



DEPARTMENT OF THE NAVY
NAVAL SUPPLY SYSTEMS COMMAND
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MECHANICSBURG PA 17055-0791

NAVSUPINST 4205.3F CH-1

NAVSUP N7

FEB 0 4 2018
FEB 0 2 2018

NAVSUP INSTRUCTION 4205.3F CHANGE TRANSMITTAL 1

From: Commander, Naval Supply Systems Command

Subj: CONTRACTING OFFICER'S REPRESENTATIVE

Encl: (1) Revised Enclosure (3)

1. Purpose. To transmit new enclosure (3) to Naval Supply Systems Command (NAVSUP) Instruction 4205.3F, which provides more detailed instructions and distinguishes the differences between Fleet and Military Sealift Command business practices.
2. Action. Remove enclosure (3) in its entirety and insert enclosure (1) of this change transmittal.
3. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed in accordance with SECNAV Manual 5210.1.


J. A. YUEN

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5450 CARLISLE PIKE
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MECHANICSBURG PA 17055-0791

IN REPLY REF
NAVSUPINST 4205.3F
NAVSUP N72

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NAVSUP INSTRUCTION 4205.3F

From: Commander, Naval Supply Systems Command

Subj: CONTRACTING OFFICER'S REPRESENTATIVE

Ref: (a) DFARS 201.602-2, Contracting Authority and Responsibilities
(b) DoDI 5000.72, DoD Standard for COR Certification
(c) FAR 3.101, Standards of Conduct
(d) FAR 42.302, Contract Administration Functions
(e) FAR 42.2, Contract Administration Services
(f) FAR 46.4, Contract Quality Assurance
(g) DoDI 4105.67, Non-appropriated Fund (NAF) Procurement Policy and Procedure
(h) SECNAVINST 7043.5 (series) NAF Procurement Policy and Procedure

Encl: (1) NAVSUP Contracting Officer's Representative (COR) Standards
(2) NAVSUP COR Procedures for Monitoring Contractor Performance
(3) NAVSUP Husbanding Service Provider (HSP) COR Procedures for Monitoring Contractor Performance
(4) Contract/Delivery/Task Order Deliverables Tracker
(5) NEXCOM (NAFI) Procedures for Monitoring Contractor Performance

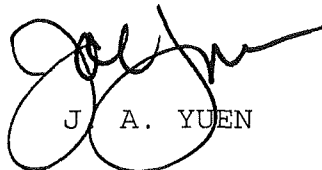
1. Purpose. To update and revise the Naval Supply Systems Command (NAVSUP) policy, assign responsibilities and provide guidance addressing the designation (appointment), responsibilities, limitations of authority, and oversight of a Contracting Officer's Representative (COR).

2. Cancellation. NAVSUPINST 4205.3E, NAVSUPINST 4205.3E CH-1 and NAVSUP policy letter 14-010. This instruction has been revised significantly and must be reviewed in its entirety.

3. Scope and Applicability. This instruction applies to all Navy Field Contracting System (NFCS) activities and to all requiring activities with CORs appointed by NFCS Procuring Contracting Officers (PCOs). Enclosures (1) through (4) apply to contracts subject to references (a) through (f). Enclosure (5) applies to contracts subject to references (g) and (h).

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4. Policy. COR Designation (Appointment). References (a) and (g) authorize contracting officer designation of CORs for appropriated fund (APF) and NAFI contracts respectively.
5. Request for Changes. Submit suggestions for changes to this instruction in writing to NAVSUP N72. Requests for change shall be submitted via the contracting activity chain of command and should include a statement of the issue, the recommended solution and specific proposed change language to be implemented. Electronic mail submissions are acceptable.
6. Waivers or Deviations. Requests for waivers or deviations to this instruction shall be submitted via the contracting activity chain of command and forwarded to NAVSUP N72. Electronic submissions are acceptable. Activities without a Chief Contracting Office (CCO) shall submit such requests via the appropriate Procurement Performance Management Assessment Program (PPMAP) office.
7. Action. All NFCS personnel, CORS and ACORS appointed for contracts awarded by NFCS activities shall comply with this instruction.
8. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1.



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**NAVSUP CONTRACTING OFFICER'S
REPRESENTATIVE (COR) STANDARDS**



NAVAL SUPPLY SYSTEMS COMMAND

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NAVSUP CONTRACTING OFFICER'S REPRESENTATIVE (COR) STANDARDS

TYPE A WORK/REQUIREMENT	REQUIRED COMPETENCY TOPICS	REQUIRED COMPETENCIES	EXPERIENCE AND TRAINING REQUIREMENTS
<p>Fixed-price contracts without incentives and low performance risk.</p> <p>Attributes of such requirements might include:</p> <ul style="list-style-type: none"> • Lack of technical or administrative complexity • No identifiable risk factors • Limited requirement for technical expertise • Low likelihood of modification • Effort is a follow-on to an existing contract <p>COR responsibilities are generally limited to minimal technical and administrative contract surveillance.</p>	<p><u>General:</u></p> <ul style="list-style-type: none"> • Attention to detail • Decision making • Flexibility • Oral and written communication • Problem solving and reasoning • Self-management and initiative • Teamwork <p><u>Technical:</u></p> <ul style="list-style-type: none"> • Business ethics • Effective communication of contract requirements • Effective contract performance management • Effective COR performance 	<p>On completion of mandatory training, the COR should be able to perform at least these competencies in a manner consistent with the nature of Type A work/requirements:</p> <ol style="list-style-type: none"> 1. Assist in acquisition planning. 2. Assist in contract award process. 3. Establish and maintain COR file with all required documentation. 4. Identify and prevent unethical conduct and instances of fraud, waste and abuse. 5. Perform technical and administrative contract surveillance and reporting duties in accordance with letter of designation and Quality Assurance Surveillance Plan (QASP). 6. Recommend contract changes when necessary and monitor contract performance as modified. 7. Monitor contract expenditures and payments. 8. Monitor contract schedule compliance. 9. Perform liaison duties between the contracting officer, the requiring activity, and the contractor for management of the contract. 10. Inspect and accept or reject deliverables during contract performance and at close-out in conformance with contract terms and conditions. 11. Monitor the control and disposition of Government furnished assets. 12. Perform surveillance in a contingency environment, when applicable. 13. Assist in contract closeout. 	<p><u>Experience:</u></p> <ul style="list-style-type: none"> • Agency experience: Minimum of 6 months unless waived. The waiver must be addressed in the nomination package. • Relevant technical experience: As determined by the requiring activity and COR management for the contracting officer's consideration. • General competencies: As determined by the nominating supervisor for the contracting officer's consideration. <p><u>Training:</u></p> <ul style="list-style-type: none"> • DAU course, CLC 106, "Contracting Officer's Representative with a Mission Focus" (online). • DAU course, CLC 206, "COR in a Contingency Environment," when applicable (classroom or online). • WAWF training (online). • DoD Component provided ethics (designated OGE Form 450 filers only) & CTIP training. • Additional training mandated by the contracting activity or agency, e.g., security, etc. <p><u>Refresher Training:</u></p> <ul style="list-style-type: none"> • Minimum of 8 hours COR specific training: <ul style="list-style-type: none"> ➤ Every 3 years, OR ➤ Before assuming COR responsibilities, if the individual has not served as a COR within the previous 24 months. • Annual• DOD Component provided ethics (designated OGE Form 450 filers only) & CTIP training. • Any additional training mandated by the contracting activity or agency.

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NAVSUP CONTRACTING OFFICER'S REPRESENTATIVE (COR) STANDARDS

TYPE B WORK/REQUIREMENT	REQUIRED COMPETENCY TOPICS	REQUIRED COMPETENCIES	EXPERIENCE AND TRAINING REQUIREMENTS
<p>Fixed-price contracts with incentives; fixed-price contracts with other than low performance risk; and other than fixed-price contracts. This includes everything other than Types A and C.</p> <p>Attributes of such requirements might include:</p> <ul style="list-style-type: none"> • Contract complexity or performance risk • Effort will be performed in multiple regions or remote geographic locations • The need for increased surveillance • Magnitude of the requirement • The contract contains incentive arrangements or cost sharing provisions. The contract is cost-type of T&M/LH type, or FP LOE. Hybrid-Fixed Price requirements which includes any provision for T&M/LH. <p>COR responsibilities are of increased complexity.</p>	<p><u>General:</u></p> <ul style="list-style-type: none"> • Attention to detail • Decision making • Flexibility • Influencing and persuasive interpersonal skills • Oral and written communication • Planning and evaluating • Problem solving • Reasoning • Self-management and Initiative • Teamwork <p><u>Technical:</u></p> <ul style="list-style-type: none"> • Business ethics • Defining government requirements • Understanding and knowledge of contract type • Effective analytic skills • Effective communication of contract requirements • Effective contract performance management • Effective COR performance • Project management • Strategic planning • Understanding the marketplace 	<p>On completion of mandatory training, COR should be able to perform at least the following competencies in a manner consistent with the nature of Type B work/requirements:</p> <ol style="list-style-type: none"> 1. Assist in acquisition planning. 2. Assist in contract award process. 3. Establish and maintain COR file with all required documentation. 4. Identify and prevent unethical conduct and instances of fraud, waste and abuse. 5. Review technical deliverables and ensure compliance with Statement of Work/Statement of Objectives (e.g., perform technical monitoring and reporting in accordance with a QASP). 6. Perform administrative monitoring and reporting responsibilities (e.g., handle security issues, attend meetings, etc.). 7. Recommend contract changes when necessary and monitor contractor performance as modified. 8. Monitor contract expenditure and payments. 9. Monitor contract schedule compliance. 10. Perform liaison duties between the contracting officer and the contractor for management of the contract. 11. Inspect, and accept or reject deliverables during contract performance and at close-out in conformance with contract terms and conditions. 12. Review and validate that contractor payment requests are commensurate with performance. 13. Monitor control and disposition of Government furnished assets. 14. Assist in contract closeout. 15. Perform surveillance in a contingency environment, when applicable. 	<p><u>Experience:</u></p> <ul style="list-style-type: none"> • Agency experience: Minimum of 12 months unless waived. The waiver must be addressed in the nomination package. • Relevant technical experience: As determined by the requiring activity or COR management for the contracting officer's consideration. • General competencies: As determined by the nominating supervisor for the contracting Officer's consideration. <p><u>Training:</u></p> <ul style="list-style-type: none"> • DAU course, CLC 222, COR (classroom or online) or ALU-CL or equivalent course. • DAU course CLC 206, COR in a Contingency Environment, when applicable (classroom or online) • WAWF training (online) • DoD Component provided ethics (designated OGE Form 450 filers only) & CTIP training. • Additional training mandated by the contracting activity or agency (e.g., security, etc.). <p><u>Refresher Training:</u></p> <ul style="list-style-type: none"> • Minimum of 16 hours COR specific training: <ul style="list-style-type: none"> ➤ Every 3 years, OR ➤ Before assuming COR responsibilities, if the individual has not served as a COR within the previous 24 months. • Annual• DOD Component provided ethics (designated OGE Form 450 filers only) & CTIP training. • Any additional training mandated by the contracting activity or agency.

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NAVSUP CONTRACTING OFFICER'S REPRESENTATIVE (COR) STANDARDS

TYPE C WORK/REQUIREMENT	REQUIRED COMPETENCY TOPICS	REQUIRED COMPETENCIES	EXPERIENCE/TRAINING REQUIREMENTS
<p>Unique contract requirements that necessitate the COR have a higher education or specialized training beyond the Type B requirements.</p> <p>Attributes of such requirements might include:</p> <ul style="list-style-type: none"> • Environmental remediation • Major weapons systems • Medical or dental or veterinarian services, etc. <p>COR responsibilities are of increased complexity.</p>	<p><u>General:</u></p> <ul style="list-style-type: none"> • Attention to detail • Decision making • Flexibility • Influencing and persuasive interpersonal skills • Oral and written communication • Planning and evaluating • Problem solving • Reasoning • Self-management and initiative • Teamwork <p><u>Technical:</u></p> <ul style="list-style-type: none"> • Business ethics • Defining government requirements • Understanding and knowledge of contract type • Effective analytic skills • Effective communication of contract requirements • Effective contract performance management • Effective COR performance • Project management • Strategic planning • Understanding the marketplace 	<p>On completion of mandatory training, COR should be able to perform at least these competencies in a manner consistent with the nature of Type C work/requirements:</p> <ol style="list-style-type: none"> 1. Assist in acquisition planning. 2. Assist in contract award process. 3. Establish and maintain COR file with all required documentation. 4. Identify and prevent unethical conduct and instances of fraud, waste and abuse. 5. Review technical deliverables and ensure compliance with Statement of Work/Statement of Objectives, e.g., perform technical monitoring and reporting in accordance with a QASP. 6. Perform administrative monitoring and reporting responsibilities, e.g., handle security issues, attend meetings, etc. 7. Recommend contract changes when necessary and monitor contractor performance as modified. 8. Monitor contract expenditures. 9. Monitor contract schedule compliance. 10. Perform liaison duties between the contracting officer and the contractor for management of the contract. 11. Inspect, and accept or reject deliverables during contract performance and at close-out in conformance with contract terms and conditions. 12. Review and validate that contractor payment requests are commensurate with performance. 13. Monitor the control and disposition of Government furnished assets. 14. Perform surveillance in a contingency environment, when applicable. 15. Assist in contract closeout. 16. Other specific functions consistent with the objectives of the activity's mandatory specialized or technical training. 	<p><u>Experience:</u></p> <ul style="list-style-type: none"> • Agency experience: Minimum of 12 months unless waived. The waiver must be addressed in the nomination package. • Relevant technical experience: As determined by the requiring activity or COR management for the contracting officer's consideration. • General competencies: As determined by the nominating supervisor for the contracting officer's consideration. <p><u>Training:</u></p> <ul style="list-style-type: none"> • DAU course, CLC 222, COR (classroom or online) or ALU-CL or equivalent course. • DAU course CLC 206, COR in a Contingency Environment, when applicable (classroom or online) • WAWF training (online) • DoD Component provided ethics (designated OGE Form 450 filers only) & CTIP training. • Additional training mandated by the contracting activity or agency, e.g., security, etc.). <p><u>Refresher Training:</u></p> <ul style="list-style-type: none"> • Minimum of 16 hours COR specific training: <ul style="list-style-type: none"> ➤ Every 3 years, OR ➤ Before assuming COR responsibilities, if the individual has not served as a COR within the previous 24 months. • Annual• DOD Component provided ethics (designated OGE Form 450 filers only) & CTIP training. • Any additional training mandated by the contracting activity or agency. • Any necessary for maintenance of license or certification, etc.

**NAVSUP COR PROCEDURES FOR
MONITORING CONTRACTOR PERFORMANCE**



NAVAL SUPPLY SYSTEMS COMMAND

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NAVSUP COR Procedures for Monitoring Contractor Performance

1. Definitions

a. Administrative Contracting Officer (ACO). This is the warranted Government official responsible for administering the contract to the extent that the PCO has delegated contract administration. The ACO generally resides within the Contract Administration Office.

b. Alternate Contracting Officer's Representative (ACOR). The alternate Government official appointed in writing by the PCO. The ACOR performs the COR responsibilities including technical direction/clarification in the absence of the COR.

c. Contract Administration Office (CAO). The office designated to perform assigned functions related to the administration of the contract.

d. Contract Administration Plan (CAP). This is a formal process for assigning service contract administration functions to the responsible individuals, e.g., PCO, ACO, ordering officer, COR, Defense Contract Audit Agency (DCAA), etc. The CAP ensures that all contract administration functions are performed, without duplication of effort; and that careful consideration is given to contract type, performance, place of performance, etc. when assigning duties. A sample documentation form for the CAP is available on CKS/Forms Library under the subheading "COR/ACOR Forms" at <https://www.navsup.navy.mil/cks/referencelibrary>.

e. Contracting Officer's Representative (COR). An employee, military or civilian, of the U.S. Government, a foreign government, or NATO/coalition partners designated (appointed) in writing by a PCO to serve as technical liaison between the Government and a contractor for a specific contract, set of line items or an order under an IDC contract or BOA. In no case shall contractor personnel serve as a COR. COR authority delegated to the COR by the PCO shall not be re-delegated. The COR shall not appoint, delegate, re-delegate or sub-delegate his/her COR responsibilities to another person. If circumstances change and there is a reasonable expectation that the COR cannot perform effectively, i.e., personal conflict of interest, change in assignment, etc., the COR shall notify COR management and the PCO to request a successor COR be designated. The COR monitors the contractor's performance and provides technical advice to the contracting officer and contractor

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within the scope of work or PWS of the contract including verifying that invoices properly reflect the services performed or the products delivered. Samples of COR appointment letters are available on CKS/Forms Library under the subheading "COR/ACOR Forms" at <https://www.navsup/navy.mil/cks/referencelibrary>.

f. Delivery Order Contract. This is a contract that does not procure or specify a firm quantity of supplies (other than a minimum or maximum quantity) and provides for the issuance of orders for the delivery of supplies during the period of the contract (FAR 16.501-1).

g. DOD Contracting Officer's Representative Tracking (CORT) Tool. This is a web-accessible application that will allow DOD components to track COR nominations, appointments, terminations and training. It is also a web-based portal for CORs to file and maintain reports and other pertinent documentation.

h. Indefinite-Delivery Contract (IDC). A contract used to acquire supplies or services when the exact times and/or exact quantities of future deliveries are not known at the time of contract award. There are three types of IDCs: definite-quantity, requirements, and indefinite-quantity.

i. Navy Field Contracting System (NFCS). Collectively, all Navy contracting activities exercising contract authority derived from Commander, Naval Supply Systems Command as HCA.

j. Non-Personal Services Contract. A contract under which the personnel providing the services are not subject (either by the contract's terms, or by the manner of its administration) to the supervision and control usually prevailing in relationships between the Government and its employees (FAR 37.101).

k. Nominating Official. The individual authorized by the requiring activity to approve a COR's nomination through the DOD CORT Tool. This individual may be the COR's supervisor or a higher level management individual in the COR's chain of command. This individual is responsible for the nomination of a qualified individual to serve as a COR for contracts or orders associated with the requiring activity. The nominating official should consider the level of effort required to perform the assignment, including the type of contract, the complexity of the contract, the degree of oversight required, and any other concurrent COR assignments. The individual shall ensure the prospective COR understands the importance of performance of the

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designated COR responsibilities and allows adequate time and resources, e.g., time, supplies, and equipment, for performance of COR designated duties/responsibilities. This individual will ensure performance of COR duties/responsibilities are evaluated as part of the COR's performance assessment throughout the period of the contract, including input on performance of COR responsibilities from the PCO. If COR designation is terminated for any reason, this individual takes action to identify/nominate a replacement COR and ensure the terminated COR provides all reports/records and files to COR management or successor COR, as appropriate.

l. Nomination Approval. This is submitted by the requiring activity/COR management to the PCO through the DOD CORT Tool.

m. Ordering Officer. An individual authorized to sign, issue and modify delivery orders/task orders within the limits of assigned authority. Ordering officers are appointed in writing by the appointing official at the designated ordering activity.

n. Personal Services Contract. A contract that by its express terms or as administered, make contractor personnel appear in effect, Government employees (see FAR 37.101).

o. Procuring Contracting Officer (PCO). This is the Government official authorized by a warrant to enter into a contract for the Government. The only individual authorized to designate CORs/ACORs.

p. Quality Assurance Surveillance Plan (QASP). In accordance with reference (e), a QASP should be prepared in conjunction with preparation of the PWS and should specify all work requiring surveillance and the method of surveillance. FAR 12.208 states, "contracts for commercial items shall rely on contractors' existing quality assurance systems as a substitute for Government inspection and testing before tender for acceptance unless customary market practices for the commercial item being acquired include in-process inspection. Any in-process inspection by the Government shall be conducted in a manner consistent with commercial practice." Therefore, a QASP is not required for acquisition of commercial supplies. Additionally, in accordance with DFARS 246.404, a QASP is not required for acquisitions at or below the simplified acquisition threshold unless the criteria at DFARS 246.402 have been met. If a QASP is required for a service requirement, include the plan with the base period and options. For guidance and

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assistance in preparing a QASP, a "QASP Tutorial and Guide," "AQASP Preparation Template" and sample QASPs can be found at <https://www.navsup.navy.mil/cks/referencelibrary#forms> under the Q section. Also, under this section is a QASP Matrix and Elements of a QASP.

q. Requiring Activity. The activity which establishes and identifies a need which is subsequently developed into a Request for Contractual Procurement (RCP) action or a Purchase Request (PR) and submitted to a contracting activity for acquisition.

r. Service Contract. A contract that directly engages the time and effort of a contractor whose primary purpose is to perform an identifiable task rather than to furnish an end item of supply. The PCO is responsible for ensuring a proposed service contract is proper; i.e., the PCO shall determine whether the proposed service is for a personal or non-personal service contract using guidelines in FAR 37.104 as stipulated in FAR 37.101.

s. Task Order Contract. A contract for services that does not procure or specify a firm quantity of services (other than a minimum or maximum quantity) and provides for the issuance of orders for the performance of tasks during the period of the contract (see FAR 16.501-1).

t. Technical Assistant (TA)/Technical Point of Contact (TPOC). The requiring activity representative who may be assigned to provide technical/administrative assistance to the COR. TAs/TPOCs may be assigned to assist and support the COR, but do not have the authority to provide any technical direction or clarification directly to the contractor.

u. Technical Direction Letter (TDL). A written document issued by the COR to the contractor. It is used to clarify, define, or give specific direction within the PWS/SOW of the basic contract and in conjunction with orders for specific tasks falling within the scope of the basic contract. TDLs shall be issued to provide technical instructions relating to schedule, labor hours and/or deliverables under task orders or contract. Technical direction should not alter or modify the scope or terms of the contract or specific task order. TDLs shall not be used as pseudo task orders or modifications and shall not identify new deliverables, or increase labor categories or mix proposed by the contractor. Each TDL shall be issued for a specified time, task and location. TDLs shall not include ambiguous, all inclusive language such as: on board ships, at homeports of attached units, or other designated areas/sites, as

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directed. Oral technical direction may be issued only in emergency circumstances and shall be confirmed by issuance of a written TDL within two working days. Every TDL must be reviewed by the PCO or ACO prior to being issued by the COR. Even an oral TDL must be discussed with the PCO/ACO before it is placed. Each TDL must include, at a minimum, the date of the TDL, the contract and TDL number, printed name and contact information of the COR and the PCO/ACO, reference to the relevant section or item in the PWS/SOW, and signatures and dates of the PCO/ACO and the COR. The PCO/ACO shall be on distribution to receive copies of all TDLs when copies are distributed to the contractor. COR shall maintain a TDL log, and copies of all TDLs issued.

v. Tracking Deliverables. A recent Department of Defense Inspector General audit report identified a need for stronger contract oversight specifically for task orders to ensure the Navy receives the quantity and quality of services for which it contracted. The audit revealed that NAVSUP CORs did not have a mechanism to track deliverables when they were submitted. A sample of the documentation required is provided as enclosure (4). Contractor's performance documented in the COR Monthly Report must now include the actual dates deliverables were submitted and track all changes to deliverables where a modification to the task order/contract is required. Enclosure (4) must be completed and attached to the COR Monthly Report to the PCO via the COURT Tool. As an alternative for completing enclosure (4), the information from this enclosure may be incorporated into the COR Monthly Report and submitted.

2. COR Ethics. Per references (b) and (c), the COR shall complete a Confidential Financial Disclosure Report (OGE Form 450). The COR shall conduct Government business in a manner above reproach and, except as authorized by statute or regulation, with complete impartiality and with preferential treatment for none. Transactions relating to the expenditure of public funds require the highest degree of public trust and an impeccable stand of conduct.

3. COR Qualifications

a. A COR must be a U.S. Government employee, civilian or military, or an employee, civilian or military, of a foreign government or a North Atlantic Treaty Organization (NATO)/coalition partners as cited in DFARS 201.602-2(d)(1). Prior to designating a COR, the PCO must ensure the nominee has achieved the mandatory competencies and experience/training requirements for designation as a COR, as detailed in the NAVSUP

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Contracting Officer's Representative (COR) Standards (enclosure (1)). The COR must understand the responsibilities and limitations of his/her role in providing technical assistance in the administration of a specific contract/task order to which the COR has been appointed. PCOs may require the COR to take additional training at any time during the COR's appointment. Failure to attend additional training as directed by the PCO may result in termination of the COR appointment. Required competencies and the experience/training requirements are established based on the complexity of the contract.

b. CORs meeting the experience/training requirements of:

(1) Type A work shall be designated for fixed price, low performance risk contracts, and may be designated as a COR on contracts for Type A work only.

(2) Type B work shall be designated on other than low performance risk, fixed price contracts, and may be designated as a COR on contracts for Type A or B work.

(3) Type C work shall be designated when there are unique requirements that necessitate a professional license, technical or additional education/training beyond Type B, and may be designated as a COR on contracts for Type A, B, or C work.

c. Training is available online from the Defense Acquisition University (DAU) website at <https://learn.dau.mil/> or training may be obtained through courses at Army Logistics University (formerly Army Logistics Management College (ALMC)) Fort Lee, Virginia. In addition to mandatory COR training, supplemental training with a focus on services is highly encouraged. Specific and minimum training requirements are outlined in enclosure (1) and reference (b).

d. The PCO may waive COR specific initial and refresher training requirements for COR nominees who have obtained a minimum of Level II "Certification in Contracting" (1102 job series), "Industrial Property Management" (1103 job series), or "Quality Assurance" (1910 job series), in accordance with sections 1701-1764 of Title 10, United States Code, also known as "The Defense Acquisition Workforce Improvement Act (DAWIA)." The PCO will determine what the COR-specific refresher training course requirements should be commensurate with the contract work being performed. However, annual provided ethics and combating trafficking in persons (CTIP) training may not be waived.

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4. Contract Administration Plan (CAP). The contract surveillance activities performed by CORs should be tailored to the dollar value and/or complexity of the specific contract. To ensure satisfactory administration of service contracts and avoid duplication of contract administration functions including those listed in references (c) and (d), the PCO shall develop a CAP for each contract with an assigned COR. A CAP is also required for each contract whenever the requiring activity is delegated authority by the PCO to perform specific duties or significant tasks related to contract administration, e.g., property administration, other than inspection and acceptance. Development of a CAP requires coordination between the PCO, the COR, the requiring activity, the ACO and personnel from any Government activity necessary for efficient and effective administration. The CAP will delineate responsibilities for specific administration functions to an authorized representative of the Government including personnel security responsibilities required to ensure that security background investigations are accomplished in accordance with the contract and the DD Form 254, DOD Contract Security Classification Specification, if required. It shall also address the responsibilities and limitations of authority of appointed ordering officers for IDCs. When an IDC is involved, proper procedures and restrictions or limitations on placing orders and for making source selections shall be addressed in the CAP. A master CAP may be established to cover a group or types of similar contracts from an individual requiring activity where assignment of contract administration functions to the PCO, ACO, COR, and/or ordering officer are consistent. A master CAP may also be appropriate for multiple awards under a single solicitation, as discussed in FAR 16.504(c).

5. Contractor Performance Assessment Report (CPAR). A CPAR involves assessing and documenting a contractor's performance, both positive and/or negative, on a given contract for a specific period of time. This performance information is used for accomplishing past performance evaluations for future source selections. Each assessment must be based on objective facts and supported by program and contract management data. CORs play a significant role in the CPAR process and may be the assessing official on the contract responsible for preparing a quality narrative to accompany the CPAR rating. As the assessing official, the COR must make a dedicated effort to thoroughly describe the circumstances surrounding the rating. The rating must include sufficient information to justify it pursuant to the procedures at FAR Subpart 42.1503. Also, COR as the assessing official, must complete an "interim" CPAR,

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annually in the Contract Performance Assessment Reporting System (CPARS) Automated Information System (AIS) within 45 days of the anniversary of the first day of performance under the contract. The "final" CPAR shall be completed within 45 days of the end of the performance period. Only a "final" CPAR is required for contracts with a period of performance less than one-year. The CPARS provides contractor performance information to the Past Performance Information Retrieval System (PPIRS) where it can be retrieved by DOD activities. The CPARS Automated Information System collection tool and other relevant guidance can be accessed at <https://www.cpars.gov/>. This website also includes a comprehensive user manual that describes system functionality, including email notifications. CORs must take the on-line "Quality and Narrative Writing" training prior to completing the initial CPAR and then annually as a refresher prior to completing subsequent CPARS. All CPARS information is treated as "For Official Use Only/Source Selection Information," in accordance with FAR Subparts 2.101, 3.104 and 42.1503.

6. Limitations and Restrictions. A single individual shall perform only one of the following functions: (a) initiation of the requirement; (b) award of contract or placement of order; and (c) receipt, inspection and acceptance of supplies or services. If circumstances preclude an individual from performing a single function, as a minimum, the individual responsible for the award of a contract or placement of an order shall not perform the receipt, inspection and acceptance function. Such separation of functions is essential to avoid the potential for fraud, waste, and abuse and any appearance of mismanagement of Government funds or conflict of interest. The COR does **not** have the authority to:

a. change the price/cost or fee, quantity, quality scope, delivery schedule, labor mix or other terms and conditions of the contract, task or delivery order;

b. issue delivery orders;

c. make or authorize any changes in the contract; and/or

d. re-delegate COR authority or responsibilities. Only the PCO, ACO or ordering officer (within his/her specific delegation) shall have the authority to request proposals, negotiate prices and obligate the Government. The COR must also maintain an arms-length relationship with the contractor to help ensure that services remain non-personal.

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7. Alternate COR (ACORs), Technical Assistant (TA)/Technical Points of Contact (TPOC) or Multiple CORs. Only persons explicitly authorized by the PCO are eligible to perform COR responsibilities. In order to ensure continuity of contract administration, PCOs may designate an ACOR to a specific contract to perform the responsibilities of the COR in the COR's absence. The appointment letter for the ACOR must explicitly state that the ACOR shall act only in the absence of the COR. The appointment letter must be a complete and stand-alone document tasking specific duties/responsibilities to the COR prior to award. PCOs may add, delete, revise or elaborate on the COR responsibilities contained in the nomination package as necessary, and as required. Discuss any changes to the duties recommended in the nomination package with the requiring activity/COR management prior to issuing the appointment letter. The letter shall include: (1) the period covered by the appointment, and must state that COR duties are not re-delegable; (2) the COR may be personally liable for unauthorized acts; and (3) a statement that the COR's signature on the appointment letter certifies the information as correct to the best of his or her knowledge. The letter should also establish the basis for a feedback procedure to ensure the PCO (and ordering officer, if applicable) is kept aware of significant events of contract performance. There may be only one COR, or multiple CORs appointed to a specific contract to monitor different orders or contract line items. A TA/TPOC may also be assigned to assist and support the COR, but does not have the authority to provide any technical direction or clarification directly to the contractor. The commanding officer or the designee of the requiring activity may appoint a TA/TPOC to assist the COR in executing routine administration and monitoring duties. In no case shall the COR appoint the TA/TPOC to assist with COR duties. The appointment must be in writing and must set forth the TA's/TPOC's responsibilities and limitations. Before appointment, the requiring activity's commanding officer or designee shall ensure TAs/TPOCs have the appropriate and adequate experience and training. The successful completion of COR training is strongly recommended for all TAs/TPOCs. The COR remains technically responsible for contractor performance monitoring despite the appointment of a TA/TPOC; therefore, the COR should ensure information received from the TA/TPOC is accurate and complete. The COR shall also ensure the TA/TPOC maintains a non-personal relationship with the contractor. Sample letters for ACORs and TAs/TPOCs are available at the Contract Knowledge Site (CKS)/Forms Library under the subheading "COR/ACOR Forms" at <https://www.navsup.navy.mil/cks/referencelibrary#forms>.

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8. Self-Nomination Process. The COR should be identified by the requiring activity as early in the acquisition process as practicable. The COR must be a CORT Tool user to complete the nomination package. If the COR requires access to the CPARS, the synchronized pre-deployment and operational tracker (SPOT) and enterprise contractor manpower reporting application (eCMRA), an account would be required after COR designation. The self-nomination process is initiated by the prospective COR using the DOD CORT Tool, which is located on the Wide Area Workflow (WAWF) website <https://wawf.eb.mil>. The requiring activity submits a request for COR designation to the PCO through the CORT Tool. The request shall outline the services/supplies being procured; nominee's technical qualifications including specific experience/training; the technical functions to be performed; and the duration of requested appointment. The COR nomination shall affirm the COR will be afforded necessary resources (time, supplies, equipment, & opportunity) to perform the designated functions; the prospective COR and the prospective COR's supervisor understand the importance of performance of the designated functions; and the prospective COR supervisor will ensure the performance of the designated functions will be addressed as part of the COR's performance assessments. The COR's supervisor shall solicit input on performance of the COR's duties from the PCO. Copies of COR training course certificates are to be provided as attachments in the self-nomination process. If the nominee will be serving as an ACOR, the nomination package shall be initiated by the ACOR nominee. To initiate the COR/ACOR nomination the COR/ACOR creates a profile and completes the required fields in the CORT Tool. Then the COR/ACOR must prepare a contract nomination package by selecting the "COR Nomination Process;" completing all required data fields and certifications; and, saving and submitting the nomination to the Requiring Activity Manager/Higher Level Authority for approval. An online DD Form 2875, System Authorization Access Request (SAAR) is required. The DD Form 2875 will be created from a new CORT Tool registration or when a user adds an additional role. The DD Form 2875 must be reviewed and approved or rejected by the requiring activity approval authority. The requiring activity approval authority may be the COR nominee's supervisor. Currently, the two signatures required on the DD Form 2875 is the CORT Tool user (COR nominee) and their supervisor. The nomination process requires the COR nominee to certify the following in the CORT Tool:

a. He/she will complete the COR specific "refresher training" as required by "DoD Standards for Certifications of

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Contracting Officer Representative (COR) for Services Acquisition" every 3rd year. He/she will update the training section of CORT Tool with a copy of the refresher course certificate and date of course completion.

b. He/she has the necessary clearance for the contract and any relevant information;

c. If determined by the PCO, he/she will comply with the requirement to complete an OGE Form 450, Confidential Financial Disclosure Report and complete and file the OGE Form 450 by February of each year while serving as COR, and include a statement in the February Monthly COR Report that this was accomplished;

d. Understand that he/she may be required, as a COR, to complete COR Reports and submit them within the CORT Tool as specified in the contract

e. He/she will complete the Monthly COR Report and submit to the PCO within the CORT, if contract deliverables are required the COR shall track them using enclosure (4) (or similar document), and submit to the PCO with the Monthly COR Report via CORT Tool;

f. He/she will accomplish the annual administrative review of their COR files with the PCO each year in the anniversary month of the appointment;

g. He/she understands the COR may be held personally liable for unauthorized acts;

h. He/she will, if applicable, register as a user of Invoicing, Receipt, Acceptance and Property Transfer (iRAPT) online and taken the training at <https://wawf.eb.mil> and will process payments when possible using iRAPT.

9. COR Supervisor Process. An email is generated by the CORT Tool and sent to the COR's supervisor listed in the COR's profile. COR supervisor/COR management shall access the CORT Tool, review the nomination, and approve, save, reject or cancel the nomination. Note: The CORT Tool provides the COR the capability to submit the nomination for approval, save the nomination for completion at a later time, or cancel the nomination. CORT Tool guidance and training is available at https://www.navsup.mil/cks/reference_library/acquisition_reference_library/forms.

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10. Responsibilities

a. Nominating Official/Requiring Activity shall:

(1) Ensure the person identified has completed or will have completed COR training and certify prior to designation that the individual possesses the required competencies and meets the expertise/training requirements consistent with the duties to be assigned;

(2) Ensure COR duties/responsibilities are incorporated in either the COR's annual performance appraisal or performance assessment;

(3) Discuss COR duties/responsibilities to be designated and the importance of performance of COR responsibilities with COR nominee;

(4) Ensure performance of COR duties/responsibilities are evaluated as part of the COR's annual performance appraisal or performance assessment throughout the period of the contract, including input on performance of COR responsibilities from the PCO;

(5) Ensure the COR and COR management/supervisor are both registered in the DOD CORT Tool.

(6) Approve and submit a COR nomination to the PCO preferably with the RCP/PR submission, but no later than 14 days prior to contract award using the DOD CORT Tool. The COR nomination process is discussed in paragraph 8 above;

(7) Identify, concurrent with submission of the RCP/PR, those specific areas of the proposed contract effort where specific technical expertise is required to ensure quality, satisfactory performance and successful contract completion;

(8) Identify any repetitive or similar requirements applicable to the requiring activity, so a master CAP may be developed by the PCO and subsequently submitted by the requiring activity with similar RCP/PR submissions. If at the time of submission of the RCP/PR, modification of the master CAP is necessary for the specific requirement involved, such information shall be provided to the PCO so an addendum to the master CAP may be developed by the PCO for the instant requirement;

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(9) Determine that the COR nominee has no personal conflict of interest with performing duties/responsibilities to be assigned;

(10) Ensure the COR nominee has completed and filed the initial OGE Form 450, and an annual OGE Form 450 thereafter, within the required time period;

(11) Review for PCO's approval the DD Form 254, if required, and ensure the COR nominee has the necessary clearance for the contract;

(12) Ensure the COR nominee understands the requirement to complete a yearly review of COR files with the PCO or other officials as authorized by the PCO each year in the anniversary month of their designation;

(13) Ensure the COR nominee is registered as a WAWF online user at <https://wawf.eb.mil>; and

(14) Provide timely notice to the PCO when the COR must be replaced or the appointment terminated; i.e., if a conflict of interest develops or the COR is transferred.

b. PCOs shall:

(1) Determine the need for either a COR, multiple CORs or alternate CORs, to assist in technical monitoring and contract oversight and advise the requiring activity of the need for COR(s) support and the qualifications mandated per enclosure (1) of this instruction;

(2) Ensure the COR complete and file the required OGE Form 450;

(3) Insert DFARS 252.201-7000 into the solicitation and contract when appointment of a COR is anticipated;

(4) Develop the CAP. State those functions that are specifically delegated to each party (PCO, CAO, COR, ordering officer, etc.). It is not necessary to state detailed procedures to be used by each party to perform those functions. However, the CAP must be sufficient to ensure that all contract administration functions are assigned; state the specific circumstances of the contract; and give due consideration to the type of contract, the place of performance, the period of performance, inspection and acceptance criteria, and security

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requirements. The CAP shall clearly state the limitations and restrictions on the roles of the COR and the use of TDLs;

(5) Verify the nominee has achieved the required competencies and experience/training requirements detailed in NAVSUP COR Standards (enclosure (1)), as documented in the requiring activity's nomination package;

(6) Notify the requiring activity the COR nominee is acceptable, or identify deficiencies and request additional nominations, as applicable;

(7) Provide an orientation to the COR nominee to address duties/responsibilities to be delegated, unique terms and conditions of the contract, importance of performance, personal conflict of interest (COI) and potential COI, informal commitments/unauthorized commitments, and ethics/integrity in relationships with the PCO/COR management/contractor;

(8) Insert in section G of the solicitations and contracts, when a COR will be designated the Contract Administration Appointments and Duties. The sample "text" is available on the CKS/Forms Library under the subheading "COR/ACOR Forms" at https://www.navsup.navy.mil/cks/reference_library/acquisition_reference_library/forms;

(9) Appoint the COR, in writing, setting forth the extent and method of contract monitoring which is appropriate to the particular contract. The appointment letter must be a complete and stand-alone document tasking specific duties/responsibilities to the COR prior to award. PCOs may add, delete, revise or elaborate on the COR's responsibilities which are contained in the nomination package as necessary, and as required. Discuss any changes to the duties recommended in the nomination package with the requiring activity/COR management prior to issuing the appointment letter. The letter shall include the period covered by the appointment and must state: (1) COR duties are not re-delegable; (2) the COR may be personally liable for unauthorized acts; and (3) include a statement that the COR's signature on the appointment letter certifies the information as correct to the best of his or her knowledge. The letter should also establish the basis for a feedback procedure to ensure the PCO (and ordering officer, if applicable) is kept aware of significant events of contract performance. For an IDC, if a COR is to be appointed, more than

one COR may be appointed to monitor different orders or contract line items under the same contract;

(10) Sign the appointment letter. Obtain both the COR's and nominating official's signed acknowledgements on the appointment letter and forward to the COR, with a copy to the requiring activity/COR management. Two copies of the appointment letter signed by the PCO, COR and nominating official shall be provided to the contractor and CAO. The contractor must acknowledge receipt of the letter by counter-signing one copy and returning it to the Contracting Officer. The PCO will make appropriate distribution of this contractor acknowledgement and upload the signed appointment/designation letter to the CORT Tool. The COR nomination and acceptance shall be completed through the CORT Tool, unless a specific waiver is granted by OUSD(AT&L) Defense Procurement and Acquisition Policy, Program Development and Implementation (PDI) Directorate;

(11) Identify the COR in the contract/order award document;

(12) Provide a copy of the contract, any modifications, and any additional guidance, as needed, to the COR;

(13) For award of IDCs, identify the ordering activity/activities that will be authorized to place task orders under IDC in the contract award document, i.e., all Navy contracting officers or all DOD contracting officers;

(14) Withhold or terminate appointments when there is reason to believe the appointment is not in the best interest of the Government. When appointments are withheld or terminated, the PCO will immediately notify the nominating official of the reason(s), i.e., conflict of interest, inadequate training or experience. A sample COR termination letter is available on CKS/Forms Library under the subheading "COR/ACOR Forms" at <https://www.navsup.navy.mil/cks/referencelibrary>;

(15) Meet annually on the anniversary month of the appointment with the COR and review the COR's files and adherence to his or her appointed duties. Annual meetings can take place via video teleconferences (VTC), conference calls, personal visits, etc. Written documentation of the annual meeting must be retained in the contract/order and COR files. At a minimum, the PCO shall include the date of the meeting, the mode in which it was conducted and any pertinent information

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regarding the substance, and extent of the meeting. Ensure the COR Functional Review Questionnaire, at [https://www.navsup.navy.mil/cks/reference_library/acquisition reference library/forms](https://www.navsup.navy.mil/cks/reference_library/acquisition_reference_library/forms), is completed and on file for each annual review;

(16) Provide feedback on COR performance to the COR management/supervisor. If the COR's reports and performance are inadequate, discuss performance with the COR. If the reports and the COR's performance continue to be inadequate, discuss the COR's performance with the COR management/supervisor. If reports/performance continue to be inadequate, notify both the COR and COR management/supervisor that the COR designation is (will be) terminated and request nominations for a replacement COR;

(17) Document the termination of a COR designation due to transfer, retirement, or other causes in writing. Notice of termination must be acknowledged by the COR and COR management and posted in the DoD CORT Tool (see paragraph (14) above). Termination notice must be provided to the COR management who will provide notice to either the local JAG or OGC;

(18) Modify contracts when appointments have been terminated;

(19) Insert the current NAVSUP clause 5252.242-9402, Technical Direction, in solicitations and contracts where authority will be delegated to the COR to issue TDLs;

(20) Review and approve/sign all TDLs prior to the COR issuing them to the contractor. Keep a copy of each TDL issued in the appropriate contract file, and reference the TDL number when issuing modifications associated with TDLs, including incremental funding modifications;

(21) When CPARs are required, ensure all individuals involved with monitoring contractor performance understand their role and responsibilities; and

(22) Review, approve or reject same or similar text as provided in enclosure (4) to track the dates deliverables are submitted. Ensure this documentation is attached in the CORT Tool with the COR Monthly Report, as required.

c. CORs shall:

- (1) Complete the required COR training or refresher training prior to contract award;
- (2) Complete the OGE Form 450;
- (3) Register and create a COR profile in the DOD CORT Tool;
- (4) Read the contract and understand the terms and conditions that are applicable to the assigned COR duties and responsibilities;
- (5) Read the CAP;
- (6) Read reference (b) located from the DOD Issuances Website at <http://www.dtic.mil/whs/directives>;
- (7) Perform the duties and comply with the responsibilities and limitations specified in the COR designation (appointment) letter, including the documentation of actions taken under such delegation of authority;
- (8) Inform the PCO when they will be unavailable to perform his or her duties;
- (9) Maintain an arms-length relationship with contractor employees;
- (10) Identify new contract requirements and changes as they occur;
- (11) Avoid conflicts of interest or any appearance of conflicts of interest. If a conflict or the perception of a conflict of interest develops, notify the appointing PCO, nominating official, and deputy agency's ethics official immediately;
- (12) Adhere to the statutes and regulations governing the standards of conduct;
- (13) Understand the COR's role and responsibilities in regards to CPARS. If assigned as the assessing official, the COR is responsible to manually input basic contract information into CPARS, initiate the assessment process by entering proposed

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ratings and remarks, and forward assessments to the contractor for review and comments;

(14) Complete an "interim" CPAR, annually in the CPARS AIS within 45 days of the anniversary of the first day of performance under the contract, and complete the "final" CPAR within 45 day of the end of the performance period;

(15) Take the online "Quality and Narrative Writing" training prior to completing the initial CPAR and then annually as a refresher prior to completing subsequent CPARs;

(16) Assign contractor performance evaluation ratings consistent with procedures established in FAR Subpart 42.1503;

(17) Pay particular attention to the timely review of invoices to ensure that labor hours, labor mix, materials (if any), travel and Other Direct Costs (ODCs) identified are consistent and reasonable for the effort completed during the period covered by the invoice. For all cost-reimbursement invoices: (1) validate and confirm prime contractor and subcontractor ODCs, labor hours, and material costs; (2) review the subcontractor back-up documentation associated with each invoice to ensure its validity and reasonableness; and (3) verify receipt of all services claimed to have been provided on an invoice. If a contractor refuses to provide cost and back-up information, or the information provided is insufficient, contact the contracting officer immediately. Update the "Comment" section of the WAWF document to annotate Receipt and Acceptance and annotate such language as "Acknowledged Receipt and Acceptance of Goods Received and/or Services Rendered Without Exception." This language or similar language is to be annotated in the "Comment" section, only if the goods (supplies) received and the services rendered conform to the contract requirements. It is not necessary to use the comment section for 2-in-1 and combo invoices because they have a specific receipt and acknowledgement section within. Retain any documentation used to validate Receipt and Acceptance. For non-conforming goods, immediately notify the vendor/contractor. Upon completion of the review, prepare the Contractor Invoice Review Form, available on CKS/Forms Library under the subheading "COR/ACOR Forms" at <https://www.navsup.navy.mil/cks/referencelibrary>, and submit copies to the PCO/ACO (ordering officer and DCAA);

(18) Submit a written report to the PCO (and ordering officer) on contractor performance, if CPARS is not required.

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This report shall be submitted 60 days prior to contract (task/delivery order) completion, but in no event, less than annually. This report may be compiled from the COR file documentation and should address all aspects of contractor performance including cost effectiveness, quality, and timeliness. A sample COR report of the contractor's performance is available on CKS/Forms Library under the subheading "COR/ACOR Forms" at <https://www.navsup.navy.mil/cks/referencelibrary>;

(19) NOT make any commitments or changes that will affect price, quality, quantity, delivery, or any other term or condition of the contract;

(20) NOT issue delivery/task orders;

(21) NOT change or give the appearance of changing the intent or substance of an order or contract;

(22) NOT perform their duties in a manner that would suggest the contract is a vehicle for personal services;

(23) NOT interfere with contractor's dealings with organized labor, subcontractors or with the contractor's personnel practices;

(24) NOT receive, inspect and accept supplies or services resulting from a requirement that the COR initiated (see additional information per paragraph 6 above on Limitations and Restrictions);

(25) NOT duplicate the authority delegated to DCAA per DFARS 242.803; e.g., audit and approve interim vouchers for provisional payment;

(26) NOT appoint, designate, re-designate or sub-designate COR duties/responsibilities to other persons; and

(27) Maintain a COR file, by contract and/or task/delivery order which contains documentation relative to the actions taken by the COR. COR files shall be available for review by the PCO, Inspector General, U.S. Government Accountability Office, internal review officials, or other officials, as authorized by the PCO. A complete COR file should contain the following documentation:

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(a) Copy of the original COR appointment letter (signed by the PCO and acknowledged by the COR and the nominating official).

(b) Documentation supporting completion of COR training.

(c) A copy of the procurement request(s) with SOW/PWS Independent Government Estimates.

(d) A copy of the request for proposal and all amendments.

(e) A copy of the contractor's technical proposal.

(f) Copies of pre-award correspondence.

(g) A copy of the contract/order and all modifications.

(h) A copy of all correspondence, including e-mails between COR and the contractor, contracting officer and/or ordering officer, and other Government officials involved in the contract and/or delivery/task order.

(i) A record of all Government Furnished Property, the date provided to the contractor, and the condition of the property when provided.

(j) A copy of the CAP.

(k) Copies of DD Form 254, Security Specification.

(l) Name, position title, phone number, e-mail address and function of every Government person who is providing technical or administrative assistance.

(m) Name, position title, phone number, e-mail address of the alternate COR.

(n) A Quality Assessment Surveillance Plan (QASP) describing when, where and how surveillance is accomplished, and how the results will be used, if applicable.

(o) Copies of the minutes and list of attendees for each contract related meeting.

(p) Copies of test reports (if applicable).

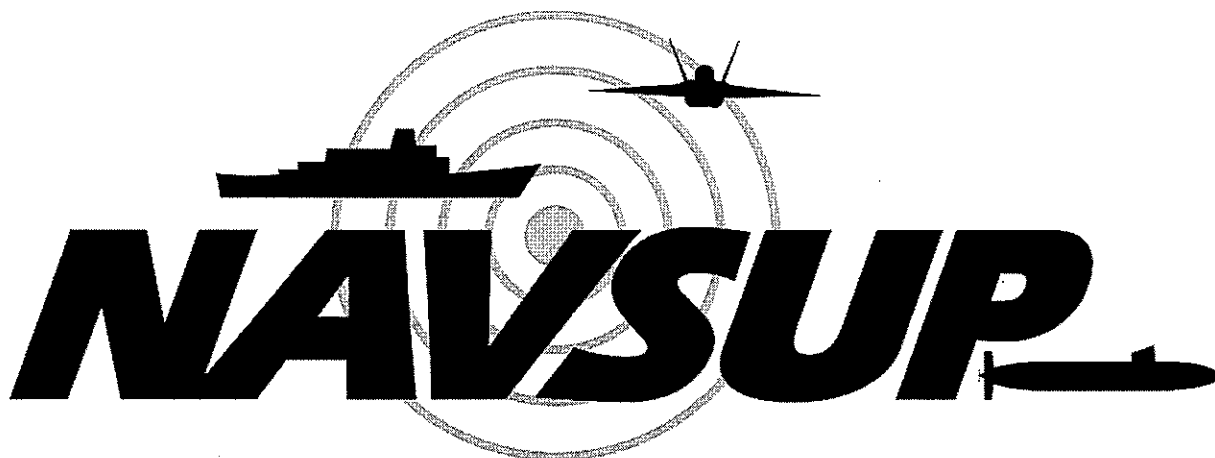
- (q) Contract "diary."
- (r) Government inspector's performance log.
- (s) An outline showing any important dates.
- (t) Contractor inspection procedure and log (if applicable).
- (u) Record of unforeseeable situations, conditions, Acts of God, etc., and any actions taken to minimize adverse consequences.
- (v) A tickler system showing all due dates.
- (w) Copies of all contractor performance reports.
- (x) Descriptions of contractor performance or provisional deficiencies and steps taken to correct them.
- (y) A system of documenting all labor hours, costs, travel dollars authorized and expended.
- (z) Copies of all invoices and receipt documents processed from the contractor.
- (aa) Copies of all receipt and acceptance documents processed.
- (ab) Copy of all TDLs issued.
- (ac) Copy of COR monthly reports and documentation of actual dates deliverables are submitted (if applicable).
- (ad) Any additional supporting documentation.
- (ae) Record of overall contractor performance evaluation at the end of the contract or delivery/task order.
- (af) Letter terminating COR appointment (if applicable).
- (ag) Minutes of the contracting officer's debriefing of the COR at the end of the contract.

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d. Duties that may be assigned to a TA/TPOC shall:

- (1) Identify contractor deficiencies to the COR;
- (2) Review contract/task/delivery order deliverables, recommend acceptance/rejection and provide the COR with documentation to support the recommendation;
- (3) Assist in preparing the final report on contractor performance for the applicable contract/task/delivery order per the format and procedures prescribed by the COR;
- (4) Identify contractor noncompliance with reporting requirements to the COR;
- (5) Evaluate the contractor's proposal for specific delivery/task orders and identify any potential problems, areas of concern or issues to be discussed during negotiations for the COR;
- (6) Review contractor status and progress reports, identify deficiencies to the COR and provide the COR with recommendations regarding acceptance, rejection and/or Government technical clarification requests;
- (7) Review invoices for the appropriate mix of types and quantities of labor, materials and ODCs, and provide the COR with recommendations to facilitate COR timely review of the invoice;
- (8) Provide the COR with timely input regarding technical clarifications for the SOW, possible technical direction to provide the contractor and recommend corrective actions; and
- (9) Provide detailed written reports of any trip, meeting or conversation to the COR subsequent to any interface between the TA/TPOC and the contractor.

**NAVSUP CONTRACTING OFFICER'S
REPRESENTATIVE (COR) HUSBANDING
SERVICE PROVIDER COR PROCEDURES**



NAVAL SUPPLY SYSTEMS COMMAND

FEB 02 2018

NAVSUP HSP COR GUIDANCE & PROCEDURES

1. Purpose. To provide additional policy and guidance addressing the designation (appointment), responsibilities, limitation of authority, and oversight of a Contracting Officer's Representative (COR) for Husbanding Service Provider (HSP) contracts herein referred to as a HSP COR.
2. Addendum. This enclosure serves as an addendum to the Naval Supply Systems Command (NAVSUP) Contracting Handbook, Exhibit 12, NAVSUP Contracting Officer's Representative (COR) Instruction. It does not replace the information in the basic instruction which applies to all CORs. It provides additional information, greater clarity and granularity of CORs specifically assigned to HSP contracts.
3. Scope and Applicability. This applies to all Navy Field Contracting System (NFCS) activities and to all requiring activities with CORs appointed by NFCS Procuring Contracting Officers (PCO) to HSP contracts. Where guidance in the basic instruction conflicts with this guidance for actions supporting an HSP contract, this addendum prevails.
4. Definitions
 - a. Fleet Requirements Review. Fleet CORs and other personnel review the ship's Logistics Requirement (LOGREQ) request in accordance with specific Fleet validation guidance. This may be accomplished by the COR reviewing LOGREQs for port visits (PV) or may involve a more structured process. Fleet LOGREQ validation creates the requirement and the Exhibit Line Item (ELIN) spreadsheet the Fleet Logistics Center (FLC) contracting office will use to award task orders.
 - b. Husbanding Contract. A contract to provide logistic support services and/or supplies for ship PVs throughout the world. Support is provided by HSP for Navy vessels entering U.S. and non-U.S. Navy facilities.
 - c. Husbanding Services. Logistics services specifically associated with ship PVs and procured utilizing FLC HSP contracts. Services are identified in the LOGREQ, ELIN spreadsheet and HSP Contract Line Item Number (CLIN) structure.

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These services include such things as trash removal, sewage removal, oily waste removal, fresh potable water, afloat and overland cargo movement, crane and forklift services, water taxi services, land transportation (buses, vans), communications (land lines and cell phones), pilot/tugs/line handlers, berthing, fenders and camels, brows, paint float rental, force protection barriers/personnel/supplies, etc.

d. HSP. Contractors responsible for providing husbanding services for U.S. naval ships. NAVSUP, through the regional FLCs, is responsible for the solicitation, award, and monitoring of services for all husbanding contracts used by the U.S. Navy. HSPs are not "Husbanding Agents" or "Agents" as they are not U.S. Government employees and have no authority to create or modify obligations for U.S. Government.

e. LOGREQ. A naval message that the ship submits to request services for a scheduled PV. Follows the fleet approved LOGREQ format. Subsequently serves as a requirement to the FLC after COR review. It will then be used as the basis for a Request for Task Order Proposal (RTOP) under multiple award Indefinite Delivery-Indefinite Quantity (IDIQ) contracts.

f. PV Checklist, DD Form 250 Material Inspection and Receiving Report and Daily Reconciliation summary. The PV Checklist is a document that matches the paragraph structure of the LOGREQ and will allow documentation of performance issues. The ship will utilize the document to inspect and receive services throughout a PV. The ship's Supply Officer (SUPPO) will reconcile the checklist against the delivery document/tickets and submit both to the COR for reconciliation and acceptance. The Daily Reconciliation summary documents the daily services received. The COR must utilize the checklist when completing PV Quality Assurance Surveillance Plan (QASP) review and Contract Performance Appraisal Reporting System (CPARS) assessments. The DD Form 250 Material Inspection and Receiving Report reflects the actual CLIN and ELIN structure of the task order and is used to reflect the actual quantities of supplies/services required in the task order and then subsequently provided by the vendor.

g. Requiring Activity. Fleets are the requiring activity for the regional HSP contracts and develop standardized LOGREQs to serve as the basis for the contract CLIN structure. The Fleet will nominate CORs for the HSP contract(s) that will subsequently be assigned to support individual PVs. The ship is the activity that establishes and identifies the need for

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individual PV requirements via the LOGREQ and is responsible for developing the LOGREQ specific to their PV. This port specific LOGREQ will be reviewed or validated by the COR before being passed to the contracting office. In turn, the PCO or Ordering Officer (OO) will award a firm fixed price (FFP) task order under one of the IDIQ HSP contracts. The ship will not nominate CORs for assignment to task orders, but will provide Technical Assistants (TA) to support the PCO assigned COR.

h. TA. The requesting/serviced ship's SUPPO and other ship's personnel may be assigned to provide technical/administrative assistance to the COR and may serve to inspect and receive goods and services provided by the contractor on the PV Checklist. TAs do not have the authority to provide any technical direction or clarification directly to the contractor.

i. Tracking Deliverables. HSP CORs and the ship's personnel will utilize the PV Checklist to track the actual dates deliverables were submitted and any changes to these deliverables. The SUPPO will provide this PV Checklist, DD Form 250 Material Inspection and Receiving Report, Daily Reconciliation Summary, and supporting documentation to the COR for acceptance.

5. Policy

a. COR Designation (Appointment). Applicable regional FLC PCOs shall appoint a properly trained COR in writing prior to awarding all HSP contracts and task orders.

b. COR Qualifications. PCO must ensure the nominee has achieved the mandatory competencies and experience/training requirements for designation as a COR as detailed in enclosure (1), NAVSUP Contracting Officer's Representative (COR) Standards as Type C work, that is unique contract requirements necessitating specialized training or knowledge for COR duties/responsibilities of increased complexity. The specialized knowledge required of HSP CORs includes the following:

(1) Knowledge of the terms and condition set forth in all current husbanding service contracts.

(2) Knowledge of the contract performance evaluation methods and surveillance plans outlined in the Husbanding Services QASP.

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(3) Ability to explain requirements and prepare written guidance and decisions relating to ship PV requirements.

(4) Comprehensive knowledge of the broad field of logistics as it relates to Navy afloat units and ability to apply that knowledge to analyze and evaluate effectiveness and efficiency of operations and to resolve difficult problems identified within the contracting processes, work methods and day-to-day operational procedures.

(5) Fleet customer support and fleet logistics experience; knowledgeable of principles, concepts, and practices for management of goods and services required for supporting the fleet.

(6) Because of the uniqueness of the HSP COR's role, all CORs minimum training will include both the CLC 106 (COR With A Mission Focus) and CLC 222 (Online Training for Contracting Officer's Representatives) courses. In addition to the initial and refresher Defense Acquisition University course/COR specific training requirements, HSP CORs must complete annual training for Acquisition Ethics and Combating Trafficking in Persons. It is important that HSP CORs maintain an arms-length relationship with HSP contractors to ensure no financial conflict of interest. HSP CORs must complete an OGE Form 450 Confidential Financial Disclosure Report. CORs must remain vigilant to identify unethical business or illegal labor practices of contractors.

c. Contract Administration Plan (CAP). All HSP contracts shall utilize a standard CAP for Fixed Price, IDIQ contracts that standardizes, aligns and delineates ordering, administration and contract surveillance activities specific to HSP contracts and HSP contract CORs. CAP information relevant specifically to HSP contracts:

(1) Contract Type: HSP contracts are FFP, with standard priced CLINs. Most single award contracts have been replaced with multiple award contracts.

(2) PCO: The PCO is located at the FLC Contracting Department or Contracting Detachment and is responsible for all pre-award duties to solicit, negotiate and award full and open competitive single or multiple-award FFP IDIQ type regional contracts and providing support for fleet PV requirements in respective theaters of operation.

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(3) HSP vendors submit delivery/receipt documents to the ship SUPPO. SUPPOs ensure proper receipt inspection for quality, quantity, and price are conducted. SUPPOs also ensure daily reconciliation of vendor delivery/receipt documents and actual supplies and services received, using the Daily Reconciliation Summary (sample or template available on Logistics Support Services Repository (LogSSR)). All documentation will be maintained in the SUPPO's PV file as well as being electronically uploaded into Invoice Review and Approval/Inspection and Acceptance of Services (iRAPT) with the DD Form 250 Material Inspection and Receiving Report. (SUPPOs are NOT to sign copies of the vendor invoices which could be misconstrued by the contractor as acknowledging receipt and acceptance.)

(4) SUPPOs submit a Daily Reconciliation Summary, PV Checklist, and DD Form 250 Material Inspection and Receiving Report to the COR. The report shall include the following:

(a) The data elements included on the DD Form 250 Material Inspection and Receiving Report.

(b) Copies of all government and vendor provided documentation for supplies and services ordered and received. If any documentation is lacking, annotate it on the DD Form 250 Material Inspection and Receiving Report with any comments concerning vendor performance. The SUPPO should retain copies of all government and vendor provided documentation for supplies and services ordered and received in their PV file.

(5) The OO is generally located at the servicing FLC and is responsible for processing fleet validated, Logistics Support Representative (LSR) screened and COR verified ship LOGREQs and attached ELIN spreadsheets for task orders against FFP IDIQ regional HSP service contracts for PV services. The PCO and OO may be the same individual, but in no case shall the COR or the ship SUPPO perform the duties of the OO.

(6) The COR shall review all documents provided by the HSP, and the OO and upon review will forward them to the Type Command (TYCOM) Local Processing Office (LPO), stating that the documents have been reviewed, and whether or not any irregularities were identified. As the Certifying Officer CO, the LPO will certify the HSP submitted invoice and DD Form 250 Material Inspection and Receiving Report after the COR has accepted supplies and services.

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(7) The COR is responsible for technical interface with the HSP contractor and the performance of duties related to contract surveillance, invoice review, and acceptance of delivered supplies and services, per contract modifications/orders, and administration as described below.

(a) Contract Surveillance. A standard PV Checklist serves as the primary input to task order QASPs. The QASP identifies performance requirements for standard tasks with delineated assessment methods, frequency of assessment, and acceptable quality levels for performance. Ships will fill out PV Checklists and return with the vendor's delivery documents noting services received and quality of performance. The PV Checklist and QASP can be utilized to support Contractor Performance Assessment Reporting System (CPARS) evaluations or substantiate concurrence, partial concurrence, or rejection of contractor services and partial payments of invoices.

(b) CPARS. Each PV is serviced by individual task orders for which the contractor will be evaluated at the contract level annually in CPARS to provide comprehensive past performance evaluation information that can be accessed in evaluating contractors for future HSP and other contract awards. CORs will be assigned Assessing Official (AO) roles in CPARS to write evaluations and review contractor comments. CORs must utilize QASP evaluations to support their CPARS ratings. PCOs will be assigned as Reviewing Officials in CPARS.

(c) iRAPT. HSP contractors submit delivery/receipt documents to ship SUPPOs as documentation for services rendered and/or supplies delivered. HSP contractors submit invoices directly to CORs and submit invoice data into iRAPT Wide Area Workflow (WAWF). CORs reconcile contract task order, DD Form 250 Material Inspection and Receiving Report, HSP invoices and all supporting documentation to accept supplies and services for payment. After reconciliation CORs approve in iRAPT WAWF and forward to TYCOM LPO for payment.

(d) Contract Task Orders. HSP task order process is initiated when a ship submits a LOGREQ to request husbanding services for scheduled PVs. CORs screen LOGREQs to identify in-scope, out of scope, and non-standard requirements against the regional HSP contract. For non-standard requirements, the COR will request the SUPPO obtain a LOGREQ deviation approval. Once approval is obtained, the COR will forward the LOGREQ and the

ELIN spreadsheet, with quantities of each service requested filled in, to the OO/PCO.

(e) Contract Modifications. Only appointed PCOs/OOs are authorized to execute contract modifications. Generally modifications will be executed due to changes in services or quantities being requested by the ship. Ship requests must be verified by the COR. Once properly verified by the COR, the PCO/OO will act on the request. Additionally, CORs may request PCOs/OOs unilaterally execute task order modifications to adjust quantities to reflect actual volumetric services used during a PV. Simultaneously, any excess funds will be removed from the task order.

d. Limitations and Restrictions. A professional, well-trained, knowledgeable and responsive HSP COR is central to achieving increased oversight of HSP contracts and contractors. The HSP COR performs a critical role in identifying standard and non-standard PV requirements and assessing contractor delivery and performance with a vigilant eye towards ethical business practices. In the fulfillment of these responsibilities, CORs shall:

(1) Not deviate from standardized processes in receiving and validating PV requirements and invoices without expressed approval from the Numbered Fleet Commanders (N41) and PCO.

(2) Not accept invoices for payment without receipt and reconciliation with a properly completed DD Form 250 Material Inspection and Receiving Report from the ship.

(3) Not delay in completing QASP reviews to document contractor performance for each PV.

(4) Not provide CPARS assessments for contractors that are inconsistent with PV Checklists and QASP reviews.

(5) Not inflate HSP contractor assessments in QASP reviews or CPARS assessments.

(6) Qualitatively perform their routine and enhanced responsibilities. The COR nominating official and the PCO shall certify the following prior to COR appointment:

(a) Assigned COR functions and responsibilities are the primary functions and responsibilities for the individual appointed as an HSP COR.

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(b) Ship SUPPOs or other ship crew members are not assigned as HSP contract CORs.

(c) HSP CORs are not assigned as OOs.

e. Receipt Inspectors. The afloat unit Commanding Officer (CO) shall designate receipt inspectors in writing. Receipt inspectors should be representatives from Deck, Engineering, Operations, and Supply Departments that are subject matter experts in the area of services rendered in order to properly verify receipts of volumetric and other services, e.g., Collection, Holding, and Transfer (CHT), potable water, pilotage, tugs, water taxis, buses.

f. Self-Nomination Process. CORs must self-nominate through the Contracting Officer's Representative Tracking (CORT) Tool on the iRAPT WAWF website (<https://wawf.eb.mil/xhtml/unauth/home/login.xhtml>). CORs will certify in iRAPT WAWF their understanding of basic COR responsibilities including training requirements, reporting to the PCO in the CORT Tool (if required), and an annual administrative review.

g. COR Supervisor Process. The Numbered Fleet shall identify and provide a professional, full-time COR for HSP regional contracts to the FLC PCO. Commander, U.S. Fleet Forces Command and Commander, Pacific Fleet are resource sponsors for CORs. The COR can be physically located at the regional FLC. The Fleet COR Supervisor shall ensure all training and qualification requirements are current and annually updated according to the training standards identified in enclosure (1). Additionally, the COR Supervisor shall ensure the nominated COR meets all qualifications identified in paragraph 4.b above.

6. Responsibilities

a. Nominating Official/Numbered Fleet shall:

(1) Ensure COR duties and responsibilities are the primary responsibilities of an individual's position description and that the individual nominated (or hired) to perform the function of regional HSP contract COR is adequately trained, skilled and qualified.

(2) Provide timely notice to the PCO when the COR must be replaced or the appointment terminated. In no case shall the Fleet/Requiring Activity allow their HSP COR position to go

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unfilled or someone performing as the HSP COR to do so without proper appointment in writing.

(3) Identify and standardize to the greatest extent possible repetitive and similar PV requirements applicable to the fleet units and incorporate these in the LOGREQ, so that standard, priced CLINs can be developed and negotiated by the PCO for inclusion in HSP contracts and properly administered according to the standard CAP for HSP contracts.

b. PCOs shall:

(1) Ensure the requiring activity submits proper Requests for Contractual Procurement for regional HSP contracts with services delineated in the statement of work.

(2) Ensure the technical review board and/or COR utilize past performance information from the Past Performance Information Retrieval System and/or other sources evaluate contractor offers for husbanding solicitations.

(3) Award single or multiple award FFP IDIQ contracts with fixed priced CLINs for regional husbanding services.

(4) Place orders (IAW Policy) validated by the Fleet Requirements Review Board for individual LOGREQs. Accept the validated LOGREQ and ELIN spreadsheet populated with quantities from the COR for use to award a task order against the regional IDIQ(s).

(5) Utilize the standard HSP CAP in all contracts for husbanding services.

(6) Verify the nominated COR has achieved the required competencies and experience/training requirements detailed in NAVSUP COR Standards (enclosure (1)) and this enclosure specific to HSP CORs.

(7) Immediately notify the Numbered Fleet and FLC chain of command if the COR nominee or subsequently appointed COR is deficient in qualifications or training.

(8) Utilize the standard QASP for HSP contracts and ensure the HSP COR is submitting required QASP reviews at the task order level following each PV.

(9) Ensure the HSP COR is trained and understands the

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Assessing Official's role and responsibilities in CPARS and provides input / or conducts timely assessments for all HSP contracts.

(10) Perform the role of Reviewing Official for all HSP contracts in CPARS.

(11) Periodically review completed PV Checklists deliverables.

c. CORs shall:

(1) Take actions intended to ensure that HSP contracts are adequate to meet the demand for designated logistics requirements of Fleet afloat units. Specific responsibilities include:

(a) Collaborate with Numbered Fleet staff, particularly Logistics and Operations Departments, as well as with FLC Operations Department, Logistics Support Center (LSC) (Code 430) to understand the needs of fleet afloat units.

(b) Collaborate with the FLC LSC, particularly with the LSR, to understand availability and limitations of logistics services at regional ports.

(c) Utilize historical records of logistics services procured from HSPs to enhance understanding of future requirements and availability of services at regional ports. Actively participate in conducting market research.

(d) Collaborate with the FLC Contracting Department and Contracting Detachments to review demand and potential demand for logistics services, availability of services, and sufficiency of contract vehicles to procure the logistics services necessary to meet the demand at various ports.

(e) Collaborate with the FLC PCO to recommend contract modifications or other administrative contract actions to improve the capacity of contract vehicles to procure required logistics services or protect the government's interests more effectively.

(f) Provide technical advice, recommendations, and clarification of Performance Work Statement requirements, as needed.

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(g) Provide business information intelligence to the FLC PCO to enable the PCO to negotiate with potential HSPs for services not yet placed within the scope of the existing contract or not yet available at a particular port of interest.

(2) Monitor, analyze, and document HSP performance against contractual obligations and best business practices in providing logistics requirements of Numbered Fleet units. Specific responsibilities include:

(a) Assess the adequacy of each HSP contract for its QASP and propose contract modifications to improve the QASP if needed.

(b) Maintain an arms-length relationship with contractor employees, maintaining vigilance toward unethical business or illegal labor practices of HSP contractor employees. Notify the PCO and the afloat unit customer of any issues, if applicable.

(c) Monitor HSP performance and any services that either exceed or fall short of the quality and timeliness specified in the contract, as measured by the QASP. Inform the HSP of failures to comply with the technical requirements of the contract and inform the PCO of any such failures. Coordinate any corrective actions with the PCO at the contract and task order level.

(d) Analyze HSP performance regarding delivery of items by identifying and defining trends, including frequency of specific performance issues, and noting exceptionally strong or weak performance. Collaborate with the FLC LSC to understand the root causes for negative trends or problems with performance. The COR must take into account whether the afloat unit adhered to prescribed practices necessary to allow the HSP to perform to contractual standards.

(e) Document HSP performance that reflects the performance of the HSP in meeting contractual responsibilities. Coordinate with the PCO on the content of any contractually significant correspondence addressed to the contractor. Documentation includes, but is not limited to:

1. Providing information as prescribed in the QASP for PV QASP review and annual CPARS assessments. (Fleets may have a single point of contact coordinate with individual CORs to prepare the CPARS reports.)

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2. Conducting formal and informal meetings with the HSP to discuss contract performance, resolve problems, and make plans and adjustments to refine methods, processes and techniques to be used to satisfy fleet requirements.

3. Generating and providing copies of any meeting minutes to the PCO after attending meetings, conferences, seminars, or discussions with the HSP.

4. Informing the PCO and the HSP when the HSP fails to comply with the technical requirements of the contract. This notice should be coordinated with the PCO prior to submitting to HSP and may be provided via formal and informal methods, depending on the scope and nature of the failure to comply.

5. Informing the PCO and the HSP when the HSP makes or fails to make corrections for failed compliance. Failures to comply with informal notices shall immediately be followed by a formal notice to comply with a deadline for compliance identified in accordance with contract terms and conditions. All notices to HSP must be coordinated with the PCO prior to submitting to HSP.

6. Ensuring the integrity of any database information.

(f) Evaluate port cost data on a quantitative and qualitative basis to include trends and projections.

(3) Provide both direct and indirect support to Numbered Fleet afloat unit PVs as required. The required support may include:

(a) Reviewing the LOGREQ for compliance with fleet policy. Identify and address non-standard and out-of-scope LOGREQ requirements. Utilize ship's LOGREQ to populate quantities on ELIN spreadsheets for the OO to use with the RTOP.

(b) Performing final acceptance of all work required under the contract, including the review and approval of reports.

(c) Facilitating the submission of receipts, DD Form 250 Material Inspection and Receiving Report, invoices for payment purposes.

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(d) Tracking the extent to which the HSP provides a timely invoice in iRAPT in accordance with the terms of the contract.

(e) Reviewing and reconciling the HSP invoices, vouchers, and any other supplemental billing documentation after the afloat unit's departure from port.

(f) Providing training as required to TAs in performing their duties effectively. Training may focus on contract updates, performance delivery information, fleet LOGREQ submission standards, and other information required to successfully support an afloat unit PV.

(g) Liaison between the afloat unit and HSP when problems arise. Be careful of limitations in providing direction to the contractor. Only the PCO is authorized to make changes to the contract/task order.

(h) Providing technical advice, recommendation, and clarification of the requirements for the afloat unit.

(4) Maintain a COR file with full documentation of all actions pertaining to procurement and evaluation of HSP services and make the resultant information available to the PCO. At a minimum, the COR will maintain a file for the basic contract(s) and files for each task order. Certain items must also be stored electronically as noted below.

(a) COR basic contract file shall include:

1. Copy of the original COR appointment letter, signed by the PCO and acknowledged by the COR, the nominating official, and the HSP, must be processed through and maintained in the CORT tool. The HSP vendor's signature is for their acknowledgement only - they do not approve the appointment. Documentation supporting completion of initial and annual COR training must also be maintained in CORT.

2. Records of conversations with the HSP to include emails, records of telephone conferences, conferences, seminars, and all other correspondence as it relates to the basic contract.

3. Copy of any correspondence sent to the HSP as it relates to the basic contract.

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4. Copy of the CAP.

5. Copy of the QASP template describing when, where, and how surveillance is accomplished, and how the results will be used.

6. Listing of name, position title, phone number, email address and function of every Government person who is providing technical or administrative assistance.

7. Name, position title, phone number, email address of other CORs assigned to contract.

8. A tickler system showing important due dates, e.g., CPARS input.

9. Record of overall contractor performance, i.e., CPARS report.

(b) COR Task Order file shall include:

1. LOGREQ, PV Checklist, DD Form 250 Material Inspection and Receiving Report, Daily Reconciliation Summary and invoices/vouchers received.

2. Copy of awarded task order. The appointed COR should be identified in Section G.

3. All contract correspondence records of COR review, analysis, inspections, decisions, and any other documentation of HSP performance.

4. Records of conversations with the HSP to include emails, records of telephone conferences, conferences, seminars, and all other correspondence as it relates to a specific PV/task order.

5. Copy of any correspondence sent to the HSP as it relates to specific PV/task order.

6. Record of contractor performance, i.e. completed QASP for PV.

7. Metrics records for the QASP and documentation to substantiate the metrics and any market research projects.

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8. Listing of name and position title of ship's personnel who is assisted with the receipt process.

9. Log books, checklists or notes of PV, and timeline showing important dates.

(5) Perform other duties as assigned by the PCO.

d. Supply Officers and Receipt Inspectors shall:

(1) Complete and maintain any training requirements stipulated for proper performance of assigned duties.

(2) Receive appointment letter, from Ship's Commanding Officer and sign acknowledgement of proper and ethical performance of assigned duties.

(3) Generate and complete the PV checklist and daily reconciliation summary as the HSP provides services throughout the PV.

(4) Understand the delivery service requirements of the task order for the PV. Inspect and receive supplies and services on the PV Checklist and notify the HSP COR when the contractor is non-compliant with service standards.

(5) Remain vigilant for unethical business or illegal labor practices of HSP contractor employees. Immediately report any irregularities to the ship's chain of command and the HSP contract COR.

(6) Reconcile HSP delivery documentation against the PV checklist and review for propriety of charges.

(7) Assist the COR with information necessary to complete the QASP for the PV.

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**Military Sealift Command (MSC) (specific) HSP COR GUIDANCE &
PROCEDURES**

1. Definitions

a. Back End COR. A COR supporting the bill payment and PV close out portion of MSC Government Owned and Government Operated (GOGO) ships PVs. The Back End process starts upon the MSC ship departing a HSP PV and ends after paying all invoices and the KO closes out the PV Task Order.

b. Front End COR. A COR supporting the planning and execution portion of MSC GOGO ships PVs. The Front End process concludes upon the ship departing the port. MSC has front end CORs in its MSC Far East Area Command in Singapore. The remaining CORs supporting the Off-Ship Bill Payment (OSBP) front end process are Numbered Fleet CORs.

2. Policy

a. The MSC HSP OSBP process is a two-stage model that requires Front End and Back End functions supported by Front End and Back End CORs whose roles and responsibilities are separate but complementary. Accordingly, the PV files are maintained separately based on the functions associated with the front end and back end COR processes. Both front end and back end CORs support the same COR processes as the fleet CORs with a few exceptions.

b. MSC Front End (MSCFE) CORs. MSCFE CORs are located in MSC's Far East area command in Singapore. The remaining Front End CORs supporting MSC PVs are Fleet CORs, who are located throughout the respective Fleet Area of Operations, normally, but not necessarily, at the numbered Fleet's Headquarters. These CORs support the OSBP front end processes which starts upon receiving a ship LOGREQ and concludes upon the end of the PV.

c. MSCFE Front End COR Designation (Appointment). Applicable NAVSUP FLC PCOs shall appoint a properly trained COR in writing prior to awarding all HSP contracts and task orders.

(1) To request appointment, CORs must self-nominate through the CORT Tool on the iRAPT WAWF website and certify in iRAPT WAWF their understanding of basic COR responsibilities including training requirements, reporting to the PCO in the CORT Tool, if required, and an annual administrative review.

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(2) MSCFE COR appointment letter copies will be filed at MSC and with the MSC Norfolk N41 HSP Seventh Fleet COR Lead.

d. LOGREQ Review. The MSCFE or Numbered Fleet COR is the review and approval authority for all MSC Ships LOGREQ request and LOGREQ change messages for commercial or hybrid PV services.

(1) Upon receipt of the LOGREQ or LOGREQ change, the COR reviews and compares the services and quantities of services requested to an applicable MSC approved ship-class Standard LOGREQ (SLR), verifying requested PV services are per the SLR.

(2) The MSCFE COR or Number Fleet COR initiates a PV file and retains a copy of the submitted LOGREQ and any LOGREQ change messages. The PV files will be utilized to retain all pertinent and related correspondence applicable to the PV.

(3) After verifying the LOGREQ, the MSCFE or Numbered Fleet COR provides the LOGREQ to the FLC Contracting Officer (KO), the KO solicits HSP's and awards a PV task order authorizing HSP awardee provide requested services. In ports supported by a Multiple Award Contract (MAC) HSP contract the COR will also use LogSSR to generate and provide the KO with a task order ELIN spreadsheet listing requested services by line item.

(4) The MSCFE or Numbered Fleet COR retains copies of the verification correspondence and the task order ELIN spreadsheet.

e. SLR Deviation. The MSCFE COR is the entry point for ships to submit Deviation Request (DEVREQ) forms for LOGREQ services outside the scope of the applicable SLR's authorized services or quantities. The MSCFE COR will review and clarify any unclear request prior to forwarding the DEVREQ to the MSCFE Commander for approval in Seventh Fleet. Other Area of Responsibilities should follow regional guidance/directives. If a DEVREQ is not received by the MSCFE COR for out of scope LOGREQs, the COR will solicit a DEVREQ form from ships requesting justification and amplifying remarks for the out of scope service(s).

(1) If the DEVREQ is approved, the MSCFE COR or approving authority submits it to the KO in order for the requested services to be included in the PV task order.

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(2) The COR will retain a copy of the completed Deviation Request Forms, MSCFE Commander review, and all other approving documentation requirements in the PV file.

f. PV File. The MSCFE or Numbered Fleet COR will maintain a PV file to document the history of LOGREQ and LOGREQ change verification, deviation request processing, task orders and relevant coordination correspondence.

(1) MSCFE or Numbered Fleet COR PV file retention documents:

- (a) PV Standard LOGREQ
- (b) LOGREQ Change(s) (if applicable).
- (c) Completed Deviation Request Form (if applicable).
- (e) Task order Exhibit A (if applicable).
- (f) FLC generated PV task order.
- (g) FLC generated PV task order modifications.
- (h) Pertinent PV emails and records of communication, from FLC KO, FLC Logistics Support Representatives, N41 Back End COR, and HSP Vendor, as applicable.

(2) The retention period for the PV file is 10 years.

g. Standard LOGREQ Library. The MSCFE or Numbered Fleet COR will maintain the MSC Seventh Fleet Standard LOGREQ Library and ensure Standard LOGREQs are reviewed and appropriately updated on an annual basis.

h. MSC Back End CORs. MSC Back End CORs are the second part of MSC two-stage HSP OSBP model and are centrally located in Norfolk, VA at MSC Headquarters. The CORs support the OSBP back end processes which start upon the completion of the ship's PV and ends upon the KO closing out the PV task order.

i. MSC Back End COR Designation (Appointment). MSC Back End CORs will be appointed by the applicable NAVSUP FLC PCOs in writing upon meeting all training requirements and prior to award of HSP task orders.

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(1) To request appointment, CORs must self-nominate through the CORT Tool on the iRAPT WAWF website and certify in iRAPT WAWF their understanding of basic COR responsibilities including training requirements, reporting to the PCO in the CORT Tool, if required, and an annual administrative review.

(2) MSC COR appointment letter copies will be filed at the MSC Norfolk N41 HSP office.

j. Husbanding Service Receipt, Inspection and Acceptance

(1) The MSC Back End COR supports PVs by administratively performing the receipt, inspection, and acceptance of PV services and performing the three way match of the task order, the DD Form 250 Material Inspection and Receiving Report, and the vendor invoices. When the task order is received in the MSC HSP COR email inbox, the MSC N41 COR leads assign a COR team member to process the back end functions of the ship's PV.

(2) The assigned back end COR will be the coordinator for receiving and processing all electronically generated DD Form 250 Material Inspection and Receiving Reports, accompanying PV Checklists (PVCL), task orders and modifications, in preparation for performing the three way match function and administrative receipt and acceptance functions.

(a) The COR will ensure all back end functions relating to service receipts and invoice payment are completed.

(b) The COR's stakeholders will include the ship's Supply Officer or junior Supply Officer, MSC Comptroller personnel, the HSP vendor, and the supporting FLC or MSC KO.

(c) Communications will be conducted using standardized forms, spreadsheets, and formatted emails to facilitate clarity and brevity.

(3) MSC N41 Electronic PV Folder. The COR will create an electronic outlook folder for each ship's HSP supported commercial PV. This folder will be label with an abbreviated task order number and will be the central repository working file for all electronic documents and correspondence pertaining to the PV.

(4) MSC N41 Manual Paper Folder. The COR will create a paper folder for each PV to serve as a working folder and to

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also aide in audits. The folder's will be labeled, with the contract (KT) number, the task order number, ship name, PV, and Period of Performance (POP)/PV dates. The folder contains at a minimum:

- (a) Task order Folder Checklist
- (b) Task order and task order modifications
- (c) Pricing exhibit from task order
- (d) DD Form 250 Material Inspection and Receiving Report
- (e) Vendor Invoice and supplementary documents
- (f) PV Checklist
- (g) Invoice Payment Vouchers

(5) MSC Share Point Husbanding Database. The COR will create an electronic record in share point, documenting the PV and also to provide data for analysis and metrics reporting. The data provided will include the task order number, name of the port, ship, period of performance, and date of receipt of all pertinent receipt documents and invoice and payment information.

k. Three Way Match

(1) The MSC N41 COR performs the three way match upon receiving the PV task order, ships DD FORM 250 Material Inspection and Receiving Report, and the vendors invoice in FMS via iRAPT.

(2) The COR conducts a review of all the required documents and reconciles the invoice with the task order and DD FORM 250 Material Inspection and Receiving Report (three-way match).

(3) The COR will initiate actions for either paying the invoice or resolving discrepancies depending on the outcome of the three way match.

l. Task order modifications. The COR will coordinate with appropriate stake holders to make a determination if a task order modification is needed based on a review of applicable documents. A task order modification request spreadsheet will

be completed and submitted to the KO as needed to initiate the modification. If not received within 10 days, a follow-up email is sent to the supporting FLC or MSC KO.

m. Invoice Rejections. If a HSP vendor invoice is incorrect or incomplete, the COR will reject the invoice and initiate discussions with the HSP vendor to resolve the discrepancy.

n. QASP. The MSC Back End COR will generate the QASP for each MSC ship PV. The QASP will be generated based on input from the front end CORs, ship's supply officer or other ship board personnel, and ship's PV documents including the PVCL and DD Form 250 Material Inspection and Receiving Report. The COR will provide QASP information to the PCO as required to complete annual CPARS reviews.

o. De-obligation, Contract Closeout, and Tri-annual review

(1) De-obligation: The COR will ensure that task order modifications are processed by MSC comptroller personnel to de-obligate unused funds assigned to the task order.

(2) Contract Closeout: The MSC COR will notify the KO when all task order modifications have been received and processed, and all invoices have been paid against the task order.

p. Records Archive. The COR will upload all key supporting PV documentation in Total Records Information Management system and the LogSSR. Additionally, the COR will file the hard copy PV folder upon verifying all task order modifications have been received, processed, and all invoices have been properly paid. The COR team lead archives the PV folder.

**CONTRACT/DELIVERY/TASK ORDER
DELIVERABLES**



NAVAL SUPPLY SYSTEMS COMMAND

CONTRACT/DELIVERY/TASK ORDER DELIVERABLES

COR (Name/Code): _____
Contract/Order Number: _____
Month of _____
(dates From - To)

DELIVERABLE	DELIVERABLE DUE DATE	DATE DELIVERABLE SUBMITTED	MODIFICATION TO DELIVERABLES	COMMENTS

NEXCOM (NAFI) Procedures for Monitoring Contractor Performance



NAVAL SUPPLY SYSTEMS COMMAND

NEXCOM (NAFI) Procedures for Monitoring Contractor Performance

1. This enclosure establishes Non-appropriated Fund (NAF) procedures for monitoring contractor performance throughout the Navy Exchange Service Command (NEXCOM) Enterprise.

2. Procedures

a. General. Monitoring of contractor performance is crucial in assuring that contractors perform in accordance with contract requirements. The most effective way to accomplish this critical responsibility is through the appointment of Contracting Officers' Representatives (CORs) and Alternate CORs (ACORs) located where the contractors perform. Monitoring is facilitated by developing and implementing Contract Administration Plans (CAPs), routinely using Contractor Performance Evaluations to document performance, and ensuring COR/ACOR understanding of roles and responsibilities relative to contract administration.

b. Definitions and Acronyms

(1) Alternate Contracting Officer's Representative (ACOR) - The NEXCOM associate appointed in writing by the KO to perform COR duties in absence of the COR. For the purpose of this instruction, all duties, responsibilities, authority, and limitations of a COR stated herein apply to ACOR.

(2) Contract - An agreement that creates a legal obligation. The elements of a contract are a mutual agreement; between competent parties; for a legal purpose; involving the exchange of legal consideration; and that creates a mutuality of obligation to perform between the parties. The term contract, as used herein, includes without limitation, formal bilateral contracts, purchase orders, consignment sales agreements, amendments and modifications thereto, as well as other agreements entered into by an authorized Contracting Officer acting within his or her authority.

(3) Contract Administration Plan (CAP) - This identifies who is assigned what contract administration functions necessary to assure performance, without duplication of effort. It is an enclosure to the COR Letter of Appointment and establishes COR responsibilities for monitoring contractor-provided services.

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(4) Contracting Officer (KO) - An individual delegated the authority to legally bind the NAFI by entering into, modifying, administering, and terminating contracts.

(5) Contracting Officer's Representative (COR) - The NEXCOM associate appointed by the KO to monitor contractor performance for compliance with contract and provide "technical" advice to the KO and the contractor within the contract scope of work or performance work statement

(6) Contractor - Any legal entity that is awarded a contract. The Contractor is the party responsible for and agrees to furnish supplies and/or services at specified prices/rates and/or to pay the NAFI mutually agreed to commissions and/or fees in conjunction with providing services to NAFI customers under this contract. Contractor may include, but is not limited to the following terms "vendor," "seller," "supplier," "manufacturer," "distributor," "concessionaire" and/or "licensee."

(7) NEXCOM Enterprise - The worldwide retailing operation within the Department of the Navy providing products and services to authorized patrons. NEXCOM, headquartered in Virginia Beach, VA overseas six business lines: Navy Exchanges (NEXs), Navy Lodges, Navy Clothing and Textile Research Facility (NCTRG), Telecommunications Program Office (TPO) Ships Stores, and Uniform Program Management Office (UPMO).

(8) NEXCOM Headquarters - The headquarters of the NEXCOM Enterprise providing management direction and oversight to its subordinate enterprise components.

(9) Nonappropriated Fund Instrumentality (NAFI) - A DoD organizational and fiscal entity supported in whole or in part by nonappropriated funds. A NAFI, as an instrumentality of the U.S. Government, enjoys the same immunities and privileges as the U.S. Government in the absence of a specific Federal statute. It is not incorporated under the law of any State, but has the legal status of an instrumentality of the United States. References to United States, the Government, and other related references will generally be implied to mean the NAFI throughout the contract.

(10) Personal Services Contract - A contract under which the contractor personnel providing the services are subject, either by the contract's terms or by the manner of its

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administration, to the supervision of and/or control by NEXCOM associates. Such contracts are prohibited.

(11) Request for Proposals (RFP) - A written communication of requirements, terms and conditions to prospective contractors to solicit written proposals. Acceptance of a proposal by a contracting officer in response to a RFP creates a binding contract between the parties.

(12) Written or In Writing - Records that are documented on paper or electronically, either by hand or using a keyboard or other device to create a retrievable file. E-mails and facsimile transmissions are considered written records.

c. Contracting Officer's Representative (COR) and Alternate (ACOR)

(1) If a COR is required, the KO will appoint the COR and ACOR before contract award.

(2) For RFP contracting actions, the KO must appoint a COR and ACOR for contracted services that are expected to be performed for longer than six months. Such contract may be for support services (where the NEXCOM Enterprise pays contractor for services rendered), or revenue-generating services (where a commission or license fee is paid to the NEXCOM Enterprise). In general the COR and ACOR should be identified in RFP within the Contracting Officer's Representative (COR) and Alternate (ACOR) clause in Section G - Contract Administration Data.

(3) The KO, at their discretion, may appoint a COR for other types of contracts, e.g., short-term concessions or purchase orders for non-routine or complex services, if the complexity or nature of the services warrants formal oversight.

(4) CORs are not usually required for supply contracts; however, in appropriate cases, the KO may appoint a COR for a supply contract at their discretion.

(5) The KO should appoint an ACOR to act in the absence of the primary COR, to the maximum extent possible. The ACOR shall have the same responsibilities and functions assigned to the COR. COR and ACOR duties are not re-delegable by anyone other than the KO.

d. Appointment Procedures

(1) In general, KOs will appoint a COR based on their position within the organization, e.g., Operations Services Managers (OSMs) are usually assigned as CORs for services contracts, Food Services Managers (FSMs) for food concession/supply contracts, etc., after confirming the appointment with the associate's District Vice President (DVP), Senior Vice President (SVP), Vice President (VP), General Manager (GM), or other authorized supervisor. Otherwise, KOs will appoint a COR based on the associate identified as the most appropriate person to monitor the contractor by the appropriate NEXCOM DVP, SVP, VP, GM, authorized supervisor, or other authorized official if the COR works for another NAFI. Before an official requests that the KO appoint an individual, they must ensure that the individual appointed meets the following criteria:

(a) Has the required experience, e.g., a working knowledge of the services being provided, necessary for performance of COR functions.

(b) Holds a position with a level of responsibility commensurate with the complexity of the contract.

(2) KOs shall issue an Appointment Letter to each COR and ACOR. Each appointment letter, with a copy of the applicable contract and CAP, are to be issued as follows:

(a) For field activities where CORs are generally the same individual for all similar types of contracts, the KO may issue a single Appointment Letter upon placement of that individual into a specific position. For example, upon assuming the position of OSM, that individual may receive an Appointment Letter designating them as the COR for all service-type contracts for that activity/district. The FSM may also receive one Appointment Letter for all food supply/service contracts for the activity/district.

(b) In situations where the above is not practical, the KO will issue individual Appointment Letters for each contract.

(c) The KO shall utilize the appropriate Appointment Letter templates approved for use. One is designed for use in appointing a NEXCOM Enterprise associate, the other to appoint an employee of another NAFI.

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(3) After issuing COR/ACOR Appointment Letters, the KO shall ensure that the prospective COR/ACOR returns the signed document for the contract file. The COR/ACOR's signature will be their certification they:

(a) Understand the duties and responsibilities of their role in providing assistance in administering the contract to which they are appointed.

(b) Are fully aware of the requirement to complete COR training annually.

(c) Know the limitations as described in the paragraph below entitled "COR Authority and Responsibilities."

(d) Are aware of their responsibility to submit a United States Office of Government Ethics OGE Form 450 Confidential Financial Disclosure Report and to complete annual ethics training.

(4) KOs shall appoint a new COR whenever there is a need to terminate a COR's appointment, e.g., due to termination of employment or resignation, transfer, realignment of duties, etc.

(5) KOs are to ensure that prospective offerors are notified that a COR and ACOR will be appointed by including an appropriate clause in the RFP.

d. COR Authority and Responsibilities

(1) General. The COR is responsible for understanding and enforcing contract requirements; serving as "face of the NEXCOM Enterprise" to the contractor; monitoring contractor performance; facilitating successful contract performance; notifying the contractor when performance is not compliant with the contract; advising of performance concerns not addressed after the COR has notified contractor; executing the CAP; and preparing Contractor Performance Evaluations and providing to the KO at least annually. COR duties may include providing direction, discussing meaning of contract specifications or statement of work (SOW), and monitoring progress and quality of contractor performance. In this capacity, the COR must be knowledgeable in the area of performance covered by the contract.

(2) COR monitoring duties include:

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(a) Contractor Performance. The COR is to ensure contractors are performing at a NEXCOM Enterprise facility in accordance with contract requirements. When done consistently and well, this should result in contractor performance at or above expectations. For concession or license-type contracts where contractors sell goods and/or services directly to NEXCOM Enterprise customers/patrons, the COR is to ensure the patrons receive what the contractor has been retained to provide, and that the NEXCOM Enterprise receives income from sales made as agreed to in consideration for use of NEXCOM Enterprise space provided.

(b) Timely Commission/Fee Payments. The COR is to ensure that commissions, license fees, utilities and common area maintenance fees (as applicable), when paid to the local NEXCOM Enterprise activity vice NEXCOM Headquarters Corporate Accounting Center (CAC), are paid on time each month. CORs must know when payments are due and ensure that contractor payments are received by the due date established in the contract. If a contractor fails to make timely payment of commissions due to the NEXCOM Enterprise, the COR must notify the contractor and then immediately notify the KO, so that timely corrective action may be taken to protect NEXCOM Enterprise.

(c) Sales Records. The COR shall ensure gross sales are rung on a NEXCOM Enterprise point-of-sale (POS) terminal and/or are deposited at the "cash cage" every day if the contract so requires. The COR should also ensure that net sales due the contractor are remitted as set forth in the contract (typically monthly, but may be more frequent).

(d) Documenting Performance Issues. The COR should spot-check or survey contractor performance regularly, or at least as frequently as called for in the contract. If the contractor's performance is deficient, the COR should conduct more frequent, random spot-checks or surveys. If performance is marginal or worsens, the COR must document the deficiencies in writing, including performance issues, attempts made to seek contractor compliance with contract terms and conditions, and the results of these efforts. Use of e-mail is strongly encouraged as this is an efficient, effective way to document issues and to ensure timely delivery to the KO. Monitoring a contractor with known performance issues is especially important to ensure that timely steps are taken to implement corrective action or to take other contracting actions including termination if necessary. The COR may also audit the Contractors' financial records and reports if determined

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appropriate. COR must direct such requests to the KO prior to requesting or auditing such records. In the event a contractor is terminated by the KO for default and is delinquent in commissions and/or other fees, the KO may direct the COR to take physical possession of the contractor's property, or to inform the contractor that any removal of property is prohibited. The KO shall comply with all required review and approval requirements before taking termination for default action, to include review by NEXCOM Headquarters Office of Counsel in accordance with NAVSUP Instruction 5801.1 (series) "Referral of Contractual Matters Office of Counsel" and approval by the NEXCOM Contract Review Board.

(e) Contractor Performance Evaluations. The COR shall complete a contractor performance evaluation at least annually. The KO will send the COR a copy of the Contractor Performance Evaluation Survey template at least annually to service as a reminder to the COR of this requirement.

(f) Documentation. Both the COR and the KO must maintain written documentation of contractor performance, especially when issues are encountered. In addition to providing all written communication to the KO for filing in the contract file, the COR shall retain copies of all such documents in a COR file for that contract. In addition to copies of initial and annual COR training certificates, the COR file should also include the COR's appointment letter, a copy of the contract, and CAP.

e. Training and Financial Disclosure. COR/ACORs are required to complete the following annually:

(1) COR training, and maintain a copy of the certificate on file for audit purposes. NEXCOM Enterprise associates that will be required to perform COR duties must complete the NEXCOM Enterprise mandatory on-line COR training before being appointed. This training may be accessed at <https://intranet.nexad.nexweb.us/K/Pages/COR-Training.aspx>. *

* NOTE: For any solicitation indicating that a COR will be appointed to monitor contract performance, the individual(s) that are to be appointed must have completed training within twelve months of the intended award date and must be appointed PRIOR to contract award. Award SHALL BE WITHHELD until a trained COR has been appointed.

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(3) Confidential Financial Disclosure Report (OGE Form 450).

f. COR/ACOR Limitations

(1) As assigned in writing by the KO, authority is limited to providing direction/clarification within the scope of the contract.

(2) Only the KO may re-delegate COR authority.

(3) Only the KO is authorized to request proposals, negotiate prices or obligate the NEXCOM Enterprise. Any obligation a contractor accepts based on the COR's actions is an unauthorized commitment.

(4) The COR must maintain an "arms-length" relationship with the contractor to help ensure services remain non-personal. CORs shall never supervise contractor employees and must avoid actions that could be interpreted as being supervisory in nature. Failure to do so may result in an improper and prohibited Personal Services contract.

(5) The COR does not have the authority to take any action, either directly or indirectly, that could change the contract with regard to: prices or costs; commissions, license fees, or common area maintenance (CAM) charges; quantities; quality; scope of work; delivery schedule; labor mix/contractor employees assigned; delivery or task orders against contract; or any other contract term or condition. Only the KO has the authority to make contract changes to the extent specifically authorized. Any changes required to an existing contract may only be negotiated by the KO based on requirements submitted by a NEXCOM Enterprise associate with authority to do so.

g. Coordination of KO and COR Meeting. The COR shall coordinate/attend meetings/conferences when scheduled or requested by the KO.

(1) The KO shall request such meeting to discuss status and performance under the applicable contracts and to identify and coordinate resolution of problems which arise in contract performance.

(2) Effective communication and a dialogue on essential issues between the KO and COR/ACOR will ensure consistent application of the COR/ACOR function.

h. Contract Administration Plan (CAP)

(1) The KO shall develop a CAP which highlights certain areas of the contract, to assist the COR in properly monitoring the contractor's performance.

(2) The KO shall issue the CAP to the COR along with the Appointment Letter. The CAP will include a summary of the responsibilities of all parties involved in the contract. In the event of a conflict with the contract, the contract requirements will govern.

(3) The KO will tailor each CAP to the particular contract and set forth the extent and method of contract monitoring appropriate for the particular contract. The plan is to address key contract administration functions (quality assurance, contractor performance monitoring, ordering, etc.) and specifically identify which are being assigned to the COR and associates/departments identified.

(4) Several sample CAPs to facilitate preparation by the KO are available. A KO should select the type of CAP that best assures all crucial monitoring functions are assigned and that best meets the specific circumstances of the contract. A CAP should be crafted to give due consideration to the type of contract, the place of performance, the period of performance, and inspection acceptance criteria.

i. Contractor Performance Evaluations

(1) As required by the KO, the COR shall prepare a written Contractor Performance Evaluation Survey, annually or more frequently if required.

(2) The COR shall utilize information from the COR file documentation to complete the Contractor Performance Evaluation Survey to ensure all aspects of contractor performance are addressed.

(3) The COR should pay particular attention to a contractor with known performance problems by monitoring more frequently, thereby ensuring prompt corrective action will be taken in a timely manner.

(4) Where appropriate, the COR may also use the Contractor Performance Evaluation Survey as a convenient tool to facilitate the evaluation process, however, the COR shall

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prepare a more detailed report for contractors with poor performance histories.

(5) The COR is to ensure copies of all reports are retained in the applicable COR file.

j. DVP/GM/SVP Oversight. DVPs, GMs and Single Digit Codes (SDCs) are reminded that proper oversight of CORs/ACORs is a critical responsibility and shall ensure full compliance with these procedures.