



**PART IB**  
**CONTRACT MODIFICATION SUPPORT DOCUMENTATION**  
**CHECKLIST FOR CONTRACT & EACH MODIFICATION**

CONTRACT NO.: \_\_\_\_\_

MODIFICATION NO.: \_\_\_\_\_

PURPOSE OF CONTRACT / MODIFICATION:  
\_\_\_\_\_  
\_\_\_\_\_

PERIOD OF PERFORMANCE: FROM: \_\_\_\_\_ TO: \_\_\_\_\_  
BILATERAL: \_\_\_\_\_ UNILATERAL: \_\_\_\_\_

AMOUNT OBLIGATED (+/-): \$ \_\_\_\_\_

ACCOUNTING CODE(s): \_\_\_\_\_

- Date
1. \_\_\_\_\_ Initiating Correspondence and AD-700
  2. \_\_\_\_\_ Clearance Requests and any Required Approvals (i.e., CAAS, ADP, etc.)
  3. \_\_\_\_\_ Engineering Change Proposals (FAR 48.103)
  4. \_\_\_\_\_ Novation or Change of Name Agreements (FAR 42.12)
  5. \_\_\_\_\_ DOL Wage Determination Renewal (FAR 22.1008-7)
  6. \_\_\_\_\_ Justification: Option Determination (FAR 17.207) / Mod. Justification -  
Negotiation Memorandum for Supplemental Agreement (FAR 15.406-3) /  
Proposal Cost/Price Analysis (FAR 15.404 & 43.204(b)(4))
  7. \_\_\_\_\_ Technical Evaluation Review/Recommendation
  8. \_\_\_\_\_ SF-279
  9. \_\_\_\_\_ Miscellaneous Modification Correspondence

**PART II**  
**POST AWARD CORRESPONDENCE**  
(In order from latest to earliest)

**PART III  
PRE-AWARD DOCUMENTATION CHECKLIST**

- | <u>Date</u> |   |
|-------------|---|
| 1.          | _____ “No Bids / Offers”  |
| 2.          | _____ Abstract of Bids / Summary of Offers  |
| 3.          | _____ Determination , Rejection of All bids (FAR 14.404-3) / Offers<br>(FAR 15.608(b))  |
| 4.          | _____ Mistake in Bids Determination (FAR 14.407)  |
| 5.          | _____ Late Notice (FAR 14.304(8))   |
| 6.          | _____ Technical Evaluation Summary and Individual Evaluator’s Worksheets<br>(FAR 15.305)  |
| 7.          | _____ Cost / Price Analysis (FAR 15.404-1) / Fair Market Price Determination<br>(FAR 19.202-6)  |
| 8.          | _____ Construction. Have all firms provided bid bond?   |
| 9.          | _____ Competitive Range Determination (FAR 15.306)  |
| 10.         | _____ Audit of Contractor’s Costs (FAR 15.404-2(b)(ii) & AGAR 442.1)  |
| 11.         | _____ Prenegotiation Objectives (FAR 15.406-1 & 15.406-3)   |
| 12.         | _____ Negotiation Memorandum / Award Summary (FAR 15.403-3)   |
| 13.         | _____ Advance Payment Determination (FAR 32.402)  |
| 14.         | _____ Progress Payments Request (FAR 32.503-1)  |
| 15.         | _____ Economic Price Adjustment (FAR 16.203)  |
| 16.         | _____ EEO Compliance Review/Notice (FAR 22.805) $\geq$ \$10 Million/ <span style="float: right;"><math>\geq</math></span><br>\$10,000 Construction (FAR 22.804-2) |
| 17.         | _____ Certificate of Insurance (FAR 52.228-5 & 28.310)  |
| 18.         | _____ Certificate of Current Cost and Pricing (FAR 15.406-2 & 15.401)   |
| 19.         | _____ Set-Aside, Intent to Award Notice (FAR 15.503(2))   |
| 20.         | _____ Notice to Unsuccessful Offerors (FAR 15.503(b))   |
| 21.         | _____ Awards $\geq$ \$1 Million Notification (P&P 5-01)   |
| 22.         | _____ Unsuccessful Bid / Offers and Related Correspondence ( <b>See Separate<br/>Folder, Volume _____</b> )   |
| 23.         | _____ Successful Offer, Including Section “K” ( <b>See Separate Folder, Volume _____</b><br>_____) (Includes Bid & Performance Bonds (Construction only))         |
| 24.         | _____ Certificate of Competency (FAR 19.602)  |
| 25.         | _____ Contract Award SF-279 (Add to bottom whether PBSC or not)   |
| 26.         | _____ CO / Review Board Approval  |

**PART IV**  
**SOLICITATION AND PRESOLICITATION CHECKLIST**

Date

1. \_\_\_\_\_ Procurement Request (AD-700) w/Independent Government Cost Estimate and Background Information
2. \_\_\_\_\_ Specification/Drawings, Technical Documents/Attachments, Statement of Work and Delivery Schedule
3. \_\_\_\_\_ Market Research (FAR 10.001(a)(2) & 19.202) / Commercial Items Determination (FAR 12.2)
4. \_\_\_\_\_ PBSC Checklist (OFPP Memo August 8, 1997)
5. \_\_\_\_\_ OSDBU Clearance (FAR 19.402)
6. \_\_\_\_\_ 8(a) Contract: SBA Offering Letter (FAR 19.804) / Notification to SBA of 8(a) Contract Award (GCA Alert: SBA-8(a), Middleman Eliminated) / SBA Acceptance of Offer (FAR 19.804) (See MOU w/SBA requirements under AGAR Advisory 21)
7. \_\_\_\_\_ CBD Synopsis (FAR 5.201 & 5.301) (See Waiver AGAR Advisory 23)
8. \_\_\_\_\_ Miscellaneous Clearances that may be required (i.e., IT, ...)
9. \_\_\_\_\_ Milestones / Acquisition Plan (FAR 7.105)
10. \_\_\_\_\_ Justification for Other Than Full and Open Competition (JOFOC) (FAR 6.303)
11. \_\_\_\_\_ Wage Determination (FAR 22.1007) \_\_\_\_\_ SCA \_\_\_\_\_ Davis Bacon
12. \_\_\_\_\_ Service Contract - Equivalent Rate Determination (FAR 22.1016)
13. \_\_\_\_\_ Service Contract - Quality Assurance Plan (FAR 37.602-2)
14. \_\_\_\_\_ Justification for Other Than Fixed Price (FAR 16.103) & Exception (FAR 16.103(d))
15. \_\_\_\_\_ IDIQ/Requirement - Justification for Not making Multiple Awards (FAR 16.504(c))
16. \_\_\_\_\_ Justification for Options (FAR 17.205)
17. \_\_\_\_\_ Buy American Act Exception (FAR 25.103)
18. \_\_\_\_\_ Descriptive Literature Justification (FAR 14.202-5)
19. \_\_\_\_\_ Bid Sample Justification (FAR 14.202-4)
20. \_\_\_\_\_ Solicitation Mailing List (FAR 14.205)
21. \_\_\_\_\_ Solicitation, Amendments and Amendment Documentation
22. \_\_\_\_\_ CO Approval and/or Contract Review Board Approval (P&P >\$1 Million)
23. \_\_\_\_\_ Pre-Bid/Proposal Conference / Site Visit Minutes (FAR 14.207 & 15.201)
24. \_\_\_\_\_ OGC Review
25. \_\_\_\_\_ Advisory and Assistance Approval (FAR 37.205)
26. \_\_\_\_\_ Miscellaneous Pre-Award Correspondence

**PART V**  
**CONTRACT ADMINISTRATION CHECKLIST**

Date

1. \_\_\_\_\_ Debriefings (FAR 15.505 & 15.506)
2. \_\_\_\_\_ CBD Synopsis of Award (FAR 5.301) - See Part IV, tab 4)
3. \_\_\_\_\_ Subcontracting Plan (FAR 19.705-6 & 19.702(a)(1)) Large Business Awards & Reports > \$500,000, > \$1,000,000 Construction) (FAR 19.704)
4. \_\_\_\_\_ COR Designation
5. \_\_\_\_\_ Freedom of Information Act Requests (FAR 24.203)
6. \_\_\_\_\_ Protests (FAR 33.1, 15.507 & AGAR 433.1)
7. \_\_\_\_\_ Post-Award Mistake in Bid (FAR 14.407, AGAR 414.407-4)
8. \_\_\_\_\_ Performance Evaluation Report (FAR 36.201 & 36.604, AGAR 436.201)  
(Construction /A&E) / NIH Interim Evaluation Reports (if any)
9. \_\_\_\_\_ Overtime Approval for T&M (FAR 52.232-7(a) (3) & 32.111 (b))
10. \_\_\_\_\_ Suspension of Work / Stop Work Order (FAR 42.13)
11. \_\_\_\_\_ Claims, Disputes and Appeals (FAR 33.2 & AGAR 433)
10. \_\_\_\_\_ Show Cause Letter / Cure Notice (FAR 49.402-3 & 49.607)
11. \_\_\_\_\_ Termination Notice T4C or T4D and backup Documentation  
(FAR 49.102 & AGAR 449.402)
12. \_\_\_\_\_ List / Records of Government Furnished Property (GFP) (FAR 45.505)
13. \_\_\_\_\_ Quality Assurance Plan and Inspection Reports (FAR 46.6 & AGAR 446.3)
14. \_\_\_\_\_ Logs of Calls/Delivery Orders

**PART VI**  
**FINANCIAL MATTERS, INVOICES/PAYMENTS**  
**AND CONTRACT CLOSE-OUT CHECKLIST**

A. FINANCIAL MATTER:

Date

1. \_\_\_\_\_ Liquidated Damages Assessments (FAR 11.503, 19.705-7 & 36.206  
(Construction))
2. \_\_\_\_\_ Justification for Retained Progress Payments (FAR 32.111 & 32.103  
(Construction))
3. \_\_\_\_\_ Progress Reporting (AGAR 437.270, 452.237-76 & 452.237-78)
4. \_\_\_\_\_ Performance/Payment Bonds (FAR 28.1)
5. \_\_\_\_\_ Davis-Bacon Wage Rate Compliance (FAR 22.406-6/7)
6. \_\_\_\_\_ Assignment of Claims (FAR 32.8)
7. \_\_\_\_\_ Limitation of Cost Notification (FAR 52.232-20)

B. INVOICES/PAYMENTS:

Date

1. \_\_\_\_\_ Invoices and Payment Authorizations
2. \_\_\_\_\_ Receiving Reports
3. \_\_\_\_\_ Miscellaneous Correspondence Related to Payments

C. CONTRACT CLOSE-OUT:

Date

1. \_\_\_\_\_ Completion Files (FAR 4.804)
2. \_\_\_\_\_ Final Indirect Rates (FAR 42.705)
3. \_\_\_\_\_ Released from Claims (FAR 52.216-7, 52.232-6 & 52.232-10)
4. \_\_\_\_\_ Government Furnished Property Status (GFP) Correspondence  
\_\_\_\_\_ Returned? \_\_\_\_\_ Acceptable? / GFP Claims Against Contractor /  
Resolution of GFP Claims
5. \_\_\_\_\_ NIH Past Performance Final Report (Includes letters to COR(s) & contractor)
6. \_\_\_\_\_ Miscellaneous Closeout Correspondence
7. \_\_\_\_\_ Contracting Officer Certificate of Completion (FAR 4.804-5)

**EXECUTIVE OFFICE OF THE PRESIDENT  
OFFICE OF MANAGEMENT AND BUDGET  
WASHINGTON, D.C. 20503**

**OFFICE OF FEDERAL PROCUREMENT POLICY**

**August 8, 1997**

MEMORANDUM FOR:

AGENCY SENIOR PROCUREMENT EXECUTIVES  
THE DEPUTY UNDER SECRETARY OF DEFENSE (ACQUISITION REFORM)  
PERFORMANCE-BASED SERVICE CONTRACTING (PBSC) POINTS OF CONTACT

FROM:

Steven Kelman /signed/  
Administrator

SUBJECT: PBSC Checklist

Attached is a copy of the final PBSC Solicitation/Contract/Task Order Review Checklist reflecting the comments we received. You are encouraged to distribute the Checklist to program and contracting officials within your agency, and to utilize it in developing PBSC contracting documents and determining whether an acquisition is performance-based.

Please contact Stanley Kaufman of my staff at (202) 395-6810, if you have any questions regarding the document.

Attachment

## **Performance-Based Service Contracting (PBSC) Solicitation/Contract/Task Order Review Checklist**

The following checklist is provided as a guide that may be used to aid in developing a performance-based solicitation, contract or task order, and to assist in determining whether an existing solicitation, contract or task order may be appropriately classified as performance-based. This checklist is not intended to usurp contracting officer discretion or authority regarding how to structure an acquisition. However, the more an acquisition departs from adherence to the checklist, the less likely the agency will achieve the benefits of improved contractor performance and lower price that PBSC can provide.

This checklist contains minimum required elements that must be present for an acquisition to be considered performance-based. To be effective, these elements must be communicated to potential offerors in time to be considered when developing their proposals. It also contains additional PBSC components important to ensuring the Government obtains the benefits of PBSC and "other considerations" that are not performance-based contracting methods per se but that nevertheless so directly affect the success of PBSC that they are included.

This document is but one tool to assist in developing and assessing PBSC, and it is purposefully not detailed or explanatory. For more fundamental discussions of PBSC, see: Federal Acquisition Circular 97-1; Federal Acquisition Regulation Subpart 37.6; and OFPP's Policy Letter 91-2, "Service Contracting" and "A Guide to Best Practices for Performance-Based Service Contracting." The latter two publications are available from the Executive Office of the President's Office of Publications, 202-395-7332 and the Acquisition Reform Network, [www.arnet.gov](http://www.arnet.gov).

## **Minimum Mandatory PBSC Requirements**

- [ ] 1. Performance requirements that define the work in measurable, mission-related terms.
- [ ] 2. Performance standards (i.e., quality, quantity, timeliness) tied to the performance requirements.
- [ ] 3. A Government quality assurance (QA) plan that describes how the contractor's performance will be measured against the performance standards.
- [ ] 4. If the acquisition is either critical to agency mission accomplishment or requires relatively large expenditures of funds, positive and negative incentives tied to the Government QA plan measurements.

## **Additional PBSC Components**

- [ ] 5. An historic workload analysis is performed, or the workload is estimated if historic data is unavailable, to aid in determining the performance requirements and standards, Government QA plan, and incentives.
- [ ] 6. The solicitation and contract/task order convey a logical, easily understood flow among performance requirements, performance standards, Government QA, and performance incentives.
- [ ] 7. Process-oriented requirements (e.g., job descriptions, education requirements, level-of-effort) and reports are eliminated to the maximum feasible extent.
- [ ] 8. Government QA performance evaluators assigned to assess contractor performance are trained in PBSC.
- [ ] 9. Commercial and/or industry-wide performance standards, where available, are relied upon.
- [ ] 10. The marketplace and other stakeholders are provided the opportunity to comment on draft performance requirements and standards, the Government QA plan, and performance incentives.
- [ ] 11. If the size of the requirement justifies the resource expenditures, potential offerors are given the opportunity to learn more about the "as is" operation to facilitate their ability to develop intelligent proposals.
- [ ] 12. The contract/task order is fixed price.
- [ ] 13. The contract/task order is completion type (vs. term type or level-of-effort).

- [ ] 14. Multi-year contracting authority is used where available.
- [ ] 15. Experience and lessons learned from predecessor acquisitions are used to convert recurring requirements to PBSC.

### **Other Considerations**

- [ ] 16. Past performance evaluations are based on the results of contract QA measurements and incentives, and QA plans are consistent with past performance factors.
- [ ] 17. For recurring requirements that have been converted to PBSC, the effects of conversion are measured (e.g., price, performance).
- [ ] 18. The contract/task order is awarded competitively.
- [ ] 19. Best value evaluation/selection methods are used to award the contract/task order.
- [ ] 20. Informal conflict resolution methods are utilized (e.g., alternative dispute resolution, ombudsman, formal partnering agreements).
- [ ] 21. An umbrella-type contract that has demonstrated significant performance problems, cost overruns, or has included an amount of work that is too great or diverse to be effectively managed by either the Government or the contractor, is broken up into multiple contracts.

Last Updated: August 26, 1997

revised: 11/30/2000