



DEFENSE CONTRACT MANAGEMENT AGENCY

3901 A AVENUE, BUILDING 10500
FORT LEE, VA 23801-1809

JAN 14 2019

MEMORANDUM FOR COMPONENT HEADS

SUBJECT: DCMA Policy-type Memorandum (PTM) 19-001, "DCMA INST 121, Contracting Officer's Representatives"

References: DCMA-INST 121, "Contracting Officer's Representatives", July 23, 2014
DoD Directive 5105.64, "Defense Contract Management Agency (DCMA)," January 10, 2013
Director, Defense Procurement and Acquisition Policy (OUSD(AT&L)), "Department of Defense COR Handbook", March 22, 2012
Federal Acquisition Regulation (FAR) 1.602-2, "Responsibilities" Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) memorandum, "DoD Standard for Certification of CORs for Service Acquisitions," March 29, 2010
DoDI, "DoD Standard for Contracting Officer's Representative (COR) Certification:, Number 5000.72, March 26, 2015
Defense Federal Acquisition Regulations Supplement, Procedures, Guidance and Instructions, 201.602-2(d)(v), "Responsibilities", October 30, 2015

Purpose. This DCMA Policy-type Memorandum (DCMA-PTM) amends DCMA Instruction 121, "Contracting Officer's Representatives (COR)" to:

- Establish additional policy requirements and new management internal controls.
- Highlight the technical qualifications, training and experience for Contracting Officer Representatives (COR).

Applicability. This DCMA-PTM applies to all DCMA personnel involved in the oversight of contracts awarded by the DCMA Procurement Center.

Policy. It is DCMA policy that:

- Only fully qualified personnel meeting the training and experience standards in Tables 2, 3 and 4 of the DCMA-PTM will be appointed as a COR.
- A COR must be appointed on all service contracts exceeding the simplified acquisition threshold (SAT). A COR may be appointed on contracts for supplies and services below the SAT when the contracting officer determines that it is in the government's best interest.
- Contracts not exceeding the SAT may be exempt from the requirement to appoint a COR if the contracting officer determines that the following three

conditions are met:

- The contract will be awarded using simplified acquisition procedures.
- The requirement is not complex.
- The contracting officer documents the contract file in writing as to why the appointment of a COR is unnecessary.
- The duty station of the COR or alternate COR (ACOR) must be located at or near the services being performed.
- The Contracting Officer's Representative Tracking (CORT) Tool will be utilized to record the nomination, appointment, and management of all CORs.
- The COR nomination will be accomplished concurrently with the submission of the purchase request package to the Procurement Center.
- A COR must be formally appointed no later than contract award. No service contract will be awarded without the appointment of a qualified COR.

Responsibilities.

- Head of the Contracting Activity (HCA). The DCMA HCA will sign the COR appointment letter.
- Contracting Officer (CO). The CO will:
 - Identify, by the complexity of the work (Type A, B or C; see Training and Experience), the responsibilities to be performed by the COR and the qualification requirements.
 - Ensure the COR is familiar with and understands their role and responsibilities and has completed all required COR training prior to appointment.
 - Ensure all training certificates, the Quality Assurance Surveillance Plan (QASP) and other documents required by the CO are uploaded into the CORT Tool prior to the appointment of the COR.
 - Provide HCA signed appointment letter to the COR and obtain COR acknowledgement (via signature); then provide HCA/COR signed COR appointment letter to the contractor and obtain contractor acknowledgement (via signature).

- Provide contract-specific training (e.g., post-award orientation) to all CORs regardless of experience or formal training completed.
- Provide input on the COR's performance to the COR's supervisor in their annual performance assessment.
- Requiring Activity (RA)/COR Supervisor. The RA will:
 - Identify a prospective COR.
 - Review the COR nominee's qualification package; verify the COR nominee has the necessary technical qualifications, training, and experience; and nominate the prospective COR through the CORT Tool.
 - Ensure all training certificates and other documents required by the CO are uploaded into the CORT Tool prior to the nomination of the COR.
 - Ensure the COR nominee has no personal conflicts of interest in performing their responsibilities.
 - Provide input on the performance of the COR as a part of the COR's annual performance assessment.
- COR. The COR will:
 - Be familiar with the DoD COR Handbook.
 - Complete all mandatory training (Type A, B or C), or equivalents, agency required training and certifications before COR nomination.
 - Review and understand terms and conditions of the contract and perform COR responsibilities as designated by the CO.
 - Not appoint, designate, re-designate or sub-designate COR responsibilities to other persons.
 - Establish and maintain individual COR contract files for each assigned contract, and make available all COR files for review by the CO.
 - Notify the COR supervisor and the CO in sufficient time to permit timely appointment and transition to a successor COR in the event a COR needs relief from COR duties (transfers, retires, or otherwise vacates the position).

- Submit monthly (contractor) performance reports to the CO.
- Make all reports, records and communications available to the supervisor, the successor COR, and the CO when the COR appointment is terminated.

Management Internal Controls. The internal controls applicable to the management oversight of the acquisition team are shown in Table 1.

Table 1. Management Internal Controls

TASK	RISK (if not performed)	INTERNAL CONTROL
<u>COR NOMINATION</u> RA nominates COR	<ul style="list-style-type: none"> • Execution of requirement is delayed • Non-compliance with policy and DoD COR Handbook 	<ul style="list-style-type: none"> • Purchase Request package returned to RA if COR nomination is not completed in CORT (CO verifies through CORT Tool) • No Acquisition Review Board (ARB) will be scheduled if the COR nomination is not completed in the CORT Tool
<u>COR APPOINTMENT</u> COR Appointment by HCA	<ul style="list-style-type: none"> • Contract award may be made without a COR Appointment • Government monitoring and or surveillance will not occur • Government will not receive the correct/proper services/supplies • Non-compliance with policy and DoD COR Handbook 	<ul style="list-style-type: none"> • Contract award will not be approved by the ARB without a signed COR appointment letter • The performance of the contracting officer will be reflected in their annual performance assessment, if contract award is made with no COR appointment
<u>MONITOR COR PERFORMANCE</u> CO and RA will review and assess performance of COR	<ul style="list-style-type: none"> • Non-compliance with DoD/federal regulations, policy and DoD COR Handbook 	<ul style="list-style-type: none"> • Periodic sampling of CORT Tool conducted by the CO/RA/Contract Specialist (CS) • Annual review of COR files conducted by the CO/RA/CS • The performance of the COR will be reflected in their annual performance assessment
<u>MONITOR CONTRACTOR PERFORMANCE</u> COR monitors contractor performance	<ul style="list-style-type: none"> • Performance of contractor may not comply with terms/conditions of contract 	<ul style="list-style-type: none"> • The COR submits monthly performance reports to the CO by the 5th day of the following month for review (e.g., September data will be reported NLT 5 October) • Contractor to establish an In-Process Review on a reoccurring monthly basis (e.g., 1st Monday of every month) • The performance of the COR will be reflected in their annual performance assessment • The performance of the contractor will be reflected in the Contractor Performance Assessment Reporting System (CPARS)
<u>ACCEPTANCE OF SERVICES</u> COR performs reviews/inspections of contractor services/supplies prior to acceptance	<ul style="list-style-type: none"> • Government may not receive the correct/proper services/supplies • Expenditure of funds lost on services not received or partially received • Non-compliance with policy and DoD COR Handbook 	<ul style="list-style-type: none"> • The COR submits a monthly performance report to the CO by the 5th day of the following month for review (e.g., September data will be reported NLT 5 October) • The performance of the COR will be reflected in their annual performance assessment

<p><u>SAMPLING OF INVOICES</u> DCMA-AQP conducts quarterly sampling of invoices</p>	<ul style="list-style-type: none"> • Invoices may not be processed for payment; Interest may be incurred by government • Expenditure of funds lost on services not received or partially received • Invoice may include work that has not been performed or delivered • Contractor may stop performance/ deliveries due to non-payment of Invoices 	<ul style="list-style-type: none"> • DCMA-AQP conducts quarterly sampling of invoices (every March, June, September, December) and provides results to the DCMA-AQP Director • The performance of DCMA-AQP CO/CS will be reflected in their annual performance assessment
<p><u>COR TERMINATION BY CO</u> RA to notify CO when COR appointment requires termination (i.e., COR transfers, unsatisfactory performance, retires, etc.); CO reviews new COR nomination and makes timely appointment</p>	<ul style="list-style-type: none"> • No surveillance/monitoring of contractor by the government • Non-compliance with policy and DoD Handbook 	<ul style="list-style-type: none"> • RA to validate all service contracts and COR appointments on a semi-annual basis (April and October of each year) and provide to CO for review • The performance of the CO, COR and RA supervisor will be reflected in their annual performance assessment

Training and Experience.

- Any individual appointed by the CO under the authority of FAR 1.602 is, by definition, a COR and must comply with the DoD COR training standards.
- The Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) memorandum dated March 29, 2010, established the “DoD Standard for Certification of CORs for Service Acquisitions” (DoD COR Standard).
- DCMA personnel nominated and appointed as a COR to administer and monitor contracts awarded by an external agency (e.g., Defense Information Systems Agency) must complete all DoD mandatory training as well as any additional training required by the external contracting agency/office. The training requirements within this DCMA-PTM do not apply to contracts awarded by an external agency.
- The CO determines the standard and defines the minimum COR competencies, experience, and training requirements based on the nature and complexity of the contract requirement and performance risk. The DoD COR standard identifies three types of training and experience requirements.
 - Type A. Fixed-price requirements without incentives, low performance risk (see Table 2).
 - Type B. Other than fixed-price requirements without incentives, low performance risk. At a minimum, CORs on any contract that is not firm fixed price must meet Type B training, experience, and competency requirements (see Table 3).
 - Type C. Unique contract requirements that necessitate a professional license, higher education, or specialized training beyond the

Type B requirements (see Table 4).

Table 2. Type A

Type A: Fixed-price, without incentives, low-risk performance risk requirements. The training and agency experience requirements are shown below.

TYPE A Training	TYPE A Refresher Training	TYPE A Agency Experience
<ul style="list-style-type: none"> • DAU CLC 106, “Contracting Officer’s Representative with a Mission Focus”. https://www.dau.mil • DAU CLC 206, “COR in a Contingency Environment,” when applicable. https://www.dau.mil • Minimum 1 hour Acquisition Ethics Training (Agency provided training OR DAU CLM 003, “Overview of Acquisition Ethics”, (annually)). https://www.dau.mil • Combatting Trafficking in Persons (CTIP) training. http://ctip.defense.gov • Wide Area Workflow (WAWF) training. https://wawf.eb.mil/ • Contract-specific training from the CO. <p><u>ADDITIONAL TRAINING</u>, when applicable</p> <ul style="list-style-type: none"> • Contractor Performance Assessment Reporting System (CPARS) Overview (required for CORs on contracts exceeding \$1 million). www.cpars.gov/webtrain_auto.htm • Quality and Narrative Writing (required for CORs on contracts exceeding \$1 million). www.cpars.gov/webtrain_auto.htm • Any additional training mandated by the agency. 	<ul style="list-style-type: none"> • Minimum of 8 hours COR specific training every 3 years OR prior to assuming COR responsibilities, if the individual has not served as a COR within the previous 24 months. • Minimum of 1 hour of Ethics training (annually) (Agency provided training or DAU CLM 003). • CTIP (annual). 	<ul style="list-style-type: none"> • Minimum of 6 months unless waived. The waiver must be included in the nomination package. • <u>Relevant technical experience</u>: As determined by the nominating supervisor for the CO’s consideration. • <u>General competencies</u>: As determined by the nominating supervisor for the CO’s consideration.

Table 3. Type B

Type B: Other than fixed-price, without incentives, low performance risk requirements. The training and agency experience requirements are shown below.

TYPE B Training	TYPE B Refresher Training	TYPE B Agency Experience
<ul style="list-style-type: none"> • DAU COR 222, “Contracting Officer’s Representative” (classroom) or DAU CLC 222 “Contracting Officer’s Representative” (online). https://www.dau.mil • DAU CLC 206, “COR in a Contingency Environment,” when applicable. https://www.dau.mil • Minimum 1 hour Acquisition Ethics Training (Agency provided training OR DAU CLM 003, “Overview of Acquisition Ethics”, (annually)). https://www.dau.mil • Combatting Trafficking in Persons (CTIP) training. http://ctip.defense.gov • Wide Area Workflow (WAWF) training. https://wawf.eb.mil/ • Contract-specific training from the CO. <p><u>ADDITIONAL TRAINING</u>, when applicable</p> <ul style="list-style-type: none"> • Contractor Performance Assessment Reporting System (CPARS) Overview (required for CORs on contracts exceeding \$1 million). www.cpars.gov/webtrain_auto.htm • Quality and Narrative Writing (required for CORs on contracts exceeding \$1 million). www.cpars.gov/webtrain_auto.htm • Any additional training mandated by the agency. 	<ul style="list-style-type: none"> • Minimum of 16 hours COR specific training every 3 years OR prior to assuming COR responsibilities, if the individual has not served as a COR within the previous 24 months. • Minimum of 1 hour of Ethics training (annually) (Agency provided training or DAU CLM 003). • CTIP (annual). 	<ul style="list-style-type: none"> • Minimum of 12 months unless waived. The waiver must be addressed in the nomination package. • <u>Relevant technical experience:</u> As determined by the nominating supervisor for the CO’s consideration. • <u>General competencies:</u> As determined by the nominating supervisor for the CO’s consideration.

Table 4. Type C

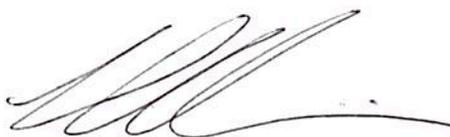
Type C: Unique requirements that necessitate a professional license, higher education, or specialized training. The training and agency experience requirements are shown below.

TYPE C Training	TYPE C Refresher Training	TYPE C Agency Experience
<ul style="list-style-type: none"> • DAU COR 222, “Contracting Officer’s Representative” (classroom) or DAU CLC 222 “Contracting Officer’s Representative” (online). https://www.dau.mil • DAU CLC 206, “COR in a Contingency Environment,” when applicable. https://www.dau.mil • Minimum 1 hour Acquisition Ethics Training (Agency provided training OR DAU CLM 003, “Overview of Acquisition Ethics”, (annually)). https://www.dau.mil • Combatting Trafficking in Persons (CTIP) training. http://ctip.defense.gov • Wide Area Workflow (WAWF) training. https://wawf.eb.mil/ • Contract-specific training from the CO. <p><u>ADDITIONAL TRAINING</u>, when applicable</p> <ul style="list-style-type: none"> • Contractor Performance Assessment Reporting System (CPARS) Overview (required for CORs on contracts exceeding \$1 million). www.cpars.gov/webtrain_auto.htm • Quality and Narrative Writing (required for CORs on contracts exceeding \$1 million). www.cpars.gov/webtrain_auto.htm • Any additional training mandated by the agency. 	<ul style="list-style-type: none"> • Minimum of 16 hours COR specific training every 3 years OR prior to assuming COR responsibilities, if the individual has not served as a COR within the previous 24 months. • Minimum of 1 hour of Ethics training (annually) (Agency provided training or DAU CLM 003). • CTIP (annual). • Any training necessary for license/certification/etc. 	<ul style="list-style-type: none"> • Minimum of 12 months unless waived. The waiver must be addressed in the nomination package. • <u>Relevant technical experience:</u> As determined by the nominating supervisor for the CO’s consideration. • <u>General competencies:</u> As determined by the nominating supervisor for the CO’s consideration.

Resource Page. <https://360.dcma.mil/sites/policy/AQ/SitePages/121r.aspx>

Releasability. Cleared for public release.

Effective. This DCMA-PTM is effective immediately and will be converted to a new DCMA manual. This DCMA-PTM will expire effective 12 months from the date of issuance.



David H. Lewis
VADM, USN
Director