

Award File Documentation Checklist for Purchase Orders, or Delivery/Task Orders, or BPA Calls

Purchase Request No.: _____ / _____ Award No.: _____

1. Purchase Request (PR) Package and Acquisition Planning Considerations

The Purchase Request package must contain an NIH-1861 Purchase Request or similar paper or digital form (iProcurement, POTS, AMBIS, CAPS Requisition); Certification of funds ([FAR 32.702](#)); and a [Purchase description, or Statement of Work](#), or Performance Work Statement, as applicable.

- Purchase request reviewed for accuracy including purchase description and/or statement of work
- Required Preapproval for Programmatic Need: _____ on: _____
- Certification of Funds ([FAR 32.702 \(a\)](#)): Approved by: _____ on: _____
- Clearances Obtained [NIH Policy Manual 6307-3 Special Clearance and Other Acquisition Procedures](#)
What Clearance obtained (copy included in file) _____

Additional Considerations (Check All that Apply)

- Evaluation Factors (when necessary)
- Independent Government Cost Estimate (when necessary)
- Sole Source/Limited Source Justification (if applicable)
- Acquisition Strategy per [FAR 39](#) for information technology acquisitions
- Information Security Program Requirements [[checklist](#)] [FAR 39](#) and [HHSAR 339](#)
- Licensing Agreements [NIH Policy Manual 6027](#)
- Data Rights Considerations [FAR 27](#) and [HHSAR 327](#)
- Protection of Individual Privacy
- Accountable property [Object Class Code](#) researched and verified: 31, _____
- Requirement does not contain products/services from Kaspersky or any company that uses [covered telecommunications](#) equipment or services ([FAR 13.201\(i\) & \(j\)](#) and [Section 889\(a\)\(1\)\(A\)](#))

Market Research

- [Market Research](#) (applicable to the requirement—check below any/all that apply)
- Recent market research results from similar or identical requirements were reviewed
- Knowledgeable individuals in Government and industry contacted
- Request for Information (RFI) published in SAM.gov, technical, scientific or business journals
- Databases of contracts queried (e.g. [Interagency Contract Directory](#))
- Acquisition staff participated in communication among industry, acquisition and end-user personnel
- Source lists from other contracting activities, trade associations, or other sources
- Catalogs or online resources of product literature published by mfg., distributors, and/or dealers
- Sources Sought notice published in [eBuy](#) or [SAM.gov](#) and the results are filed herein
- Domestic source identified, if none available:
 - Buy American statute exception applied per [FAR 25.202](#) or Trade Agreement Act cited per [FAR 5.402](#), if exception NA:
 - [Non-availability waiver](#) processed and received

Contract Type

- Firm Fixed Price
- Other Than Fixed Price (Define Contract Type and Explain) ([FAR16.103\(d\)\(1\)](#))

Segregation of Duties Note: 1) The Funds Approving Official may not be the same person as 2) the Contracting Officer or 3) the Receiving Official for this transaction

2. Required and Priority Sources of Supplies, Equipment, and Services [[FAR 8](#)]:

Agencies shall satisfy requirements for [supplies, equipment, and services](#) from or through the sources and publications listed in descending order of priority. The supplies, equipment, or services are available from the following required or priority sources—check all that apply:

Products

YES NO

- Agency Inventories
- Excess from other agencies ([GSAXcess](#))
- Federal Prison Industries, Inc., ([UNICOR](#), [FAR 8.6](#))
- [Ability One \(FAR 8.7\)](#)
- Wholesale Supply Sources ([NIH SC](#), [HHS SSC](#), [GSA Global Supply](#), etc)
- Use of Other Sources ([FAR 8.004](#))**
- NIH FSS BPA, [NIH IDCs](#), [FSSI](#), [GSAAdvantage](#), [GSA FSS](#), GWAC ([NITAAC](#)) or [Multi-Agency Instruments](#)
- NIH OM BPA, Open Market Commercial Sources (including educational and non-profit)

Services

YES NO

- Ability One
- Use of Other Sources ([FAR 8.004](#))**
- UNICOR, NIH FSS BPA, NIH IDCs, [FSSI](#), [GSAAdvantage](#), [GSA FSS](#), GWACs or [Multi-Agency Instruments](#)
- NIH OM BPA, Open Market Commercial Sources (including educational and non-profit)

Provide justification for not using a higher level required or priority source:

3. Green Purchasing [[FAR 23](#)]

YES NO

Does the requirement include:

- U.S.EPA designated items containing recovered materials such as toner cartridges, copier tablet and notepad paper, file folders etc. or services that could include the use of products that contain recovered materials. See [EPA’s list of designated items](#).
- U. S. Department of Agriculture (USDA) designated items containing bio-based products/materials such as cleaning products, lubricants, inks, and shipping containers etc. or services that could include the use of products that contain bio-based materials. See [USDAs list of designated items](#).

- Department of Energy energy-consuming products listed in the [ENERGY STAR](#) or [Federal Energy Management Program \(FEMP\)](#) and [EPEAT](#) such as computers, monitors, copiers & printers, etc.
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4. [508 Compliance](#) [[FAR 39.2](#)]

When acquiring Electronic and Information Technology (EIT)

YES NO NA

- has compliance been ensured or exception documented? Explain “No” below
- has Section 508 been made an evaluation factor?
-

5. Determining NAICS Code and Size Standard for Requirement [[FAR 19.303](#)]

- a. [North American Industrial Classification System](#) (NAICS) _____
- b. [Small Business Size Standard](#): _____ (See [FAR 19.102](#))

6. Publicizing/Dissemination of Information [[FAR 5.101](#)]

- a. **GSA Federal Supply Schedule Fair Opportunity & Limited Source Justification** [[FAR 8.4](#)]
- ≤ MPT(≈ \$10,000)—Use of eBuy not required
 - >MPT to ≤ SAT—Use of eBuy not required if quotations are sought from 3 schedule vendors who can fulfill the requirement in same Category & Special Item Number (SIN) (except Brand Name or LSJ)
 - >SAT—Use of eBuy recommended so that quotations are received from 3 schedule vendors who can fulfill the requirement in the same Category and Special Item Number (SIN) (except Brand Name or LSJ). If fewer than 3 quotes are received, provide written determination IAW [FAR 8.405-1 \(d\)\(3\)\(ii\)](#)
 - Requirements for items peculiar to one manufacturer >\$25,000: RFQ and Justification must be posted to eBuy [FAR 8.405-6\(b\)\(3\)\(i\)](#)
 - Requirements over SAT that limit sources: award notice including Justification posted to SAM.gov IAW [FAR 8.405-6](#) (Sources may be limited in accordance with [FAR 8.405-6\(a\)\(1\)](#))
 - Award Includes Open Market items. Appropriate procedures for Open Market items are followed [FAR Subpart 8.402\(f\)](#) and documented at section 6(c), below or Order Level Materials (OLMs) procedures followed in accordance with [GSA OLMs Guidance/Training](#)
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- b. **Indefinite-Delivery Contract (IDC) Task/Delivery Order** - See vehicle guidance [[Subpart 16.5](#)]

- Fair Notice/Fair Opportunity provided IAW procedures applicable to the specific IDC
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c. **Open Market [FAR 5]**

- Up to \$15,000 Publicizing /Dissemination of Information Not Required
- >\$15,000 ≤ \$25,000
- Quotations were solicited orally IAW [FAR 5.101\(a\) \(2\) \(ii\)](#) therefore displaying of information not required
 - Request for Quotation (RFQ) was posted on _____ Office of Acquisition official “Bid Board” for at least 10 calendar days. Date displayed _____ Date of Award _____ (Include copy of date-stamped RFQ in file)
- >\$25,000 ≤ \$250,000
- Combined Synopsis/Solicitation (Commercial Item) published on SAM.gov for 15 days IAW [FAR 12.603](#). Date published _____
 - Synopsis (Pre-Solicitation) published in SAM.gov for 15 days. Date published _____
 - Solicitation (See Competition Below) published in the SAM.gov for 15 days. Date published _____
 - Notice of Intent to award Sole Source published in SAM.gov for 15 days. Date published _____
 - No synopsis published in accordance with the exceptions authorized at [FAR 5.202](#); State exception below and include justification in file
- Brand Name** Solicitations containing a brand name specifications **must include a justification** ([FAR 13.106-1](#)) (Posting or SAM.gov notice) IAW [FAR 5.102\(a\)\(6\)](#)
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7. Competition [FAR 6]

a. **GSA Federal Supply Schedule (including FSS BPAs) [FAR 8.405]**

- GSA Advantage or pricelists/catalogs from 3 or more FSS contractors surveyed and printed
- Quotations solicited from 3 or more FSS contractors (same group & SIN). See file documentation.
- Only one FSS contractor’s product or service will satisfy requirement or the item is peculiar to one manufacturer. Document the basis for limiting sources [FAR 8.405-6](#). Reminder: the only circumstances that may justify limiting sources: 1) urgent/compelling need, 2) only one source capable, or 3) follow-on to original FSS order [FAR 8.405-6\(a\)](#) or 4) the item is peculiar to one manufacturer ([FAR 8.405-6\(b\)](#)).
- Service Requiring a Statement of Work – RFQ required per [FAR 8.405-2](#); (RFQ in file)
- Additional discounts sought from FSS pricing (recommended under SAT, required over SAT)

- Award Includes Open Market items. Appropriate procedures for Open Market items are followed [FAR Subpart 8.402\(f\)](#) and documented at section 7(c), below or Order Level Materials (OLMs) procedures followed in accordance with [GSA OLM Guidance/Training](#)

b. Indefinite-Delivery Contract (IDC) Task/Delivery Order [FAR 16.5]

- Ordering procedures of _____ GWAC/IDC followed
Multiple Award IDC fair opportunity procedures observed at <MPT. (explain below)
- Exception to Fair Opportunity process [FAR 16.505\(b\)\(2\)](#); document statutory exception below:

c. Open Market (including Open Market BPAs) [FAR Part 12 and FAR Part 13]

- Oral quotations were solicited from _____ vendors and _____ open market quotations were received and are documented on attached [Quotation Abstract](#)
- Written RFQ issued and distributed to three or more open market sources. _____
Quotations received _____ Copies of quotations are included in the file.
- Written RFQ Posted to _____ Office of Acquisition Official Bid Board.
_____ Quotations received. Copies of quotations are included in the file.
- Solicitation posted to SAM.gov (>\$25,000). Printouts of notice included in the contract file.
- Sole Source or Brand Name Justification signed by contracting officer and included in the contract file

8. Evaluation of Quotes or Offers [[FAR 8.405-1\(f\)](#); [8.405-2\(d\)](#); [12.602](#), [13.106-2](#)]

Evaluation was conducted on all responses received using the evaluation criteria provided in the solicitation or RFQ. Price must always be a factor in evaluation. Factors to be included in the RFQ include but are not limited to (price and): (1) past performance; (2) special features; (3) trade-in considerations; (4) life cycle comparison; (5) warranty considerations; (6) maintenance availability; (7) environmental and energy efficiency considerations; and (8) delivery terms. Quotations must be evaluated inclusive of transportation charges from the shipping point of the supplier to the delivery destination.

- Award to be made based on Lowest Price quoted
- Award to be made based on the Lowest Priced Technically Acceptable (LPTA) response
- Award to be made to the response offering best value to the Government considering price & other factors (as stated in the RFQ)
- GSA FSS award: contractors schedule, terms & conditions, and specific offerings have been reviewed to verify that all items on the award are offered on the parent contract.
- For Time and Materials (T&M) or Labor Hours (L/H) Award: Execute a Determination and Findings IAW [FAR 16.601\(d\)\(1\)](#), [FAR 8.404\(h\)\(3\)](#), [FAR 8.405-2\(d\)](#) Including consideration of the level of effort and labor mix proposed to perform a specific task being ordered and for determining that the total price is reasonable.

9. Determination of Fair and Reasonable Price & Award Decision [[FAR 13.106-3](#), [FAR 12.209](#), [FAR 15.402](#)] (Required for all awards >\$5,000)

- a. GSA Federal Supply Schedule Delivery or Task Order (including NIH FSS BPA order)
- Fair and reasonable prices were established in the underlying contract ([FAR 8.404\(d\)](#));
 - Supplies and Services Not Requiring a Statement of Work: Basis of award ([FAR 8.405-1\(g\)\(5\)](#));
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- Services Requiring a Statement of Work: *Document* evaluation methodology used in selecting the contractor to receive the award and rationale for any tradeoffs in making the selection ([FAR 8.405-2\(f\)\(4\) and \(5\)](#));
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- Separate determination for Open Market items or [Order-Level Materials](#) (OLMs) documented below, as necessary
- b. Indefinite Delivery Contract (IDC) Delivery or Task Order ([FAR 16.5](#))
- Fair and reasonable prices were established in the underlying contracts;
 - If the underlying contract did not establish prices, prices were established using the policies and methods in [FAR 15.4](#). Fair and reasonable pricing is based on:
 - Adequate price competition (include in contract file)
 - Other pricing technique. (Include rationale for other pricing technique and price reasonableness determination documentation in the file.)
 - Multiple award IDC order: *Document* rationale for the placement and price of each order, including the basis for award and the rationale for any tradeoffs among cost or price and non-cost considerations [FAR 16.505\(b\)\(7\)](#).
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- c. Open Market (including open market BPAs)
- Price reasonableness based upon competitive quotations or offers ([FAR 13.106-3\(a\)\(1\)](#))
 - If only one response is received, include a statement of price reasonableness based on the following: ([FAR 13.106-3\(a\)\(2\)](#))
 - Market Research; Explain: _____
 - Current price lists, catalogs, or advertisements (Inclusion of price list, etc. does not, by itself, establish a fair and reasonable price).
 - Comparison with similar items in a related industry;
 - Contracting officer's personal knowledge of the item being purchased (explain);
 - Comparison to an independent Government estimate (provide comparison documentation in file)
 - Other reasonable basis: _____

Comparison of the proposed price with prices found reasonable on previous purchases (same or products / services and recent)

Previous Purchases were determined fair and reasonable (complete below as applicable):

A copy of the previous order is in the file (required)

Previous purchase order number: _____

Date of previous purchase order: _____

Method of determining price reasonableness on the previous order(s):

Lowest price quoted in competition

Current price lists, catalogs, or advertisements (Inclusion of price list, etc. does not, by itself, establish a F&R price). Provide rationale below or reference location of fair and reasonable determination in the contract file:

Comparison with similar items in a related industry;

Contracting officer's personal knowledge of the item being purchased;

Comparison to an independent Government estimate;

Other reasonable basis: _____

Explain factors other than low price used in award decision:

10. Proposed Contractor Determined to be Responsible [\[FAR 9.104, 9.405\]](#)

System for Award Management (SAM) record reviewed and printed on _____

Vendor is not listed on Excluded Parties List System (EPLS) (see SAM record).



Vendor has no delinquent debt subject to collection under the Treasury Offset Program (see SAM record) ([FAR 32.1108\(b\) \(2\)](#))

11. Small Business Socio-Economic Categories (check all that apply) & Dissolve:

SMALL BUSINESS SOCIOECONOMIC CATEGORY

Woman-Owned ([FAR 19.15](#))

Econ Disadvantaged Women-Owned ([FAR 19.15](#))

Veteran Owned ([FAR 19.14](#))

Service-Disabled Veteran Owned ([FAR 19.14](#))

8(a) ([FAR 19.8](#))

HUBZone ([FAR 19.13](#))

Small ([FAR 19.102](#) for SB set-asides eligibility)

Small Disadvantaged Business ([FAR 19.304](#))

OTHER

Educational Institution

Large

Non-Profit

Other (State, Local, HBCUs, MIs, Indian)

Foreign

Open Market Only – if making award to other than small businesses the order requires dissolution of the small business reserve/set-aside. ([FAR 19.502-2](#))

NO, vendor is a small business

YES, this is an open market award to an “other than small” business (other than a required source of supply or service). Complete the “Decision to Dissolve the Small Business Set Aside/Reserve” (below) has been executed IAW [FAR 19.502-2](#).

Decision to Dissolve the Small Business Reserve & Award to Other than Small Business

For actions valued greater than \$25,000 coordination with the Small Business Specialist required. In accordance with FAR Part 19, the Contracting Officer, by signature on the contract, has determined that this requirement cannot be awarded to a small business because:

Items are proprietary to original equipment manufacturer, which is an “other than small” business.

Purchase is for a subscription(s) or publication(s) available only from the publisher named.

_____ (number) small businesses solicited; however, no quotations were received.

The prices from small business sources were not considered to be competitive with market prices. Comparison quotes from at least two small businesses must be provided in the file.

Small business sources could not meet the required delivery date.

Small business item does not meet the salient characteristics.

Contracting Officer has determined through market research (documentation must be included in contract file) that there is not a reasonable expectation of obtaining offers from two or more responsible small business concerns that are competitive in terms of market prices, quality, and delivery. Note: Contracting officer should make award to the small business if only one small business source submits an offer that is acceptable in terms of price, quality and delivery.

Other (explain): _____

Signature of Contracting Officer

Date

Contracting Officer Makes Source Selection and Award Decision

12. Award Generation: Clauses, SOW, and/or Attachments

Incorporate clauses, SOW, and/or attachments into the award, send to contractor, and maintain in award file.

a. Check all that apply.

Other: _____

[Service Contract Labor Standards](#) Wage Determination (as applicable)

Statement of Work (including Period of Performance)

[Invoicing Instructions](#):



Invoice and Payment Provisions (Standard)

Invoice and Payment Provisions (GCPC)

Provisions and Clauses, Terms and Conditions:

GSA FSS and External Task/Delivery Orders

- HHSAR Clauses,
- Invoicing Instructions (see above)
- If Open Market Items included, incorporate Open Market clauses

Simplified Acquisitions (Commercial Items)

- Simplified Acquisitions (Commercial Items) Terms and Conditions,
- HHSAR Clauses,
- Invoicing Instructions (see above)

Simplified Acquisition (Other than Commercial)

- Simplified Acquisitions (Other than Commercial) Terms and Conditions,
- HHSAR Clauses,
- Invoicing Instructions (see above)

Internal Task/ Delivery Orders and all NIH BPA Orders

- Invoicing Instructions (see above)

b. Has the proposed contractor submitted their own terms and conditions or agreements?

No

Yes, and the terms and conditions were reviewed and modified as necessary to ensure compliance with the FAR, HHSAR and other applicable policies and procedures.

Add the following statement to the Purchase Order:

“This award incorporates only the Government provided provisions and clauses and terms and conditions as stated in the award. Contractor provided terms and conditions or “agreement” are for reference only. Should the terms of the Government award document and the terms of the Contractor provided terms and conditions or “agreement” conflict, the Government provided provisions and clauses and terms and conditions shall control.”

c. Licensing Agreements

See [NIH Policy Manual 6027 Review and Approval of Licensing Agreements for the Use of Proprietary Commercial Products and Services Obtained by NIH under an Acquisition](#):

This acquisition includes a vendor provided licensing agreement.

Yes No

Copy of licensing agreement and documentation of all reviews demonstrating compliance with NIH Policy Manual 6027 must be attached and made a part of the contract file.

The clause at [52.232-39](#); Unenforceability of Unauthorized Obligations has been incorporated

d. Data Rights [[FAR 27](#)]

YES NO

- Does the Government require ownership of data/information delivered under this award?

If, yes, coordinate with the Project Officer and Legal Counsel to determine proper Data Rights Clause. The following clause(s) are incorporated into the award:

- [FAR 52.227-14](#) (or alternate)
 Applicable Data Rights Clause:
-
-

e. Information Security [[FAR 39](#) and [HHSAR 339](#)]

YES NO

- Does the award include the receipt, transmission, creation, storage or processing of sensitive government owned information?

If yes, the Information Systems Security Officer (ISSO) must have been consulted at [requirement definition](#). And the following clause set must be incorporated: [Federal Information and Information Systems](#).

f. Protection of Individual Privacy [[FAR 24](#), [HHSAR 324](#), and [FAR 39.105](#)]

YES NO

- Does this requirement involve the design, development, or operation of a system of records on individuals on behalf of the agency to accomplish an agency function?

If yes, the Statement of Work must specifically identify the system of records and the design, development, or operation work to be performed; and provide procedures, rules and regulation implementing the Privacy Act. For commercial item acquisition, when necessary, incorporate FAR Clauses 52.224-1 and 52.224-2

- [FAR Clauses 52.224-1](#)
 [FAR Clauses 52.224-2](#)
 [HHSAR Clause 352.224-70 Privacy Act](#) (January 2006)
-
-

13. Federal Procurement Data System (FPDS) Reporting ([FPDS Manual](#))

Complete FPDS report for awards greater than MPT and any modification to a previously reported award.

- Copy of finalized FPDS report *printed* and filed on: _____

14. Certification

I hereby certify that all requirements of law, executive orders, regulations, and all other applicable procedures, including clearances and approvals, and file documentation requirements have been met.

_____ Date

Signature of Purchasing Agent, Contract Specialist, Buyer or Purchase Card Holder

_____ Date

Signature of Contracting Officer

Segregation of Duties Note: 1) the Contracting Officer may not be the same person as 2) the Funds Approving Official, or 3) the Receiving Official for this transaction.

15. Modifications

MOD ONE (1) - Modification issued per request from _____ Dated _____
by (PA) _____ Purpose: _____

(CO initials) _____ FPDS has been updated and printed for file, as required.

MOD TWO (2) - Modification issued per request from _____ Dated _____
by (PA) _____ Purpose: _____

(CO initials) _____ FPDS has been updated and printed for file, as required.

16. Receiving ([FAR 32.905\(c\)](#))

Receiving report or other Government documentation authorizing payment must, at a minimum, include:

- (a) Contract number or other authorization for supplies delivered or services performed.
- (b) Description of supplies delivered or services performed.
- (c) Quantities of supplies received and accepted or services performed, if applicable.
- (d) Date supplies delivered or services performed.
- (e) Date that the designated Government official accepted the supplies or services
- (f) Signature, printed name, title, mailing address, and telephone number of the designated Government official responsible for acceptance or approval functions.

Receiving Report (Receipt, Inspection and Acceptance) signed by _____

Dated _____ has been reviewed for contract compliance and included in file.

Segregation of Duties Note: 1) The Receiving Official (Federal Employee) may not be the same person as 2) the Funds Approving Official or 3) the Contracting Officer for this transaction.

 **17. Payment Being Issued Using GCPIC - Invoice Receipt**

- Invoice received from Contractor on: _____
- Contract, Receiving Report, and Invoice examined to ensure agreement

 **18. Payment Being Issued Using GCPIC - SAM Check Receipt**

- Before issuing payment, the Disbursing Official must verify the contractor has no delinquent debt subject to collection under the Treasury Offset Program (TOP). SAM Record printed for file (again!) on _____.
- GCPIC number provided to the contractor orally on _____.

19. Closeout - Simplified Closeout Procedures [FAR 4.804-1(a) (1)]

Simplified closeout procedures may be used for: 1) Purchase Orders and BPA Orders issued using Simplified Acquisition Procedures (FAR 13); 2) Delivery and Task Orders issued against GWACS and IDCs valued at or under the SAT; and 3) Delivery and Task Orders issued against GSA FSS of any amount.

For contracts that are more detailed or not eligible for closeout using simplified acquisition procedures, please follow the Contract Closeout procedures at [FAR 4.804](#).

- Contracting officer has received evidence of receipt, inspection, and acceptance of all products, supplies, equipment and/or services. Signed inspection report or receiving report is filed in the official award file. Date of Receipt of Property or Services _____.
- Contracting officer has received evidence of final payment. The evidence of final payment is filed in the official award file. Date of Final Payment _____.
- Contracting officer has closed-out this award in the Automated System of Record in accordance with NBS guidelines. Date award was closed out in NBS _____.

20. Retention Period [FAR 4.805]

As of September 12, 2014, retention period is 6 years after final payment.

After the retention period has expired, this acquisition file may be disposed of unless the contract is part of an investigation, has cases pending, or in litigation (including protests). The retention period (as above) starts after final payment or after final clearance or settlement, whichever is later.

Date this contract file may be destroyed _____

21. Notes and Conversation Records:
