional information upon which the requesting official may make a reasonable determination of the candidate's potential as a warranted Contracting Officer.

3.8.2. All personnel applying for a DCMA Contracting Officer warrant (ACO, PCO, TCO, CACO, or DACO), except AGOs/AAOs and DACO to CACO, shall be subject to a CORB interview. The CORB will make a recommendation that the candidate is ready or not yet ready to be a Contracting Officer. (See paragraph 3.11., CORB Recommendation.)

3.8.3. Request for a CORB is restricted to qualified candidates who need a Contracting Officer warrant in their position. A qualified candidate means a person meeting the requirements identified for the warrant type per the Appointment Qualifications Matrix (see Resource Web Page). The CORB Request form (see Resource Web Page) is to be completed by the requesting official and sent to the WAP Inbox.

3.8.4. A CORB interview is required for DCMA ACOs seeking a PCO, TCO, CACO, or DACO warrant.

#### **3.8.5. Unsuccessful Candidates.**

3.8.5.1. Second Attempt. The requesting official may request a second CORB interview at least 30 days following CORB notification to the unsuccessful candidate.

3.8.5.2. Third Attempt. The requesting official may request a third CORB interview a minimum 60 days following CORB notification to the unsuccessful candidate.

3.8.5.3. Fourth Attempt. The requesting official may request a fourth CORB interview a minimum 90 days following CORB notification to the unsuccessful candidate.

3.8.5.4. The requesting official should reconsider seeking additional CORB interviews beyond a candidate's fourth unsuccessful attempt

### **3.9. CORB MEMBERSHIP.**

3.9.1. Each CORB session will consist of a GS-15 chairman plus a minimum of three Contracting Level III certified board members of the same or higher grade as the position being filled. A minimum of three GS-1102 panel members will participate in the CORB. A military equivalent rank may be a panel member. (See CORB Membership Plan on the Resource Web Page).

3.9.2. One GS-15 chairman for each session will be selected from the following positions:

- Director, Contracts Policy Division
- Director, Corporate/Divisional ACO Group
- Deputy Director, Finance & Payment Branch, Contracts Policy Division
- Contracts Director, Operations Directorate
- Contracts Director, Special Programs Directorate
- Contracts Director, International Directorate

3.9.3. A selecting official or the Assessment Coordinator may not serve as a CORB panel member.

### **3.10. CORB PROCEDURES.**

3.10.1. The Assessment Coordinator shall schedule the CORB and notify all CORB participants as provided (see CORB Membership Plan on the Resource Web Page).

3.10.1.1. CORB chairmen and panel members will be notified of their monthly assignments by December 15 of each year.

3.10.1.2. CORB members and candidates will be notified by the Assessment Coordinator of the date, time, location, and other details of the proceedings.

3.10.2. The preferred method to conduct the CORB is face-to-face, in person, or via video teleconference (VTC), if available. The next choice to conduct the CORB is by conference call.

3.10.3. When the CORB is used in conjunction with hiring, the CORB will occur as a second interview for no more than the top three candidates.

3.10.4. Time zones for participants will be considered when scheduling the CORB. The requesting official will notify the Assessment Coordinator if outside the continental United States (OCONUS) time zones are anticipated.

3.10.5. CORB panel members will select three to five scenario-based, warrant-type specific questions from a database of approved questions provided by the Assessment Coordinator.

3.10.6. New questions can be submitted to the Assessment Coordinator to be added to the question database.

3.10.7. The CORB members will assess the ability of the candidate to analyze a situation, offer problem resolution and sound business advice, and the candidate's overall poise during the Board process.

### **3.11. CORB RECOMMENDATION.**

3.11.1. At the conclusion of the CORB, the chairman and panel members will deliberate and provide a recommendation with supporting documentation to the Assessment Coordinator regarding the candidate's readiness to be warranted as a Contracting Officer.

3.11.2. The Assessment Coordinator will send a notification to the requesting official and the candidate with the determination of the CORB.

3.11.3. The recommendation will be sent within 3 business days.

3.11.3.1. A recommendation that the candidate is "ready" to apply for a warrant may be accompanied by supporting documentation that identifies the candidate's strengths and weaknesses that may need to be addressed.

3.11.3.2. A recommendation that the candidate is "not yet ready" to apply for a warrant will be accompanied by rationale with specific areas of weakness that need to be strengthened before requesting another CORB.

3.11.3.3. If successful, the Assessment Coordinator will also include a dated, warrant-type specific (e.g., ACO, CACO, DACO, PCO, TCO) certificate with a 12-month validity in the notification to the requesting official and the candidate.

### **3.12. CORB APPEAL PROCESS.**

3.12.1. A request for reconsideration of the CORB determination will be sent by email from the candidate to the chairman of the CORB with a copy to the requesting official and Assessment Coordinator, within 3 business days of the candidate's receipt of the CORB notification.

3.12.2. The request should address the weaknesses identified by the CORB and provide supporting documentation or rationale for reconsideration of any recommendation.

3.12.3. The CORB chairman will confer with the panel members and provide a determination to the Assessment Coordinator within 3 business days of receipt of the appeal.

3.12.3.1. If the CORB amends the determination, the Assessment Coordinator will send an amended notification along with a dated, warrant-type specific certificate with a 12-month validity to the requesting official and the candidate.

3.12.3.2. If the CORB maintains the original determination that the candidate is not yet ready, the Assessment Coordinator will send a notification to the requesting official and the candidate indicating that no change was made. Further appeal will not be considered.

## CHAPTER 4

### WARRANTS AND OTHER OFFICIAL APPOINTMENTS PROCESSING

#### 4.1. DETERMINE THE NEED FOR AN APPOINTMENT.

4.1.1. Demonstrated need for an appointment based on workload is equal in importance to individual qualifications.

4.1.2. There must be an identifiable workload for the authority requested.

4.1.3. If the position has not been previously covered by an appointed individual, analyze and document the workload and other conditions that demonstrate the need to create a new appointment.

4.1.4. If the position has previously been covered by an appointed individual, a review should be performed to ensure the supporting workload still exists.

4.1.4.1. Generally, supervisory personnel will not have a workload that justifies an appointment.

4.1.4.2. Applications for exception to this rule will be considered on a case-by-case basis and will be accompanied by a written justification.

4.1.4.3. After determination of the need, a supervisor may nominate a qualified candidate for Contracting Officer (see Appointment Qualifications Matrix on the Resource Web Page).

4.1.5. New Hires. For Contracting Officer, PA, and PLCO positions, the servicing human resource office ensures job opportunity announcements require the successful candidate is, or will be capable of, obtaining the applicable appointment as a condition of employment. (See Appointment Qualifications Matrix on the Resource Web Page for the requirements for each type of appointment; specifically note DAWIA certification requirements which must be met before hiring or within 24 months of hiring, depending on the type of appointment.)

#### 4.2. DETERMINE THE TYPE OF APPOINTMENT TO BE REQUESTED.

4.2.1. Contracting Officer appointments include ACO, AGO/AAO, CACO, CCAS, DACO, PCO, and TCO. All Contracting Officers are responsible for ensuring performance of all necessary actions for effective contracting, ensuring compliance with the terms of the contract, and safeguarding the interests of the United States in its contractual relationships (FAR 1.602-2)(Reference (n)).

4.2.1.1. See FAR 1.602 (Reference (o)) for general authority and responsibilities of Contracting Officers and FAR 1.603 (Reference (e)) for specifics regarding selection, appointment, and termination of appointments.

4.2.1.2. ACO. See FAR 42.302(a) (Reference (p)) for a list of functions a contracting officer may delegate to an ACO. Typically, within DCMA, all duties listed in this FAR provision are assigned to the ACO with the exception of FAR 42.302(a)(24) (Reference (q)), which deals with contract terminations.

4.2.1.2.1. ACO – Small Business Specialist. Small Business Specialist ACOs are limited to the following, which must be cited on the appointment request:

- Approval of small business subcontracting plans
- Executing DoD Comprehensive Test Program subcontracting plans
- Approving credit agreements under DoD Mentor-Protégé Program
- The ARQS – ACO (see Resource Web Page) is used to request an ACO warrant and a Small Business Specialist ACO warrant

4.2.1.3. AGO/AAO. DoD 3210.6-R (Reference (i)), defines and regulates proper execution of Grants and Cooperative Agreements within the Department of Defense.

4.2.1.3.1. Appointments will include authority to act as an AGO and AAO.

4.2.1.3.2. An ACO warrant must already be conferred upon the nominee or requested concurrently with the AGO/AAO appointment.

4.2.1.3.3. Defense Acquisition University (DAU) course GRT 201 must be completed to function as an AGO/AAO. A copy of the completed GRT 201 certificate or valid DAU registration with session number for the course must accompany the nomination for this type of appointment.

4.2.1.3.4. Only an AAO may be appointed to administer Other Transactions (OT) for research and prototype and Technology Investment Agreements (TIA) (see Definitions).

4.2.1.3.5. The ARQS – AGO/AAO (see Resource Web Page) is used to request an AGO/AAO warrant.

4.2.1.4. CACO. Contractors with more than one business segment or division frequently have various corporate-wide policies, procedures, plans, and programs that necessitate Government review and negotiation of certain indirect costs at the corporate headquarters (HQ) level.

4.2.1.4.1. These include, but are not limited to, pension plans, health care plans, insurance programs, independent research and development programs, bid and proposal programs, executive compensation plans, union agreements, foreign operations, and taxes.

4.2.1.4.2. Such indirect cost allocations often involve large, complex costs collected at intermediate group offices as well as corporate offices and these costs allocations significantly affect the work of many ACOs who monitor indirect costs at the business segments or divisions.

4.2.1.4.3. In addition, some contractors operate with centralized management control and may have considerable decision-making authority at the corporate level. In such situations, DCMA will designate a CACO to be responsible for contract administrative functions at the corporate level, including negotiation of corporate indirect costs allocations on behalf of all ACOs located at the business segments or divisions.

4.2.1.4.4. CACO assignments and locations of position shall be recommended by the Director, Corporate/Divisional ACO Group, in accordance with the criteria set forth in Far 42.602 (Reference (l)) and DFARS 242.602 (Reference (m)).

4.2.1.4.4.1. For each contractor considered for the assignment of a CACO, the dollar value of annual corporate sales to the Government should exceed \$1 billion and the corporation should have a least two business segments or divisions. However, the Director, Corporate/Divisional ACO Group may recommend a CACO appointment below the \$1 billion threshold based on an analysis of Government contract risk.

4.2.1.4.4.2. Where contractors do not meet the CACO qualifying criteria, and the contractor's organization structure includes corporate and/or divisional cost allocation flow downs, such costs, rates, or factors shall be negotiated by the ACO at the cognizant CMO listed in the Directory of Contract Administrative Services Components.

4.2.1.4.5. CACO appointments shall be limited to a term of no more than 5 years with a specific corporation.

4.2.1.4.5.1. CACO assignments are subject to DCMA-INST 631 "Civilian Rotation Program – CONUS"(Reference (r)).

4.2.1.4.5.2. The Executive Director, Contracts can extend a CACO appointment for 2 years (for a maximum of 7 years) in cases where there is no other CACO position within the same commuting area into which to rotate a CACO having reached their 5-year term limit.

4.2.1.4.6. CACO duties include, but are not limited to:

4.2.1.4.6.1. Acting as the DoD liaison with corporate management.

4.2.1.4.6.2. Development of uniformity and consistency in the treatment of costs throughout the entire contractor's government oriented operating elements.

4.2.1.4.6.3. Evaluation and determination of the acceptability of the contractor's management and operating policies and programs having a corporate-wide impact.

4.2.1.4.6.4. Establishment of advance agreements on corporate and/or home office expense allocations. (FAR 42.603(a)(2), Reference (s)).

4.2.1.4.6.5. Participate in negotiations of Forward Pricing Rate Agreements (FAR 42.302(a)(5) (Reference (t)) and FAR 42.1701 (Reference (u)) or making Forward Pricing Rate Recommendations (DCMA-INST 130, "Forward Pricing Rate Agreements" (Reference (v)) for corporate-level overhead, and general and administrative costs.

4.2.1.4.6.6. Administration of Cost Accounting Standards (CAS) applicable to corporate-level and corporate-directed accounting practices (FAR 42.603(a)(3), Reference (w)).

4.2.1.4.6.7. Negotiation of corporate-level final indirect cost rates (FAR 42.603(a)(1), Reference (x)).

4.2.1.4.6.8. Issuance of Notices of Intent to Disallow or Not Recognize Cost for corporate expenses. Approvals of Notices of Intent to Disallow or Not Recognize Cost, as appropriate, when such notices are issued by business segment DACOs/ACOs in instances where the CACO has final overhead settlement authority for the affected segment (FAR 42.801(e), (Reference (y)).

4.2.1.4.6.9. Determination of cost allowability of Independent Research and Development/Bid and Proposal (IR&D/B&P) costs and whether IR&D/B&P projects are of potential interest to the DoD (DFARS 242.771-3(a), (Reference (z)).

4.2.1.4.6.10. When assigned, a CACO participates as a member of, and processes Corporate Management Council approved block changes (DFARS 242.302(a)(4)(S-70), (Reference (aa)).

4.2.1.4.7. Preparation and execution of CACO/DACO Division of Duties Agreements to preclude duplication of effort by clearly delineating CACO and DACO responsibilities in accordance with delegation of decision-making authority made by corporate management.

4.2.1.4.7.1. The agreement shall be submitted with the request for appointment of a DACO (or draft which must be executed no later than 90 days after a DACO has been appointed.)

4.2.1.4.7.2. The agreement is prepared using the CACO/DACO Division of Duties Agreement template (see Resource Web Page for template).

4.2.1.4.7.3. The format and prescribed content of the agreement may be revised as necessary to fully describe the agreements reached between the CACO and DACO.

4.2.1.4.7.4. Providing information and assistance to DACOs and Defense Contract Audit Agency, Contract Audit Coordinators and maintaining close liaison and coordination with those individuals regarding the contractor's general management policies and procedures; accounting and financial information; and any systemic contract audit report issues.

4.2.1.4.8. With the exception of the Special Programs Directorate, all CACOs report to the Director, Cost and Pricing Center. Special Programs CACOs report to their respective CMO Contracts Directors and coordinate with the Director, Cost and Pricing Center as necessary.

4.2.1.4.9. The ARQS – CACO (see Resource Web Page) is used to request a CACO warrant.

4.2.1.5. CCAS. Appointments are issued to individuals serving in ACO, CA, PA, and PLCO positions or billets on contingency operations teams providing CCAS.

4.2.1.5.1. CCAS appointments are not required if an individual holds a DCMA warrant, which is valid in the OCONUS position.

4.2.1.5.2. CCAS appointments are only valid for the length of the actual tour of duty, and expire automatically upon the appointee's leaving the OCONUS environment. If the employee deploys again in the future, a new appointment shall be processed.

4.2.1.5.3. CCAS appointment qualifications are identified in the Appointment Qualifications Matrix (see Resource Web Page).

4.2.1.5.4. The ARQS – CCAS (see Resource Web Page) is used to request a CCAS warrant.

4.2.1.5.5. Only the Combat Support Center (CSC) can submit a request for a CCAS warrant.

4.2.1.5.6. CCAS continental United States (CONUS) appointments will be handled on a case-by-case basis. A CCAS CONUS warrant is for a DCMA employee who has returned from a DCMA CCAS ACO assignment to provide rear echelon (reach forward) support to the CCAS CMO.

4.2.1.5.6.1. CCAS CONUS appointments are based on coordination and a written agreement between the DCMA CCAS CMO Commander and the individual's home station CMO Director/Commander for work on CCAS actions only. The signed and dated agreement will be attached to the ARQS for CCAS CONUS.

4.2.1.5.6.2. CCAS CONUS appointments will be temporary (not less than 30 days and not more than 1-year).

4.2.1.5.6.3. CCAS CONUS appointments will be of the same type as the OCONUS appointment with the same type work performed in the OCONUS environment.

4.2.1.5.6.4 The ARQS – CCAS CONUS (see Resource Web Page) is used to request a CCAS CONUS warrant.

4.2.1.6. DACO. A DACO is responsible for contract administration functions at the business segment or division level.

4.2.1.6.1. The DACO serves as the DoD liaison with the contractor segment or division management with responsibility for contract administration actions having segment or division-wide impact. All DACOs, except Special Programs and Logistics Civil Augmentation Program (LOGCAP), report to the Director of Corporate/Divisional ACO Group. Special Programs Directorate DACOs report to their respective CMO Contracts Directors. LOGCAP DACOs report to International.

4.2.1.6.2. DACO assignments and locations shall be recommended by the Director of Corporate/Divisional ACO Group in the Cost and Pricing Center, with the exception of Special Programs Directorate. Special Programs DACO assignments and locations shall be recommended by the Special Programs CMO Contracts Director and Special Programs Contracts Director, and coordinated with the Director of Corporate/Divisional ACO Group as necessary.

4.2.1.6.3. The ARQS – DACO (see Resource Web Page) is used to request a DACO warrant.

4.2.1.6.4. When a CACO has been appointed, and when specific benefits can be derived, an ACO cognizant at a contractor's business segment may be appointed as a DACO.

4.2.1.6.5. DACO positions should be established when the contractor meets the criteria for assignment of a CACO. Criteria for CACOs is found in FAR 42.602, (Reference (1)), which is used to support DACOs.

4.2.1.6.6. When more than one ACO has been assigned to a contractor's business segment, only one of those ACOs shall be appointed as the DACO.

4.2.1.6.7. A DACO assignment is also desirable at a contractor business segment subject to full CAS coverage as set forth in FAR 30.201-1 (Reference (ab)) resulting from the receipt of a single CAS-covered contract award of \$50 million or more, or the receipt of \$50 million or more in net CAS-covered awards during a preceding cost accounting period.

4.2.1.6.8. An individual who is assigned as a DACO shall not maintain a contracts workload.

4.2.1.6.9. A DACO will perform the duties as set forth in the respective CACO/DACO Division of Duties Agreement. The CACO/DACO Division of Duties Agreement template (see Resource Web Page) will be used to prepare the agreement.

4.2.1.6.9.1. Issues and agreements settled at the corporate level by the CACO will be communicated to the associated DACOs who will ensure consistent application of those corporate-level decisions throughout their cognizant business segments or divisions, except for as discussed and agreed upon in advance by the CACO and DACO.

4.2.1.6.9.2. The CACO/DACO Division of Duties Agreement (see Resource Web Page) shall be submitted with the request for appointment of a DACO (or a draft which must be executed no later than 90 days after a DACO has been appointed).

4.2.1.6.10. DACOs assignments are subject to DCMA-INST 631 “Civilian Rotation Program – CONUS”(Reference (r)).

4.2.1.7. PCO. FAR 1.602 (Reference (o)) establishes the authority and responsibility of PCOs.

4.2.1.7.1. The ARQS – PCO (see Resource Web Page) is used to request a PCO warrant.

4.2.1.8. TCO. See FAR 42.302(a)(24) (Reference (q)), FAR Part 49 (Reference (ac)), FAR 12.403 (Reference (ad)) and associated DFARS subparts for duties associated with TCO appointments.

4.2.1.8.1. The ARQS – TCO (see Resource Web Page) is used to request a TCO warrant.

4.2.1.9. Temporary Appointments. Temporary appointments shall be limited to a term of at least 30 days and no more than 1-year.

4.2.1.9.1. Temporary appointments may be issued and are only valid during a period when the incumbent in the position is unable to timely carry out the duties of the position (e.g., due to his/her extended absence).

4.2.1.9.2. A nominee for a temporary appointment shall meet all qualifications for the appointment type as identified in the Appointment Qualifications Matrix (see Resource Web Page).

4.2.1.9.3. If a nominee is temporarily promoted in order to fill a position requiring an appointment, a copy of the Standard Form (SF) 50, Notice of Personnel Action (preferred or SF52, Request for Personnel Action), will be included in the request for appointment package.

4.2.2. Other Appointments. Other appointments include PA and PLCO. PA and PLCO: FAR Part 45 (Reference (ae)) and DFARS Part 245 (Reference (af)) define and regulate property administration within the DoD. DFARS 201.670 (Reference (j)) specifically discusses appointment of PAs and PLCOs.

### **4.3. EVALUATE THE STANDARDS FOR APPOINTMENT.**

4.3.1. Issuance of appointments is restricted to personnel who meet applicable selection criteria. See the Appointments Qualification Matrix (see Resource Web page) for qualification requirements for all appointments types.

4.3.2. For Contracting Officers, the Certification and Core Plus Development Guides (see Resource Web Page) implement the certification standards of the DAWIA for the Contracting (CON) career field.

4.3.3. ACO appointment for foreign nationals (FN) or local nationals (LN) and for individuals certified under the Federal Acquisition Certification Program for Contracting (FAC-C) will be considered on a case-by-case basis. Detailed procedures for evaluation of appointment of FNs are set forth in DCMAI Guidance Memorandum 08-01 (see Resource Web Page).

4.3.4. DCMA experience standards are identified in the agency Competency Guide (see Resource Web Page).

#### **4.4. PREPARE AND SUBMIT APPOINTMENT REQUEST.**

4.4.1. Prior to submitting a request for Contracting Officer warrant, qualified candidates shall successfully complete the applicable parts of the Warrant Assessment Program (see Chapter 3 of this policy).

4.4.2. A qualified candidate meets the requirements identified on the Appointment Qualifications Matrix (see Resource Web Page) for the warrant type requested.

4.4.3. Appointments shall be requested using the latest version of the ARQS form (see Resource Web Page for all ARQS templates). Substitution or modification of the ARQS form is not authorized.

4.4.3.1. Nominees shall provide written evidence of their qualifications using the appropriate ARQS form (see Resource Web Page).

4.4.3.2. All ARQS forms must be completely filled in, signed, and dated by the employee and the supervisor with additional required signatures as follows:

- ACO, AGO/AAO, ARQS: CMO Contracts Director, International Contracts Director, Operations Contract Director (or the Team Lead), or Special Programs Contracts Director, as appropriate
- CACO and DACO ARQS: Director of Corporate/Divisional ACO Group
- CCAS ARQS: CSC representative
- DACO ARQS for Special Programs: Special Programs CMO Contracts Director
- PCO ARQS: Director, Procurement Center
- TCO ARQS: Director, Terminations Center or Special Programs Contracts Director
- PA and PLCO ARQS: Director Property Group, Director Plant Clearance Group, DCMI, or Special Programs Contracts Director

4.4.3.3. Signing the ARQS is confirmation that the candidate meets the appointment-specific qualifications identified in the Appointment Qualifications Matrix (see Resource Web

Page), and that each signer approves. Signatures may be handwritten or digital using a Common Access Card.

4.4.3.4. Personally Identifiable Information on supporting documentation must be obscured before forwarding (e.g., Social Security numbers, phone numbers). Email must not be encrypted, because encrypted email cannot be opened in shared email boxes.

4.4.3.5. The completed ARQS form and all supporting documentation must be scanned into a single file and forwarded for review, approval, and processing, as follows:

4.4.3.5.1. ACO, AGO/AAO – Operations Directorate. Email to OpsContract.DivisionWarrant@dcma.mil.

4.4.3.5.1.1. After approval, the single file will be uploaded by an authorized portal administrator to the AQ-Warrant Requests Project, CMO Folder for DCMA HQ processing.

4.4.3.5.2. ACO, AGO/AAO – International. Email to DCMAIWarrant@dcma.mil.

4.4.3.5.2.1. After approval, the single file will be uploaded by an authorized portal administrator to the AQ-Warrant Requests Project, International Folder for DCMA HQ processing.

4.4.3.5.3. ACO, AGO/AAO, CACO, DACO, TCO, PA, PLCO, TO, TA – Special Programs. Email to Special Programs Contracts Directorate.

4.4.3.5.3.1. After approval, the ARQS will be processed in accordance with Special Programs Directorate procedures.

4.4.3.5.4. CACO, DACO. Email to Director, Corporate/Divisional ACO Group, except for Special Programs Directorate.

4.4.3.5.4.1. After approval, the single file will be uploaded by an authorized portal administrator to the AQ-Warrant Requests Project, CACO/DACO Folder for DCMA HQ processing.

4.4.3.5.5. CCAS ACO. Email to CSC for review and approval. A single file will be uploaded by an authorized CSC portal administrator to the AQ-Warrant Requests Project, CCAS Folder for DCMA HQ processing.

4.4.3.5.6. PA and PLCO. Email approved requests to WarrantRequestInBox@dcma.mil for processing by the Property Performance Advocate. The ARQS for PA and PLCO is a combined form that incorporates CCAS.

4.4.3.5.7. PCO. Email to Director, Procurement Division.

4.4.3.5.7.1. After approval, the single file will be uploaded by an authorized portal administrator to the AQ-Warrant Requests Project, PCO Folder for DCMA HQ processing.

4.4.3.5.8. TCO. Email to Director, Terminations Group.

4.4.3.5.8.1. After approval, the single file will be uploaded by an authorized portal administrator to the AQ-Warrant Requests Project, TCO Folder for DCMA HQ processing.

#### **4.5. DCMA HQ PROCESSING.**

4.5.1. The Performance Advocate for Warrants and Other Official Appointments will only process warrant requests, including requests for warrant termination, from the appropriate folder in the AQ-Warrant Requests Project in the portal.

4.5.1.1. The Performance Advocate will process ACO, AGO/AAO, CCAS-ACO, CACO, DACO, PCO, and TCO warrant requests from Operations, the CSC, Corporate/Divisional ACO Group, International Directorate, Procurement Division, and Terminations Group.

4.5.1.2. The Performance Advocate authorizes portal administrator access for the AQ-Warrant Requests Project in the portal upon email request from the organization. Only authorized portal administrators can upload documents to the AQ-Warrant Requests Project.

4.5.1.3. The Performance Advocate will review the ARQS and supporting documentation uploaded to the AQ-Warrant Requests Project in the portal to ensure qualification requirements are met and that supporting documentation aligns with the information provided on the ARQS.

4.5.1.4. When qualifications are not met or the ARQS is not complete, the Performance Advocate will send a rejection notification within 3 business days of making such determination to the requesting organization.

4.5.1.5. When qualification requirements for appointments are met, the appointments are issued within 5 working days of receipt by the Performance Advocate.

4.5.1.5.1. Contracting Officer appointments (ACO, CCAS-ACO, AGO/AAO, CACO, DACO, PCO, TCO) are on SF1402, Certificate of Appointment, signed by the appointing official and accompanied by signed appointment letter. The appointment certificate will cite any limitations of time period or level of authority granted (FAR 1.603-3, Reference (ag)).

4.5.1.5.2. Appointing officials shall maintain copies of all appointments that have not been terminated (FAR 1.603-3, Reference (ag)).

4.5.1.5.3. The certificate shall be displayed openly to the general public and Agency personnel and shall not be displayed once terminated.

4.5.2. The Performance Advocate for Property will process all PA and PLCO appointment requests, except for Special Programs Directorate, from the WarrantRequestInBox@dcma.mil within 5 days of receipt.

4.5.2.1. The Performance Advocate for Property will review the ARQS and supporting documentation to ensure qualification requirements are met (see Appointment Qualification Matrix on Resource Web Page) and that supporting documentation aligns with the information provided on the ARQS.

4.5.2.2. When qualifications are not met or the ARQS is not complete, the Performance Advocate will send a rejection notification within 3 business days of making such determination to the requesting organization.

4.5.2.3. When qualification requirements for appointments are met, the appointments are issued within 5 working days of receipt by the Performance Advocate.

4.5.2.4. The PA and PLCO warrants are made in writing on SF1402, Certificate of Appointment, signed by the appointing official and accompanied by a signed appointment letter. The appointment certificate will cite any limitations of time period or level of authority granted (FAR 1.603-3, Reference (ag)). The certificate shall be displayed openly to the general public and Agency personnel and shall not be displayed once terminated.

#### **4.6 NUMBERING CONVENTION FOR APPOINTMENTS.**

4.6.1. Each appointment is numbered by type and is sequential.

4.6.2. Calendar year numbering convention for DCMA appointments is as follows:

4.6.2.1. Example: DCMA-A-12-0001

4.6.2.2. The next characters are alpha and represent the warrant type:

- A – ACO
- C – CACO
- D – DACO
- G – AGO/AAO
- P – PCO
- T – TCO
- PA – PA
- PLCO – PLCO

4.6.2.3. The next 2 digits followed by a dash represent the year (i.e., -12 represents the year 2012).

4.6.2.4. The next 4 digits followed by a dash are sequentially numerical starting at 0001 at January 1 of each year.

#### **4.7. ADMINISTRATIVE.**

4.7.1. Administrative changes (e.g., name changes, typos) to appointment letters and certificates can be requested through the same channels identified for submission of ARQS forms. Administrative changes will be addressed within 5 business days of receipt.

4.7.2. The request for change must identify the appointment number, the name, postal address for mailing originals, email address for advance copies, the requested change, and authorization by a supervisor or above.

4.7.3. Changes in level of authority or time period are not administrative changes and must go through the established ARQS process.

4.7.4. Transfers of appointed individuals:

4.7.4.1. A transfer is defined as a change in CMO.

4.7.4.2. The gaining office must determine whether the individual's new position requires an appointment and, if so, any limitations.

4.7.4.3. The gaining office will notify the DCMA Performance Advocate, in writing within 10 days of the employee's arrival in the new position, as to whether the individual will continue to perform duties that require an appointment.

4.7.4.4. Appointment information should be kept current for the respective databases, including Mechanization of Contract Administration Services (MOCAS).

4.7.5. CACO/DACO temporary (30 days to 1-year) assignments within the Cost and Pricing Center:

4.7.5.1. Filling temporary CACO/DACO needs for vacancies, long-term leave, training, or CCAS deployments will be initiated by a supervisory team leader who identifies the need and makes the recommendation for a temporary CACO/DACO appointment by sending an email that identifies the company/division to the Director, Corporate/Divisional ACO Group.

4.7.5.2. Upon receipt of the supervisory team leader request, the Director, Corporate/Divisional ACO Group will appoint an existing CACO/DACO from within the Group to act as a temporary CACO/DACO.

4.7.5.3. The temporary CACO/DACO will be notified by email. A copy of the email will be distributed to the affected team supervisor(s) and the Performance Advocate for Warrants and Other Official Appointments.

4.7.5.4. The temporary appointment is automatically terminated when a permanent appointment is made for the vacant position or when the existing CACO/DACO returns from the long-term leave, training, or CCAS deployment.

4.7.5.5. An email notification of the terminated appointment will be sent to the Performance Advocate for Warrants and Other Official Appointments.

#### **4.8. TERMINATION OF APPOINTMENT.**

4.8.1. The Head of Contracting Activity (HCA) may terminate appointments when a warranted individual fails to demonstrate the requisite specialized knowledge, experience, training, business acumen, and judgment required to execute the duties of the position.

4.8.2. Appointments may be terminated at the discretion of the appointing official. Temporary and CCAS appointments are self-terminating and require no termination letter.

4.8.3. Termination of Appointment will be in writing, and signed by the appointment official (FAR 1.603-4, Reference (ah)).

4.8.4. DCMA Contracting Officer appointments are not suspended or reinstated. If the appointee cannot perform assigned duties for any period of time, then a termination of the appointment must be requested using the Request for Appointment Termination form (see Resource Web page). Once terminated for any reason, if another appointment is needed, the Warrant Assessment Program requirements must be completed prior to submitting a new request for warrant.

4.8.5. CMO Commanders, CMO Contracts Directors, and the Director of Corporate/Divisional ACO Group shall immediately recommend termination of appointment using the latest version of the Request for Appointment Termination for the following situations:

4.8.5.1. An appointed individual fails to demonstrate the requisite specialized knowledge, experience, training, business acumen, and judgment required to execute the duties of the position.

4.8.5.2. It has been determined that an appointed individual has acted outside of the authority granted.

4.8.5.3. An appointed individual receives an unsatisfactory performance rating indicating unsuitability to perform the duties of the appointed position.

4.8.5.4. Workload no longer supports the position.

4.8.5.5. The appointed individual leaves the position (or the Agency) and is not being transferred to another DCMA position that requires an appointment (see paragraph 4.7.4.).

4.8.5.6. The appointed individual is unable to perform the assigned duties for a reason not stated above.

4.8.6. Once terminated, appointment certificates shall not be displayed and should be destroyed. If another appointment is needed, the Warrant Assessment Program requirements must be completed prior to submitting a new request for warrant.

4.8.7. No termination shall operate retroactively (FAR 1.603-4, Reference (ah)).

4.8.8. Termination for routine reasons such as reassignment, retirement, leaving the agency, or workload no longer supports the appointment is delegated to the Performance Advocate for Warrants and Other Official Appointments and the Performance Advocate for Property.

4.8.9. The Performance Advocate for Warrants and Other Official Appointments will only process appointment termination requests from the appropriate folder in the AQ-Warrant Requests Project in the Portal.

#### **4.9. ANNUAL REVIEW OF APPOINTMENTS.**

4.9.1. An Annual Contracting Officer Review shall be prepared using the Annual Contracting Officer Review spreadsheet (see Resource Web Page).

4.9.1.1. Operations Contracts Director, International Contracts Director, Director Corporate/Divisional ACO Group, Director Terminations Group, CSC, and Director Procurement Division will conduct and submit the annual review of Contracting Officer appointments with their annual statement of assurance and forward to the Performance Advocate for Warrants and Other Official Appointments.

4.9.1.2. Director for Property will conduct and submit Annual Review of Appointments and forward to the Performance Advocate for Warrants and Other Official Appointments with their annual statement of assurance.

4.9.1.3. Special Programs Directorate will conduct and submit the Annual Review of Contracting Officer Appointments to the Special Programs Directorate Contracts Director.

4.9.2. Appointment lists shall be reviewed annually by the Executive Director, Contracts, and the Executive Director, Special Programs for their cognizant areas.

4.9.3. Reports will be maintained for a period of 3 years and can then be deleted.

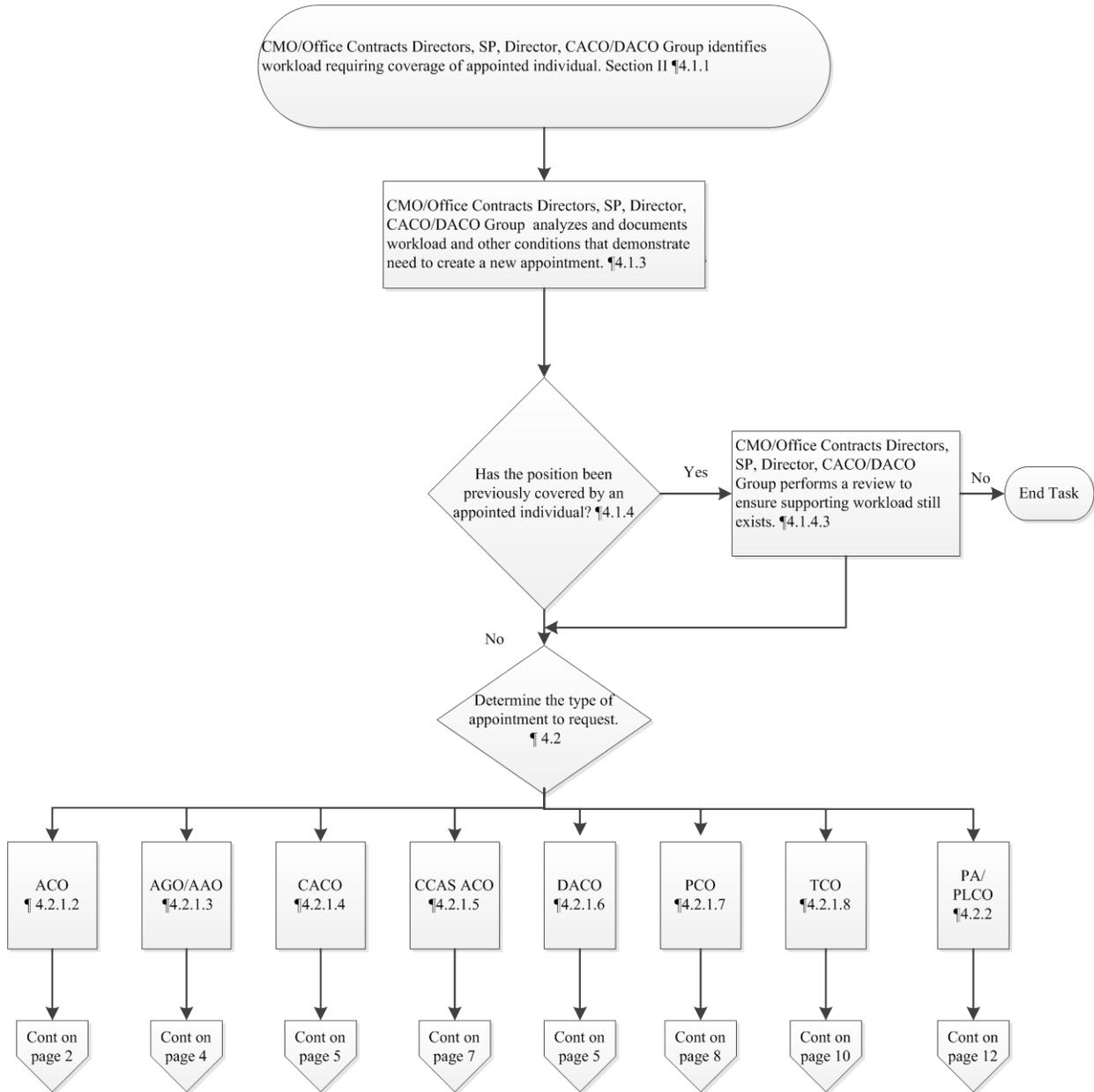
#### **4.10. RECORD RETENTION.**

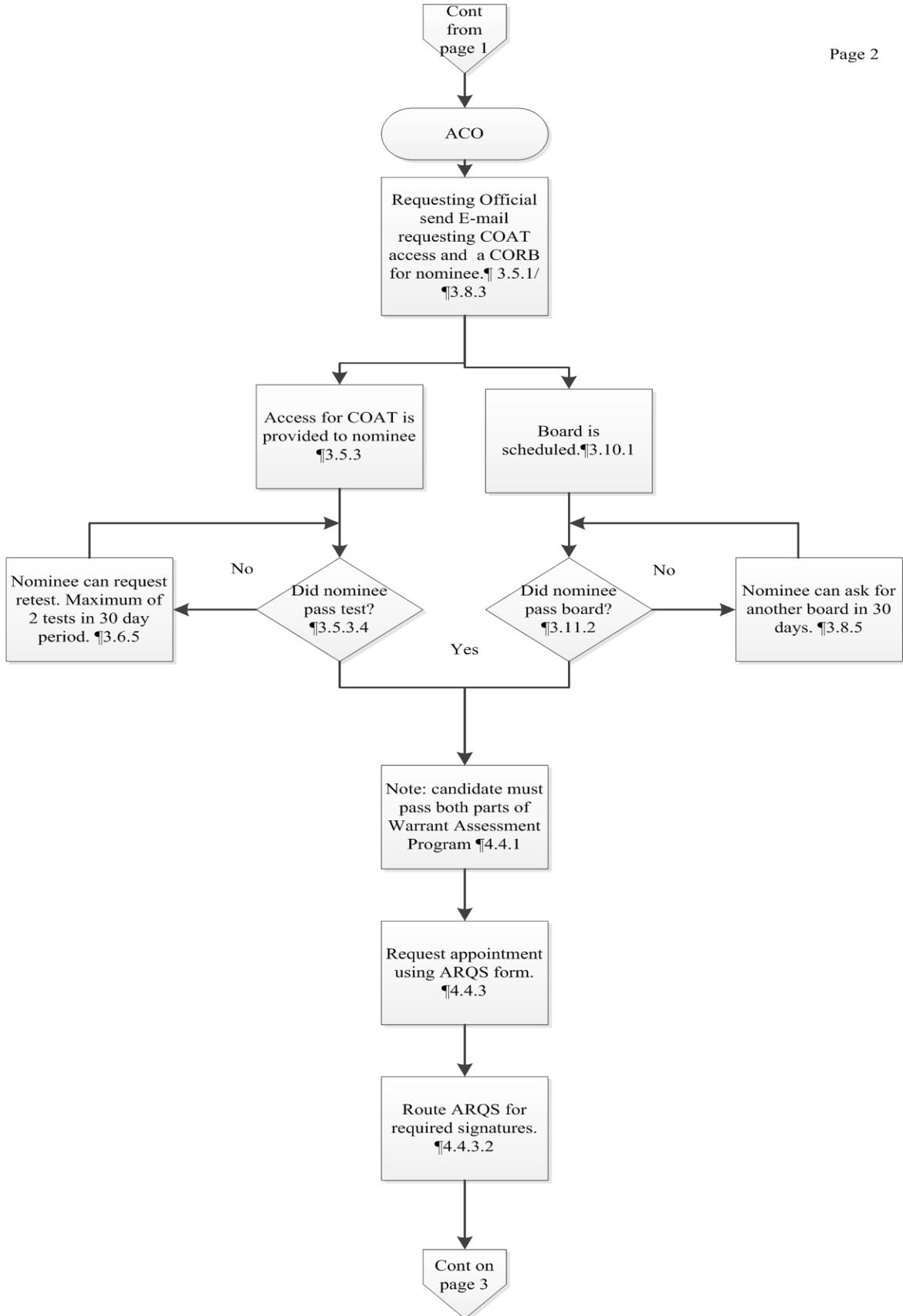
4.10.1. The records of Administrative Officer Appointment Files (Records Series Code 831.25) shall be retained in accordance with DCMA-INST 809, "Records Management," (Reference (ai)) and the associated Records Retention Schedule, Section 400.01a, DCMA High Level Operations and Core Mission Program.

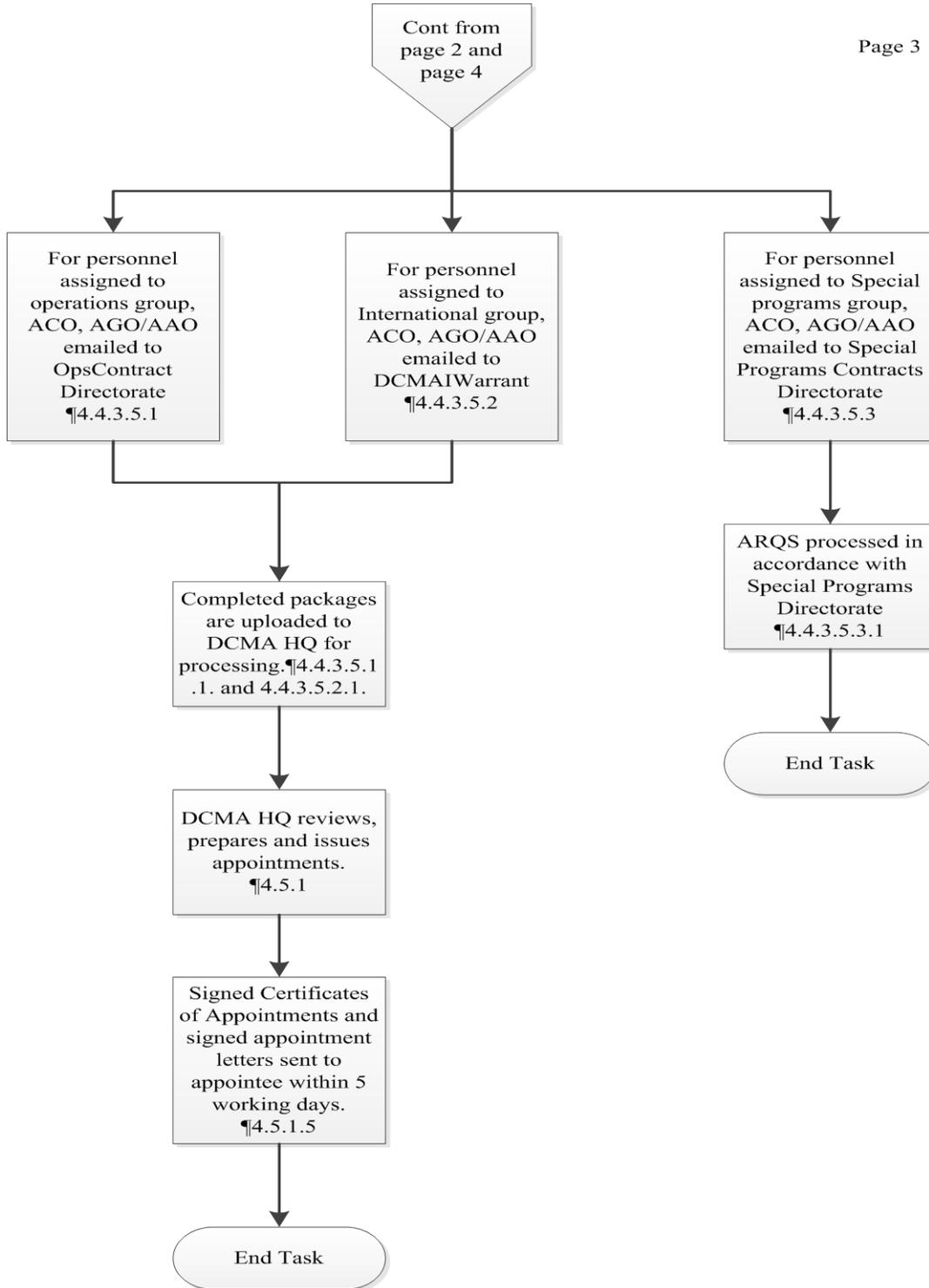
4.10.1.1. Documents pertaining to the warranting of Contracting Officers, including electronic/digital versions of the COAT and CORB assessments, and other related documents, become a part of the appointment file and will be retained by the Assessment Coordinator for a period of 6 years after termination of a Contracting Officer appointment. After such time, the documents should be destroyed (Reference (ai)).

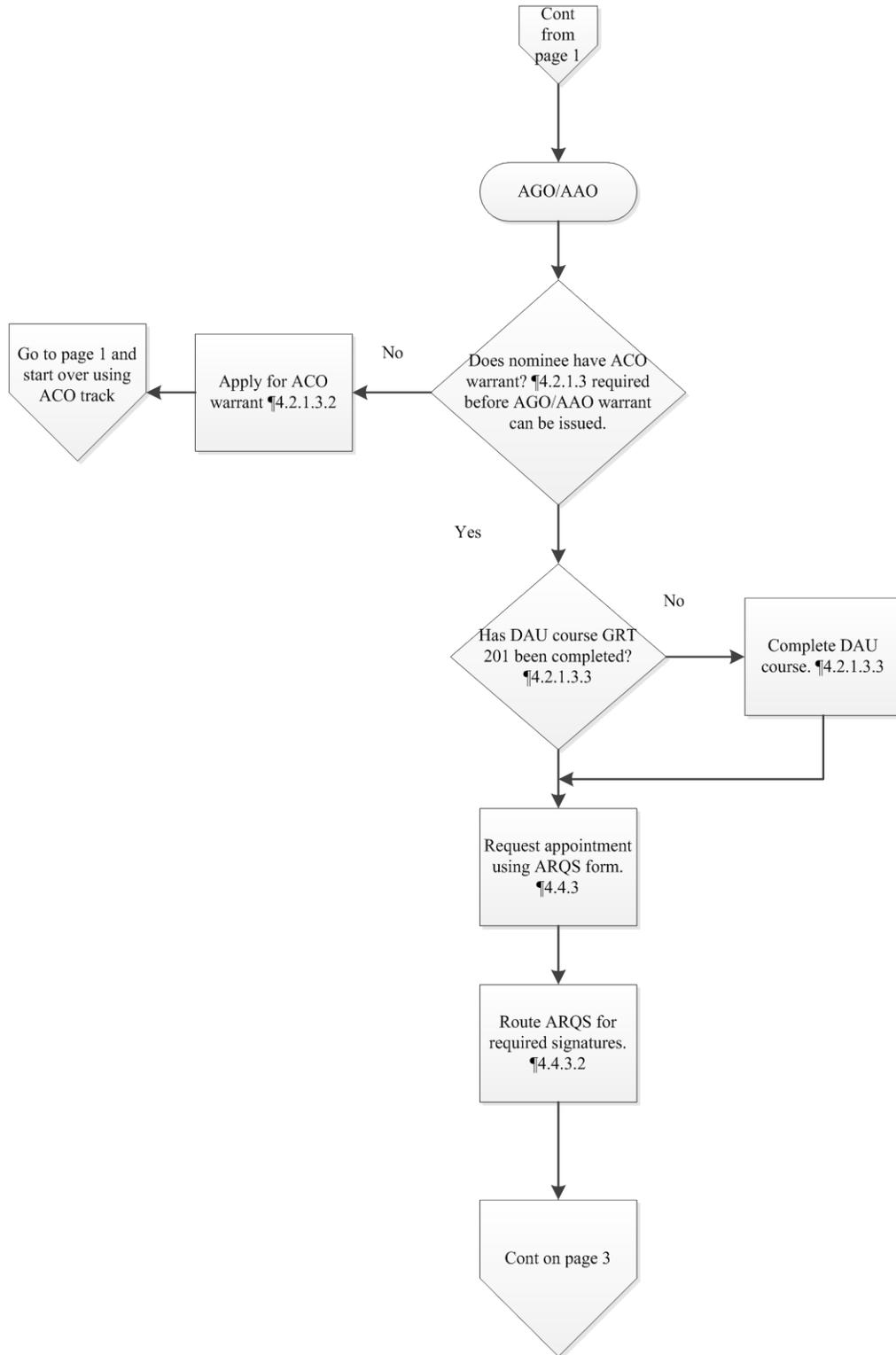
APPENDIX A  
Warrants and Other Official Appointments Flow Chart

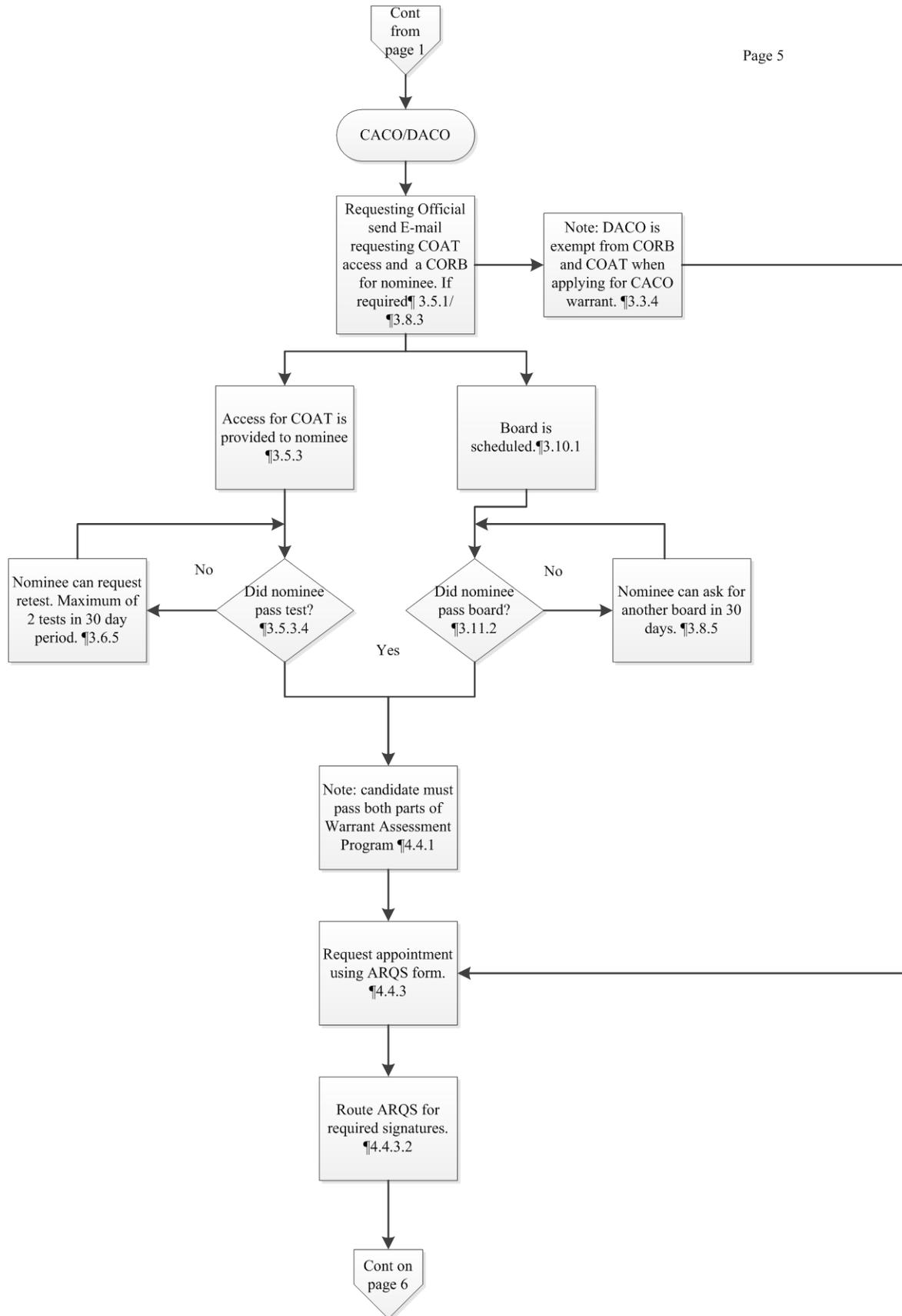
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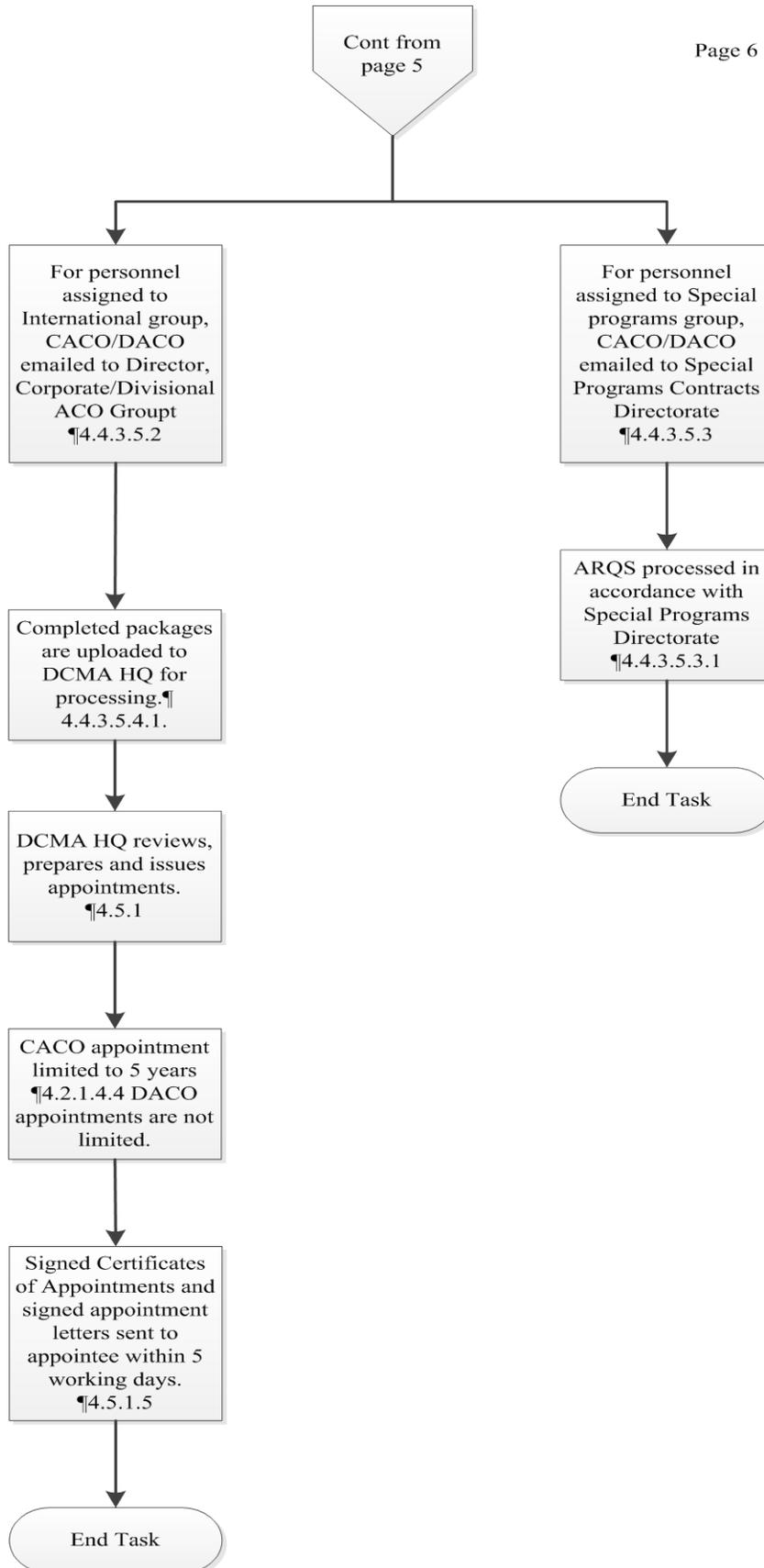


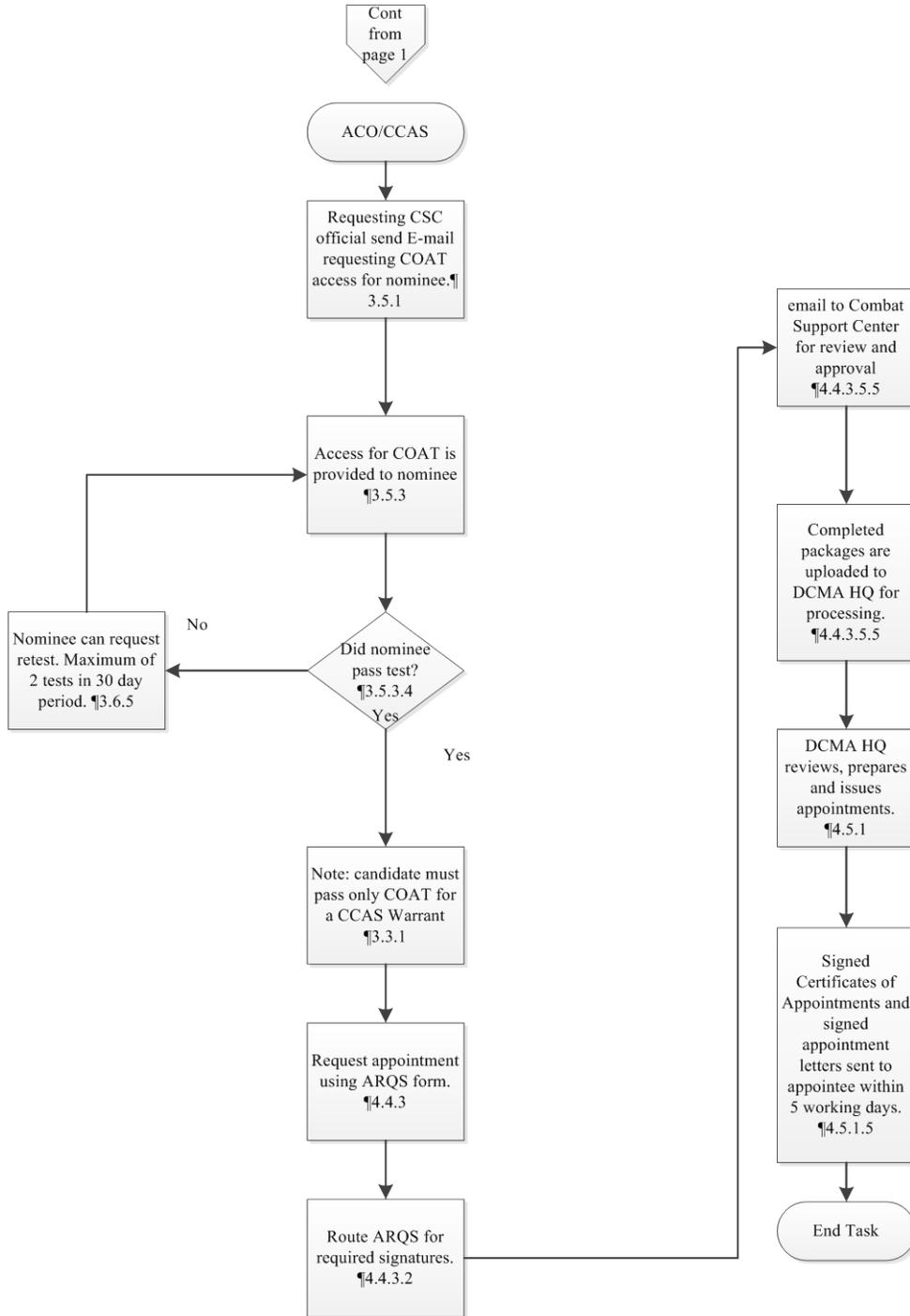


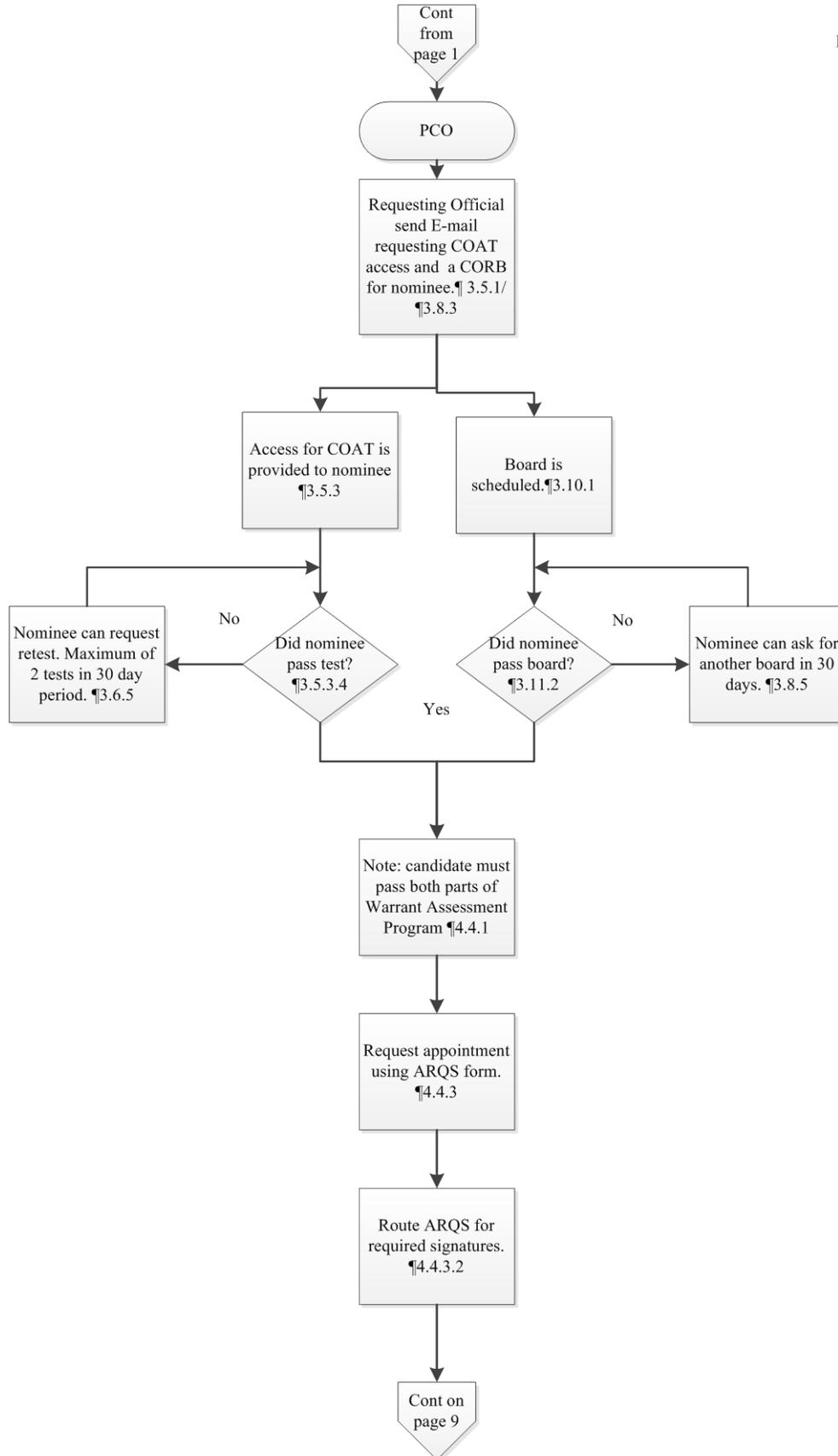


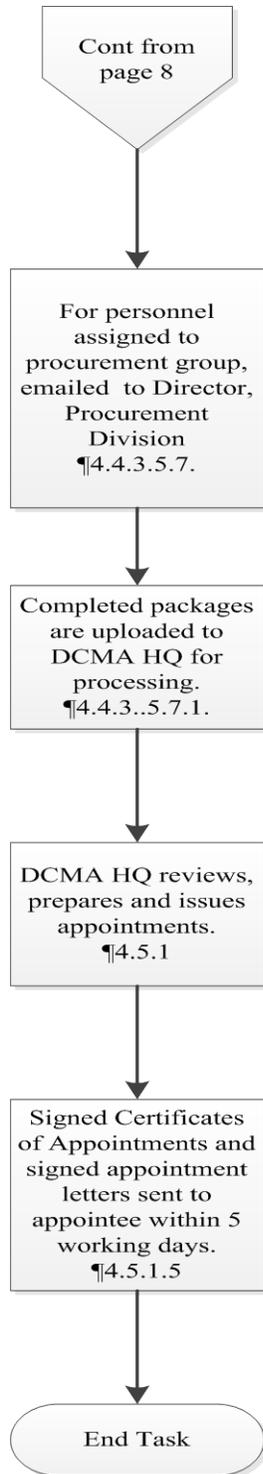
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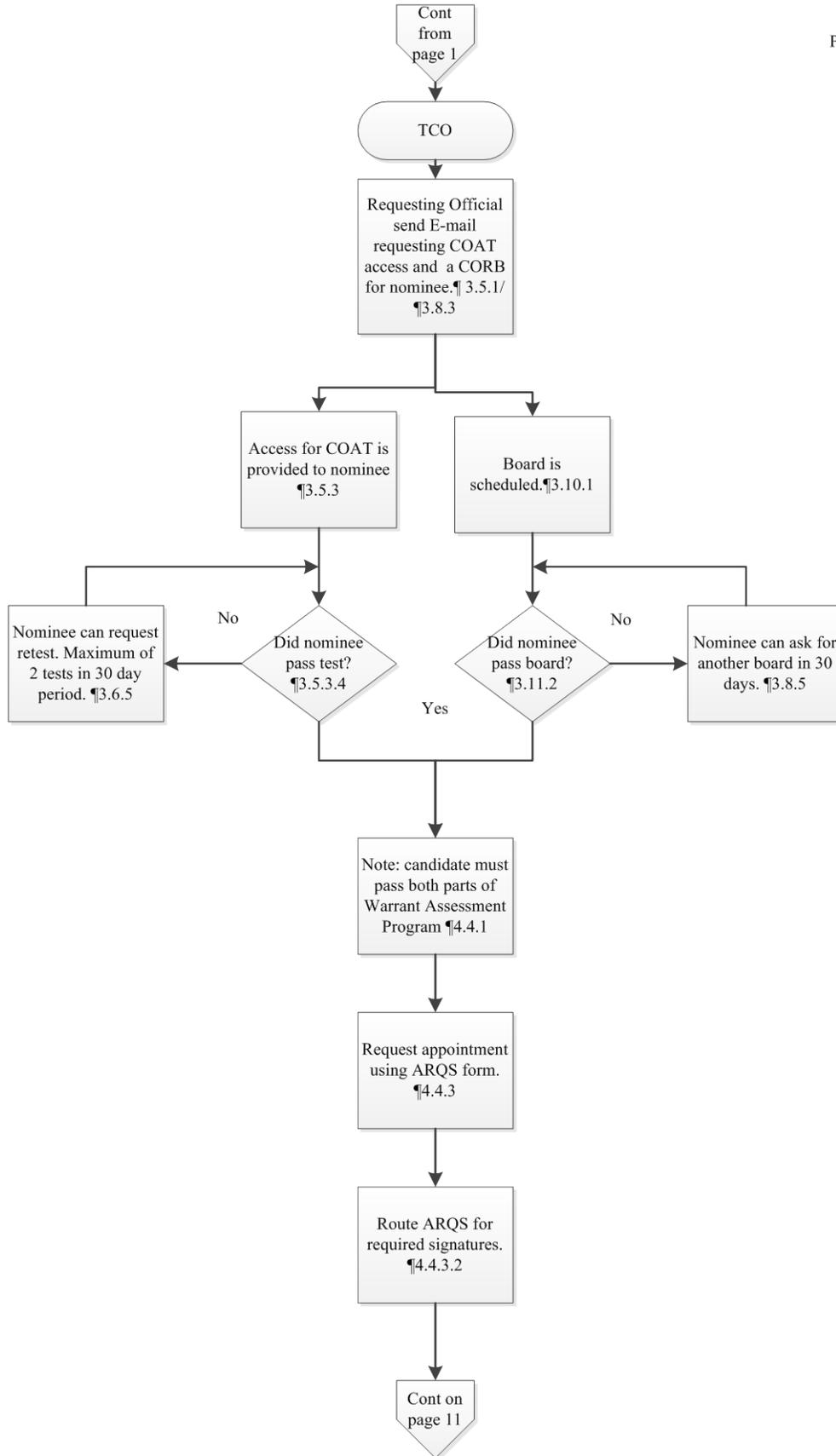
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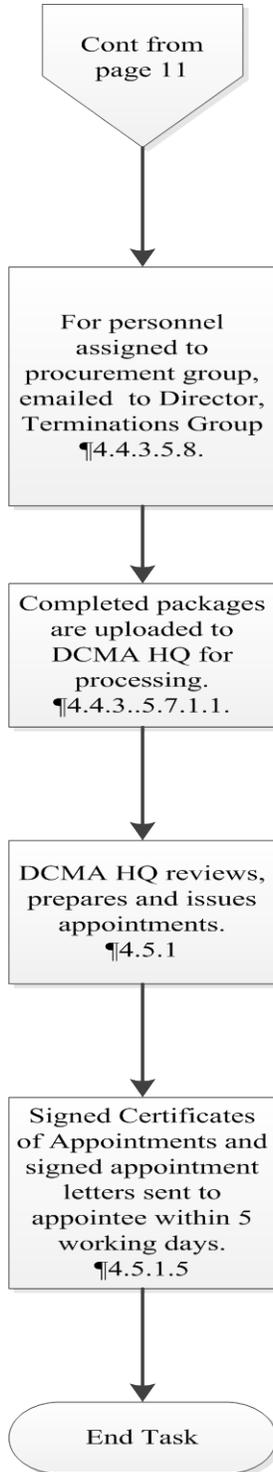














## GLOSSARY

### DEFINITIONS

**Administrative Contracting Officer (ACO).** An ACO performs those contract administration functions delegated by a PCO to the ACO. See FAR 2.101, Definitions, and FAR 42.302(a) for a list of functions a PCO may delegate to an ACO. Typically within DCMA all duties listed in this FAR Part are assigned to the ACO with the exception of FAR 42.302(a)(24), which deals with contract termination.

**Appointing Official.** A person authorized to confer warrant authority (issue and sign a Contracting Officer warrant) consistent with the applicable requirements of the FAR, DFARS, DAWIA, and DCMA policy.

**Appointment Qualifications Matrix.** A matrix designed to summarize the qualification requirements for the various DCMA appointments to include education, certification level, experience, etc. (see Resource Web Page for the Appointment Qualifications Matrix).

**Certification.** A written representation that an employee has the experience, training, education, business acumen, judgment, character, and reputation (see FAR 1.603) to perform assigned duties. Employees are required to keep certificates current by meeting the continuous learning requirement of OFPP Policy Letter No. 05-01.

**Contracting Officer.** A person delegated authority to (1) enter, administer, or terminate contracts in accordance with Federal acquisition laws and regulations; and (2) make related determinations and findings. The Contracting Officer is the appointed executive branch agent responsible for all aspects of a government contract and is the **only** person specifically authorized to enter into, administer or terminate a contract, and make related determinations and findings on behalf of the government. Contracting Officers may bind the Government only to the extent of the authority delegated to them, applicable to the whole contract value (see FAR 2.101).

**Contracting Officer Warrant Assessment Program.** A DCMA-created program that contains procedures to enhance contracting officer selection and appointment by validating a candidate's general and specialized knowledge to determine the effectiveness, readiness and qualification of contracting workforce members prior to submission of a request for a Contracting Officer warrant.

**Contracting Officer Assessment Tool (COAT).** The COAT is the written assessment component of the DCMA Contracting Officer Warrant Assessment Program. It is a computer-based tool that will generate random, warrant-type-specific, multiple-choice and True/False questions for a qualified Contracting Officer Candidate to demonstrate their capability to research the FAR and DFARS.

**Contracting Officer Review Board (CORB).** The CORB is the oral assessment component of the DCMA Contracting Officer Warrant Assessment Program. It is an interview based on

scenario-based, warrant-type-specific questions asked of a qualified Contracting Officer candidate that allows the opportunity to apply knowledge gained through experience as well as demonstrate communication skills.

**Contracting Officer Warrant Authority.** Contracting Officer warrant authority is the authority to bind the Government at or below the dollar threshold specified on the Contracting Officer's warrant, SF 1402.

**Extended Absence.** A minimum of 30 days.

**Federal Acquisition Certification in Contracting (FAC-C).** FAC-C is an acquisition certification program that reflects a government-wide standard for education, training, and experience leading to core competencies. Certifications do not expire. However, employees are required to keep certificates current by meeting the continuous learning requirement of OFPP 05-01. The FAC-C program establishes mandatory core requirement for education, training and experience for GS-1102 contracting professionals within civilian contracting activities. The FAC-C Level III is the acceptable standard throughout the Federal Government and is evidence that senior level employees have met the requirements for GS-1102 Grade 13 and above positions.

**Foreign National.** A foreign national is a person who is not a citizen of the host country in which he or she is residing or temporarily sojourning. For the U.S., a foreign national is any person other than a U.S. citizen, U.S. permanent or temporary legal resident alien or person in U.S. custody.

**Grants and Cooperative Agreements.** Only Administrative Grants Officers are authorized to administer Grants and Cooperative Agreements. Both are legal instruments, but they are not contracts and they are not subject to the FAR; they are subject to the DoD Grants and Agreements Regulatory System (DoDGARS). (DoD 3210.6-R., Department of Defense Grants Regulations, Reference (i)). Grants and Cooperative Agreements are used when the principal purpose of the relationship is to transfer a thing of value to the recipient in order to carry out a public purpose of support or stimulation, as authorized by U.S. law.

**Grants** are used when substantial involvement between the DoD and the recipient is not expected when carrying out the activity contemplated in the agreement.

**Cooperative Agreements** are used when substantial involvement is expected between the DoD and the recipient when carrying out the contemplated activity. Cooperative Agreements are used with entities that furnish procurement technical assistance to businesses.

**Head of Contracting Activity (HCA).** The official delegated broad authority by the Senior Procurement Executive (SPE) to manage the contracting activity. Agency heads delegate their authority to Contracting Officer, who must be appointed in accordance with procedures set forth in FAR. Title 41 (Public Contracts) requires agency heads to develop and maintain a system for appointing and terminating Contracting Officers (41 USC § 414(b)(7)(B), 2007). The requirement for agency heads to develop and maintain this system is reiterated in FAR subpart

1.603-1 and is implemented within the Department of Defense (DoD) by the Defense Federal Acquisition Regulation Supplement (DFARS) by making no additional comments.

**Local National (LN).** A local national is a citizen of the host country who works for a foreign company in which the business is located. Ex: Germans working for a US company located in Germany.

**Office of Federal Procurement Policy (OFPP).** The Office of Federal Procurement Policy (OFPP) in the Office of Management and Budget plays a central role in shaping the policies and practices federal agencies use to acquire the goods and services they need to carry out their responsibilities. OFPP was established by Congress in 1974 to provide overall direction for government-wide procurement policies, regulations and procedures and to promote economy, efficiency, and effectiveness in acquisition processes. OFPP is headed by an Administrator who is appointed by the President and confirmed by the Senate.

OFPP seeks to ensure the federal acquisition system provides the best value to the taxpayer. Current priorities are designed to provide for a better skilled and more agile workforce, consistent and effective use of competition, contract vehicles that reflect the government's buying power, and a data system that gives federal managers the information they need to evaluate results and plan effectively for the future.

**Other Transactions (OTs).** Any instrument that is not a contract, cooperative agreement, or grant is considered an "other transaction (OT)". Public Law 10 U.S.C. 2371 provides the DoD authority to enter into transactions (other than contracts, cooperative agreements and grants) for certain projects. Consequently, OTs are defined by what they are not, rather than what they are.

Only Administrative Agreements Officers (AAOs) are authorized to administer OTs. OTs delegated to DCMA for administration are assigned to CMOs throughout the Agency.

The two types of OTs that are likely to be assigned to DCMA for administration are OTs for research and OTs for prototype. OTs for research are designated by a "3" in the 9<sup>th</sup> position of the instrument number. OTs for prototypes awarded after October 1, 1997 are designated by a "9" in the 9<sup>th</sup> position of the instrument number. OTs are not covered by the FAR or its supplements, and are meant to be flexible instruments. Instruments for prototype projects, awarded pursuant to this authority, generally are not subject to federal laws and regulations limited in applicability to procurement contracts. The terms and conditions of individual agreements can vary greatly from one instance to another in support of individual program objectives.

**Policy.** Policy is a set of principles and associated guidelines to direct and limit DCMA actions in pursuit of objectives, operations, and plans. Policy establishes Agency-wide rules and describes the "what," "who," and "why" of operations by defining roles and responsibilities.

**Procedures.** Procedures are a set of mandatory step-by-step instructions established to implement Agency policy. It describes the process that must be followed to achieve the desired outcome.

**Procurement Authority.** Procurement authority includes one or more of the rights to appoint Contracting Officers on a SF 1402, Certificate of Appointment, sign FAR determination or bind the Government by signing contracts. Procurement authority within DCMA flows from the SPE to the HCA to the Contracting Officer.

**Senior Procurement Executive (SPE).** The Agency official designated by the Secretary pursuant to Executive Order No. 12931 and the OFPP Act, 41, U.S.C.414. Through a delegation to the Assistant Secretary for Administration, the Secretary has designated the Director, Office of Procurement and Policy to serve as SPE.

**Technology Investment Agreements (TIAs).** TIAs are assistance instruments used to support or stimulate research. TIAs may be used to carry out basic, applied and advance research projects when it is appropriate to use assistance instruments, and the research is to be performed by a for-profit firm, or by consortia that include a for-profit firm. The ultimate goal for using TIAs is to foster the best technologies for future defense needs as TIAs are designed to reduce barriers to commercial firms' participation in defense research, to give the DoD access to the broadest possible technology and industrial base; promote new relationships among performers in both the defense and commercial sectors for that technology and industrial base; and stimulate performers to develop, use, and disseminate improved practices.

Only AAOs are authorized to administer TIAs.

TIAs replaced two types of assistance instruments: "consortium agreements", a type of OT used by the Defense Advanced Research Projects Agency (DARPA), and "cooperative agreements under 10 U.S.C. 2371" addressed in Part 37 of the 1994 Draft Interim Guidance of DoD Grants and Agreements Regulations (DoDGAR), and also referred to as "flexible cooperative agreements".

A TIA is a type of cooperative agreement (awarded under the authority of 10 U.S.C. 2358) when its patent rights provision complies with the Bayh-Dole statute (Chapter 18 of Title 35, U.S.C.).

A TIA is a type of OT (awarded under authority of 10 U.S.C. 2371) when its patent rights provision is less restrictive than is possible under Bayh-Dole. An OT for prototype is not covered under the TIA classification. TIAs are also administered by CMOs through DCMA offices. Both the DoDGAR and Supplemental Revision 2, February 3, 1999 to the DoDGAR govern TIAs.

**Temporary Appointments.** Temporary appointments are defined as not less than 30 days and not more than 1-year.

**Transportation Agent (TA).** The Transportation Agent assists TO with DCMA traffic management functions as delegated by the Director of Transportation Appointment.

**Transportation Officer (TO).** The Transportation Officer has overall responsibility for all DCMA traffic management functions (reference DCMA Transportation and Traffic Management

Instruction) for DCMA administered contracts. The TO will provide efficient, responsive, and quality transportation services within assigned DCMA Transportation cognizant area; ensuring compliance with applicable governing laws, directives, systems, and/or programs, and regulations for DCMA administered contracts including movement of military freight via all modes of transportation, issues of bills of lading, obtaining transportation services from commercial carriers, and financial payment approval process IAW U.S. Bank Syncada/Third Party Payment System.

**Warrant.** A warrant is a Contracting Officer's Certificate of Appointment, an SF 1402, that authorizes a DCMA employee to serve in the capacity of a Contracting Officer. Contracting Officer warrants expressly state dollar thresholds up to which the warranted Contracting Officer may sign on behalf of the Government. It assures the public that the Contracting Officer has authority to enter into, administer, and/or terminate contracts.

## ACRONYMS

ACO	Administrative Contracting Officer
AGO/AAO	Administrative Grants Officer/Administrative Agreements Officer
ARQS	Appointment Request Qualification Statement
CACO	Corporate Administrative Contracting Officer
CAS	Cost Accounting Standards
CCAS	Contingency Contract Administration Services
CFR	Code of Federal Regulations
CMO	Contract Management Office
COAT	Contracting Officer Assessment Tool
CONUS	Continental United States
CORB	Contracting Officer Review Board
CSC	Combat Support Center
DACO	Divisional Administrative Contracting Officer
DAU	Defense Acquisition University
DAWIA	Defense Acquisition Workforce Improvement Act
DCMA	Defense Contract Management Agency
DCMA-INST	DCMA Instruction
DCMAI	DCMA International Directorate
DFARS	Defense Federal Acquisition Regulation Supplement
DoD	Department of Defense
DoDGARS	DoD Grants and Agreements Regulatory System
FAC-C	Federal Acquisition Certification program for Contracting
FAR	Federal Acquisition Regulation
FN	Foreign National
GS	General Schedule
HCA	Head of Contracting Activity
HQ	Headquarters
IR&D/B&P	Independent Research and Development/Bid and Proposal
LN	Local National
LOGCAP	Logistics Civil Augmentation Program
MICP	Manager's Internal Control Program
OCONUS	Outside of Continental United States
OT	Other Transaction
PA	Property Administrator

PCO	Procuring Contracting Officer
PGI	Procedures, Guidance and Information
PLAS	Performance Labor Accounting System
PLCO	Plant Clearance Officer
SF	Standard Form
TA	Transportation Agent
TCO	Termination Contracting Officer
TIA	Technology Investment Agreements
TO	Transportation Officer