



United States
Department of
Agriculture

Office of the
Assistant
Secretary for
Administration

Office of
Procurement
and Property
Management

Procurement
Operations
Division

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ACQUISITION OPERATING PROCEDURE (AOP)

FROM: Jodey Barnes-Edwards
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APR 07 2010

SUBJECT: AOP No. 7: Contract File Checklists

◆ **PURPOSE:** The purpose of this Acquisition Operating Procedure (AOP) is to establish Contract File Checklists that reflects essential documents, which must be included in the contract file for various procurement actions through the contracting phases. The Contract File Checklists will help assure contractual documentation are not inadvertently omitted and is uniformly formatted to effectuate a more expeditious review of the contract files. The Contract File Checklists incorporate contract references prescribed in the Federal Acquisition Regulation (FAR), Agriculture Acquisition Regulation and other USDA procedures or policies governing the acquisition process.

◆ **AUTHORITIES:** FAR Subparts 4.803 and 4.804, Government Contract Files.

◆ **PROCEDURES:**

1. The use of Contract File Checklists (Attachment) is mandatory for all procurement actions to be issued by the acquisition staff of the Departmental Management and Staff Offices. The Contract File Checklists are not all-inclusive; therefore, the Contracting Officer (CO) must refer to the FAR, AGAR and other regulatory requirements to ensure actions required by Statute, executive orders or regulations are completed and documented in the contract file.
2. Closeout Timeframes (*FAR 4.804-1*)
 - a) Simplified Acquisition Procedures (SAP) contracts - **within 1 day** after the CO receives evidence of receipt of deliverables/services and final payment.
 - b) Firm-Fixed-Price contracts (not using SAP) - **within 6 months** after the CO receives evidence of completion.
 - c) Settlement of Indirect Cost Rates - **within 36 months** of the CO receiving evidence of physical completion.
 - d) Litigation, Appeal, or Termination of contracts - **when the action is completed.**
 - e) All other contracts - **within 20 months** of the CO receiving evidence of physical.

3. Contract Completion Date:

- a) The CO will initiate the contract closeout procedures **within 14 days** after completion of the contract, including each option years; and/or each task, delivery, and call orders.
- b) Initiating the contract closeout procedure for each completed contract period helps with monitoring of contract performance; expedited the process to deobligated unliquidated funds; and reduces the numbers of unliquidated actions where no activity has occurred within a 12 month period on the contract if applicable.
- c) The CO may use the Contract Closeout Memorandum (Exhibit-1) to initiate the contract closeout procedure. The Contract Closeout Memorandum will be sent to the Program/Technical, which is responsible for certifying that all deliverables/services have been received and that final payment has been issued.
- d) A semi-annual "Contract Completion Date" report from FPDS-NG will be distributed to the acquisition staff. The report will provide the completion date and/or ultimate completion dates on awards specifying the contracts have been completed. The COs may use the Contract Completion Date report to initiate the Contract Closeout procedures.

4. Contract Closeout Filing and Storage:

- a) The CO will provide the closed contract file to the Procurement Operations Division (POD) Secretary for filing and storage.
- b) The POD Secretary will label the appropriate file boxes with the applicable contract data and then will send the file boxes to the POD Storage Area in the USDA, 1400 Independence Avenue SW., Washington, DC, Sub-Basement, Cage Number S637.



Instructions for the Contract File Checklists

The Contract File Checklists (herein referred to as Checklists) captures the record-keeping functions detailed in the Federal Acquisition Regulation (FAR) Subparts 4.803 and 4.804. The Checklists are for Contracts, with separate Checklists the different types of Construction and A&E Contracting, and Simplified Acquisitions. The Checklists contains the phases for **Pre-Award** (*Acquisition Planning, Procurement Request/ Solicitation Development, Solicitation & Evaluation*); and **Post-Award** (*Award, Contract Administration, Closeout*). The intent of the Checklists is to: facilitate the processing of all procurement actions, assuring file requirements are not inadvertently overlooked; present a professional work format; and, effectuate a more expeditious review of contract files. The Checklists contain references to FAR, Agriculture Acquisition Regulation (AGAR), and USDA or Regulatory references which require the submission of the referenced document. The use of the Checklists is mandatory for all procurement actions.

1. The 6-part file folders should be used for contracts and the pocket/standard file folders for Simplified Acquisition Procedures (SAP) actions.
2. Separate file folders should be used for the Pre-award and Post-award phases for contract that may be larger and will require additional file folders.
3. Contracts requiring multiple file folders for same contract should be numbered (i.e., Volume 1 of 3).
4. Select the appropriate Checklist for the procurement action.
5. The Checklists should be sequentially placed in the 6-part file folder from left to right.
6. The Closeout Checklist should be completed for SAP and contracts within the timeframes prescribed in FAR 4.804-1.
7. The Closeout Checklist will reflect deobligation of unliquidated obligations remaining on the contract after completion of the SAP and contract performance periods, and separate Closeout Checklist may be completed for each optional year; delivery, task, and call order, if applicable or when appropriate to do so after evidence of receipt and acceptance of all deliverables/services and final payment has been provided by the program and/or budget official to the Contracting Officer.
8. The Checklists may be used for competitive services purchases under SAP open market purchases, General Service Administration/Federal Supply Schedules (GSA/FSS) or other Governmentwide Acquisition Contracts (GWAC).
9. Place appropriate documents, tabbed, or otherwise identified, according to the Checklists.
10. Insert an alpha or numeric character in the "Tab" box to indicate the file location of the documents in the folders. If a document is not required, leave blank or insert N/A.

Instructions for the Contract File Checklists

11. Place documentation associated with a particular Checklist under each tab chronologically with the most recent action/event sequentially on top. The overall layout of the documents can be best used to fit individual needs.
12. Additional file documentation may be identified in the blank rows provided on the Checklist.
13. Complete the bottom portion of the Acquisition Planning Checklist, which identifies the Contract Specialist and other pertinent data. Update as required.
14. The Modification Checklist captures documentation pertinent to each modification issued. A separate Modification Checklist should be used for each modification. In addition to capturing documentation specific to each modification, use the blank rows on the Modification Checklist to provide a synopsis of additional information relating to the modification.
15. Although separate Checklists is provided for Award and Contract Administration, keep these documents together as they are so closely integrated.
16. The Construction Checklist identifies volume numbers in the heading. If additional volumes other than Pre-award and Post-award are not required, please disregard.



Contract File Checklist
(FAR Subpart 4.803)

DM/ Management Services
Procurement Operations Division

**ACQUISITION PLANNING, PROCUREMENT REQUEST
& SOLICITATION DEVELOPMENT**

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT		TAB	DOCUMENT	TAB
			23. Buy American Act Exception Determination (FAR 25.103)	
1.	Acquisition Plan (FAR 7.1)		24. Non-Personal Service Documentation (FAR 37.103(a)(3)(ii)) APPROVAL FOR ADVISORY/ASSISTANCE SERVICES	
2.	Market Research Analysis/RFI (FAR 7.102, 10, 12.202)		25. Approval of Letter Contract (FAR 16.603-3; AGAR 416.603)	
3.	Exchanges with Industry before Receipt of Proposals (FAR 14.207, 15.201)		26. Notice of Intent to Award Service Contract/Wage Determination/Installation Review (FAR 22.1000)	
4.	Industry Terms and Conditions		27. Draft RFP, Comments and Disposition (FAR 15.201(c)(6), 15.201(f))	
5.	General Requirements (FAR 8.001)		28. Solicitation Reviews, Comments, Approvals (FAR 14.202-6); DR 5000-4	
6.	Small Business Program Clearance/ Consideration/ Recommendations/ Determination (FAR 19.501, 19.803), DR 5090-001		29. Liquidated Damages Justification (FAR 11.5, 19.75-7, 22.302; AGAR 422.302)	
7.	Pro-Net Search		30. OGC (Legal) Review DR 5000-4 / CRB or CO Review	
8.	Quality Assurance Requirements (FAR 46.2)		31. Pre-solicitation COTR Correspondence (FAR 5.2)	
9.	Draft Documents and Disposition		32. Memoranda for Record	
10.	Acquisition Package (Procurement Requisition, Specifications/ Drawings/SOW/SOO/PWS, Government Estimate, Source List) (FAR 7.302, 11; AGAR 411.1, 411.2)		33. Agency Offering Letter to SBA for 8(a) (FAR 19.804-2)	
11.	List of GFE/GFI/GFP and Approvals (FAR 45.3; AGAR 445.3)		34. SBA Acceptance/COTR Correspondence	
12.	Determination to Make a Single Award (FAR 16.504(c))		35. PBSC Waiver (FAR 37.6)	
13.	Ratification Documentation (FAR 1.602-3; AGAR 401.602-3), AOP #4		36. Misc. Justifications: Section 508, AAR, NEPA, Former Employee (DN 5000-28)	
14.	Justifications & Approvals (FAR 6.3 & 8.4; AGAR 406.302-70), AOP #5		37. IT Delegation of Authority (DR 3130.1)	
15.	Pre-solicitation Synopsis/Notice, Response/Evaluation (FAR 5.2);		38.	
16.	D&F: Authority to Exclude a Source (FAR 6.202(b))		39.	
17.	Descriptive Literature Justification (FAR 14.202-5(c))		40.	
18.	Brand Name Justification (FAR 6.302-1(c)); 11.1, AOP #5		41.	
19.	Bid Samples Justification (FAR 14.202-4(d))		42.	
20.	Option Justification (FAR 17.205)		43.	
21.	Contract Type Justification (FAR 16.102(d))		44.	
22.	D&F: Interagency Acquisitions (Economy Act) (FAR)17.503 IDIQ, MULTIPLE AWARD CONTRACT(S) (FAR 16.5)		45.	
REQUISITION NO./SOLICITATION NO.			AMOUNT	
CONTRACTING OFFICER/TELEPHONE			COTR/TELEPHONE	
CONTRACTOR			PURCHASE REQUEST INITIATOR/TELEPHONE	
CONTACT/TELEPHONE			CONTRACT NO.	



Contract File Checklist
(FAR Subpart 4.803)

DM/ Management Services
Procurement Operations Division

SOLICITATION AND EVALUATION

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT		TAB	DOCUMENT		TAB
			27.	Pre-negotiation Objectives/Memorandum (FAR 15.406-1)	
1.	Prebid/Proposal Conference Minutes (FAR 14.207, 15.201(F))		28.	Communication with Offerors after Establishment of Competitive Range (FAR 15.306(d)) CTRs in/out of competitive range	
2.	IFB/RFI/RFP/RFQ (Including Amendments & Attachments) (FAR 14.2, 15; AGAR 414.2, 15)		29.	Final Proposal Revisions (FAR 15.307)	
3.	FedBizOpps Notification (FAR 5.201, 15.5, 35.0, 36.2)		30.	Source Selection Decision (FAR 15.308)	
4.	Bidder's List (FAR 4.803(a)(5), 14.205)		31.	Price Reasonableness Determination (FAR 12.209, 15.305(a)(1))	
5.	Abstract of Bids/Proposals (FAR 14.403)		32.	Price Negotiation Memorandum (FAR 15.406-3)	
6.	Accepted Bids, Proposals		33.	Cost and Pricing Data, or other the Cost and Pricing Data (FAR 15.4)	
7.	Late Bids, Proposals, Mistakes, No-Bid, Determinations (FAR 14.304, 14.407, 15.208; AGAR 414.4)		34.	D&F: Authorization for Advance Payments (FAR 32.410; AGAR 432.4)	
8.	IFB/RFP Cancellation/Rejection Determination (FAR 14.404-1, 15.208(e); AGAR 414.404-1)		35.	Subcontracting Plan Review & Clearance Sheet (FAR 19.702, 19.705-4), OSDBU 2/01	
9.	Pre-Award Survey (FAR 9.106)		36.	Letters to Unsuccessful Offerors (FAR 15.503)	
10.	Determination of Responsibility/Non-responsibility (FAR 9.105-2);		37.	Debriefing Summaries (FAR 15.5, 42.504) Pre-Award	
11.	Certificate of Competency Actions (FAR 19.6; AGAR 419.6)		38.	Memoranda for Record	
12.	EEO Compliance Review (FAR 22.805)		39.	Parties Excluded from Procurement Programs – Responsibility Determination (FAR 9.405; AGAR 409.405)	
13.	Influencing Activities Disclosure Forms (FAR 3.804)		40.	Correspondence	
14.	Make or Buy Decisions (FAR 15.407-2)		41.	Pre-award Protests (FAR 33.103, 19.302, 19.305, 33.104)	
15.	New Technology, Patents, Data Rights Determinations (FAR 27)		42.	Waiver of Facilities (FAR 15.408(ii))	
16.	Contract Deviations (FAR 1.4; AGAR 401.4)		43.	Unsolicited Proposal & Evaluations (FAR 15.6)	
17.	Software License Agreements (FAR 12.212, 27.400); DR 5000-4		44.	Certificate of Insurance	
18.	Overtime Premium Approval (FAR 22.103-4; AGAR 422-103-4)		45.	Economic Price Adjustment Determination/Approval (FAR 32.4/AGAR 416.2)	
19.	Cancellation/Conversion to RFP (FAR 14.401-1(e)- (f));		46.	Audit of Contractor's Cost (FAR 15.4)	
20.	Source Selection Plan incl Evaluation Criteria & HCA Approval (FAR 15.3)		47.		
21.	SEB/SSA/TEP Appointments		48.		
22.	Proposal Evaluation / TEP Worksheets (FAR 15.305)		49.		
23.	Past Performance Evaluation		50.		
24.	TEP Evaluation Report		51.		
25.	Cost/Price Analysis (FAR 15.404; AGAR 415.404-4)		52.		
26.	Competitive Range Determination (FAR 15.306(c)), DR 5000-4		53.		



Contract File Checklist
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AWARD DOCUMENTATION

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT		TAB	DOCUMENT	TAB
				28.
1.	Contract			29.
2.	Executed Modifications			30.
3.	Post Award Debriefing			31.
4.	Contract Distributions: <ul style="list-style-type: none"> • Contractor • Budget • Payment Office • COTR • Requisition • Property • File 			32.
5.	Successful Offeror, Reps and Certs (FAR 15.504)			33.
6.	Contract Reviews, Comments Approvals DR 5000-4, CRB, OGC and/or CO			34.
7.	COTR APPOINTMENT LETTER			35.
8.	Post-Award Synopsis/Press Release, Congressional Notification (FAR 5.301; AGAR 405.303)			36.
9.	FPDS-NG Report (FAR 4.602)			37.
10.	Parties Excluded from Procurement Programs (FAR 9.405; AGAR 409.405)			38.
11.	Contract			39.
12.	Memoranda for Record			40.
13.	COTR Correspondence			41.
14.				42.
15.				43.
16.				44.
17.				45.
18.				46.
19.				47.
20.				48.
21.				49.
22.				50.
23.				51.
24.				52.
25.				53.



Contract File Checklist
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CONTRACT ADMINISTRATION

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT		TAB	DOCUMENT	TAB
			27. Contract Administration Modifications/Task Orders	
1.	Delegations (FAR 42.2; AGAR 442.2)		28. Modification Log Summary Sheet followed by Modification (Use Individual Sheet for each Modification)	
2.	Government Surveillance Plan & Reports/Quality Assurance Plans (FAR 37.602-2)		29. Log Sheet for Task Orders (Task/Deliver Orders, including Supporting Documentation and any details located within this Checklist may be located in standalone files)	
3.	Post Award Conference Report (FAR 42.503; AGAR 415.570)		30. Contract Administration Invoices	
4.	Technical Direction		31. Public Voucher/Progress Payments/Invoices (FAR 32)	
5.	Subcontract Consent (FAR 44.201)		32. Memoranda for Record	
6.	Subcontracting Reports (FAR 19.704)		33.	
7.	General Correspondence		34.	
8.	Memoranda for Record		35.	
9.	Audit Reports (FAR 42.1; AGAR 442.102)		36.	
10.	Inspection/Acceptance Documentation (FAR 46.5-6)		37.	
11.	Purchasing Systems Reviews (FAR 44.301)		38.	
12.	Past Performance Assessment (FAR 42.15; AGAR 442.1502, AGAR Adv 88)		39.	
13.	Authorization to use Government Supply Sources (FAR 51.102)		40.	
14.	Suspension of Work/Stop Work Orders/Delays/Cure Notices (FAR 42.13)		41.	
15.	GFE/GFP Inventories (FAR 45.508-1, 45.505, 45.615; AGAR 445.608)		42.	
16.	Progress Reports		43.	
17.	Progress Meeting Notes		44.	
18.	Completion Data Monitoring		45.	
19.	Engineering Change Proposal (FAR 48)		46.	
20.	Rejected Engineering Change Proposal (FAR 48.105)		47.	
21.	Claims (FAR 33.2; AGAR 433.2)		48.	
22.	Royalty, Invention, Copyright Reports (FAR 27.2 - 27.4)		49.	
23.	Waivers from Contractual Requirements/Disapproval of Waiver Requests		50.	
24.	Freedom of Information Act (FOIA) Requests (FAR 24.2)		51.	
25.	Post-Award Protests & Appeals (FAR 33.103, 19.302, 19.305, 33.104)		52.	
26.			53.	



Contract File Checklist
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MODIFICATION DOCUMENTATION

(Use for each Modification)

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT		TAB	DOCUMENT		TAB
1.	Initial Correspondence				
	Procurement Requisition				
	Price Negotiation Memorandum/ Award Memo Correspondence				
	Request for Information				
	Contractor's Proposal Modification				
	Evaluation of Modification (Technical and Cost/Price)				
	Other Documentation				
2.	Modification Status				
	Mod #: _____				
	Mod Date: _____				
	Amount (+) or (-): \$ _____				
	Period of Performance Extension:				
	From: _____				
	To: _____				
	Purpose of Modification:				
3.	Additional Documentation				
	Termination Settlement Report (FAR 49)				
	Assignment of Claims (FAR 32.8; AGAR 432.8)				
	Novation Agreement (FAR 42.12)				
	Wage Determination Revisions (FAR 22.404-6; AGAR 422.404-6)				
	D&F Exercise of Options (FAR 17.207(b)-(f))				
	Options, Contractor Notification Letter (FAR 17.207(a))				



Contract File Checklist
(FAR Subpart 4.803)

DM/ Management Services
Procurement Operations Division

CONSTRUCTION (RFP - 8(a) Non-Competitive)

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT	TAB	DOCUMENT	TAB
Volume I – Preaward		Volume V- Award & Post Award Documentation	
PART 1		PART 1	
Government Estimate (FAR 36.203)		Summary of Award/Memo to the File (FAR 4.803)	
Procurement Plan (FAR 7.1) incl. Milestones		Notice of Award (FAR 36.213-4)	
Small Business Program Clearance/ Consideration/ Recommendations / Determination (FAR 19.501, 19.803), DR 5090-001		OFCCP Notice (FAR 22.804)	
EPLS, CCR, FPDS-NG		Congressional Notification (>\$1 Million) (FAR 5.3)	
VECP – FAR 48, (AGAR 448)		COTR/EPM Appointment Letters (FAR 46.1)	
PART 2		PART 2	
SBA Offering Letter & Response; SBA Certification (FAR 19.8)		Performance & Payment Bonds (FAR 28)	
Wage Determination (FAR 22.4)		Insurance Certificate (FAR 28)	
Memos to the File (FAR 4.803)		SF-1413's, Statement & Acknowledgement (Prime & Subs) (FAR 22.406-5)	
PART 3		Notice to Proceed (FAR 36.213-4)	
Pre-Proposal Conference Documentation (FAR 36.212)		Preconstruction Conference Documentation (FAR 36.212)	
Contractor's Proposal(s) (FAR 4.803)		PART 3	
Evaluation Report (if applicable) (FAR 15.3)		Memos to the File/General Correspondence (FAR 4.803)	
Negotiation Memos (FAR 15.4) PNP/PNM incl. indirect cost rate agreement		Volume VI – Contract Review Board/OGC	
Volume II – RFP & Amendments (w/Specs & Drawings)		Volume VII – Requests for Information & Backup Documentation	
Volume III – Award		Volume VIII – Progress Reports & Meeting Minutes (AGAR 437.2)	
PART 1		Volume IX – Inspection Reports	
Procurement Requisition (FAR 4.803)		Volume X – Payments/Payment Record Sheet	
Reps & Certs (FAR 4.803)		Volume IX – Payrolls (Accordion File Folder as necessary)	
Contract (w/FPDS) (FAR 4.803)			
Volume IV – Post Award – Modifications & Backup Documentation			
REQUISITION NO.		AMOUNT	
CONTRACTING OFFICER/TELEPHONE		COTR/TELEPHONE	
CONTRACTOR		PURCHASE REQUEST INITIATOR/TELEPHONE	
CONTACT/TELEPHONE		CONTRACT NO.	



Contract File Checklist
(FAR Subpart 4.803)

CONSTRUCTION (RFP - Competitive)

DM/ Management Services
Procurement Operations Division

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT	TAB	DOCUMENT	TAB
Volume I – Pre-Award		PART 5	
PART 1		Letters to Unsuccessful Offerors (FAR 15.5)	
Government Estimate (FAR 36.203)		Determination of Responsibility Documentation (FAR 9.105)	
Procurement Plan (FAR 7.1)/ Milestones		Volume II – RFP w/Amendments and Specs & Drawings	
Small Business Program Clearance/ Consideration/ Recommendations / Determination (FAR 19.501, 19.803, DR 5090-001)		Volume III – Award	
EPLS, CCR, FPDS-NG		Procurement Requisition (FAR 4.803)	
Determination & Findings for Liquidated Damages (FAR 11.5, 36.2)		Reps and Certs (FAR 4.803)	
PART 2		Contract w/FPDS (FAR 4.803)	
Pre-Solicitation Notice (>\$100K) (FAR 36.213-2)		Volume IV – Post Award / Modification, Backup Documentation (Procurement requisition, FPDS's, Memos to File, etc.)	
Wage Determination (FAR 22.4)		Volume V – Award and Post-Award Documentation	
FedBizOpps Notice (FAR 5.2)		PART 1	
VECP – FAR 48, (AGAR 448)		Memo to Award (FAR 36.213-4)	
Mailing List (FAR 4.803)		FedBizOpps Notice of Award (FAR 5.3)	
PART 3		Notice of Award to Contractor (FAR 15.504)	
Pre-Proposal Conference Documentation (FAR 36.212)		OFCCP Notice (FAR 22.804)	
TEP Appointment Letters (FAR 4.803, 15.3)		COTR/EPM Appointment Letters (FAR 46.1)	
TEP Initial Evaluation Report (FAR 15.3, 15.4)		Congressional Notification (>\$1 Million) (FAR 5.3)	
Competitive Range Determination (FAR 15.3)		PART 2	
Notice to Offerors Not In Competitive Range (FAR 15.5)		Performance & Payment Bonds (FAR 28)	
Notice to Offerors In Competitive Range (FAR 15.5)		Insurance Certificate (FAR 28)	
PART 4		SF-1413's, Statement of Acknowledgement (Prime & Subs) (FAR 22.406-5)	
Unsuccessful Offers w/Copies of Bid Bonds, Sects. A, B, K (If documents are too large, include note on location) (FAR 4.803)		Notice to Proceed (FAR 36.213-4)	
Rejected Offers w/Copies of Bid Bonds, Sects. A, B, K (If documents are too large, include note on location) (FAR 4.803)		Pre-Construction Conference Documentation (FAR 36.213, 4.803)	
TEP Final Evaluation Report		Debriefing Notes/Memos (FAR 15.5)	
Negotiation Memos (FAR 15.4) PNP/PNM incl. indirect cost agreement		GFE/GFM/GFP Documentation	
REQUISITION NO./SOLICITATION NO.		AMOUNT	
CONTRACTING OFFICER/TELEPHONE		COTR/TELEPHONE	
CONTRACTOR		PURCHASE REQUEST INITIATOR/TELEPHONE	
CONTACT/TELEPHONE		CONTRACT NO.	



Contract File Checklist
(FAR Subpart 4.803)

DM/ Management Services
Procurement Operations Division

CONSTRUCTION (IFB)

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT	TAB	DOCUMENT	TAB
Volume I – Pre-Award		Volume III – Award	
PART 1		PART 1	
Government Estimate (FAR 36.203)		Procurement Requisition (FAR 4.803)	
Procurement Plan (FAR 7.1)/Milestones		Reps and Certs (FAR 4.803)	
Small Business Program Clearance/ Consideration/ Recommendations / Determination (FAR 19.501, 19.80), DR 5090-001		Contract w/FPDS (FAR 4.803)	
REVIEWS: CRB, OGC, CO		Volume IV – Post Award – Modification/Backup Documentation (Procurement Requisition, FPDS's, Memos to File, etc.)	
EPLS, CCR		Volume V – Award and Post-Award Documentation	
PART 2		PART 1	
Pre-Solicitation Notice (>\$100K) (FAR 36.213)		Summary/Memo to Award (FAR 14.408)	
Wage Determination (FAR 22.4)		FedBizOpps Notice of Award (FAR 5.3)	
FedBizOpps Notice (FAR 5.2)		Congressional Notification (>\$1 Million) (FAR 5.3)	
PART 3		Notice of Award (FAR 36.213-4, 14.408-1)	
Mailing List (FAR 4.803)		OFCCP Notice (FAR 22.804)	
Pre-Bid Conference Documentation (FAR 36.212)		COTR/EPM Appointment Letters (FAR 46.1)	
No Bid Letters (FAR 4.803)		PART 2	
Abstract of Offers (FAR 14.403)		Performance & Payment Bonds (FAR 28)	
PART 4		Insurance Certificate (FAR 28)	
Unsuccessful Bids w/Copies of Bid Bonds, Sects. A, B, K (If documents are too large, include note on location) (FAR 4.803)		SF-1413's, Statement of Acknowledgement (Prime & Subs) (FAR 22.406-5)	
Rejected Bids w/Copies of Bid Bonds, Sects. A, B, K (If documents are too large, include note on location) (FAR 4.803)		Notice to Proceed (FAR 36.213-4)	
Letters to Unsuccessful Bidders (FAR 14.409)		Pre-Construction Conference Documentation (FAR 36.213, 4.803)	
Responsibility Determination Documentation (FAR 9.105)		Subcontracting Plan (FAR 19.702), OSDBU 02/01	
PART 5		SF 294/295 Subcontracting Reports (FAR 19.705)	
General/Miscellaneous Correspondence (FAR 4.803)		Volume V – Contract Review Board (if applicable)	
Volume II – IFB w/Amendments and Specs & Drawings		Volume VI – Mistake in Bid Documentation (if applicable)	
		Volume VII – Correspondence	
REQUISITION NO./SOLICITATION NO.		AMOUNT	
CONTRACTING OFFICER/TELEPHONE		COTR/TELEPHONE	
CONTRACTOR		PURCHASE REQUEST INITIATOR/TELEPHONE	
CONTACT/TELEPHONE		CONTRACT NO.	



Contract File Checklist
(FAR Subpart 4.803)

DM/ Management Services
Procurement Operations Division

CONSTRUCTION CONTRACT

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT	TAB	DOCUMENT	TAB
Volume I		PART 5	
PART 1		Memo of Award w/Responsibility Determination (FAR 9.105) Incl. EPLS, CCR	
Government Estimate (FAR 36.203)		FedBizOpps Notice of Award (FAR 5.301)	
Procurement Plan (FAR 7.1)		Notice of Award to Contractor (FAR 36.213-4, 14.408-1)	
Small Business Program Clearance/ Consideration/ Recommendations / Determination (FAR 19.501, 19.803), DR 5090-001		OFCCP Notice (FAR 22.804)	
Wage Determination (FAR 22.4)		COTR/EPM Appointment Letters (FAR 46.1)	
PART 2		PART 6	
Pre-Solicitation Notice SF-1417 (>\$100K) (FAR 36.213)		Performance & Payment Bonds (FAR 28)	
FedBizOpps Notice (FAR 5.2)		Insurance Certificate (FAR 28)	
SBA Offering Letter, Response, Certification (8(a) Set-aside only) (FAR 19.8)		SF-1413's, Statement of Acknowledgement (Prime & Subs) (FAR 22.406-5)	
General Correspondence/Memos to File (FAR 4.803)		Notice to Proceed (FAR 36.213)	
Solicitation/Contract Reviews CRB, OGC and/or CO		Pre-Construction Conference Documentation (FAR 4.803)	
PART 3			
Mailing List(s) (FAR 4.803), EPLS, CCR		Volume II – IFB/RFP w/Amendments & Specs & Drawings	
Pre-Bid Conference Documentation (FAR 36.212)		Volume III – Contract	
No Bid Letters (FAR 4.803)		PART 1	
8(a) Proposals (if applicable) (FAR 4.803)		Procurement Requisition	
Negotiation Memo(s) (if applicable) (FAR 15.3, 15.4), PNP/PNM		Representations and Certifications (FAR 4.803)	
PART 4		Contract w/FPDS (FAR 4.803)	
Unsuccessful Offers w/Copies of Bid Bonds, Sects. A, B, K (If documents are too large, include note on location) (FAR 4.803)		PART 2 – Modifications w/Backup Documentation (AD-700, FPDS, and Memos to File)	
Rejected Offers w/Copies of Bid Bonds, Sects. A, B, K (If documents are too large, include note on location) (FAR 4.803)		Part 3	
Letters to Unsuccessful Offerors (FAR 14.409)		Inspection Reports	
Abstract of Offerors (FAR 14.409)		Job Meeting Minutes/Progress Reports	
		Part 4 – General Correspondence/Memos to File	
		Volume IV – Invoices and Payroll Records	
		Volume V – Mistake in Bids w/Backup Documentation	
REQUISITION NO./SOLICITATION NO.		AMOUNT	
CONTRACTING OFFICER/TELEPHONE		COTR/TELEPHONE	
CONTRACTOR		PURCHASE REQUEST INITIATOR/TELEPHONE	
CONTACT/TELEPHONE		CONTRACT NO.	



Contract File Checklist
(FAR Subpart 4.803)

DM/ Management Services
Procurement Operations Division

ARCHITECT & ENGINEERING (Project Specific)

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT	TAB	DOCUMENT	TAB
Volume I – Pre-Award		Volume III – Evaluation	
PART 1		PART 1 – Initial Evaluation Sheets w/Scores (FAR 36.602-3)	
Statement of Work & Government Estimate (FAR 36.605)		PART 2 – Revised/Final Evaluation Sheets w/Scores (FAR 36-602-3)	
REVIEWS: CRB, OGC, CO		Volume IV – Award	
SB Program Clearance/ Determination, Market Research (FAR 19.501(d)), DR 5090-001		PART 1	
FedBizOpps Notice (FAR 5.2, 36.601-1)		Procurement Requisition (FAR 4.803)	
Procurement Plan (FAR)7.1 incl. Interview Questions		Reps and Certs (FAR 4.803)	
PART 2		Contract w/FPDS (FAR 4.803) incl. EPLS & CCR	
TEP Appointment Letters (FAR 36.602-2)		PART 2 – Modifications w/Backup Documentation (AD-700, FPDS, Memos to File, Correspondence, etc.)	
TEP Initial Evaluation Report (FAR 36.602-3)		Volume V – SF 330 & Presentation Material from Successful A-E	
Short List Letter to Selection Official & Approval (FAR 36.602-3)		Volume VI – Post-Award	
Invitation Letters to Short Listed Firms		PART 1	
Letters to Unsuccessful Firms (FAR 36.607)		Notice of Award to Contractor (FAR 15.504)	
PART 3		Memo of Award w/Responsibility Determination (FAR 9.105)	
TEP 2 nd Evaluation Report (FAR 36.602-3)		FedBizOpps Notice of Award (FAR 5.3)	
Letter to Selection Official on Recommended Firm for Negotiation & Approval (FAR 36.602-4)		Notice of Award to Contractor (FAR 15.504)	
Letters to Unsuccessful Short Listed Firms (FAR 36.607)		Congressional Notification (>\$1 Million) (FAR 5.3)	
PART 4		COTR/EPM Appointment Letters (FAR 46.1)	
Proposal(s) (FAR 4.803)		PART 2	
Pre-Negotiation Memo (FAR 15.4)		Subcontracting Review and Clearance Sheet (over \$500K) (if applicable) (FAR 19.702), OSDBU 02/01	
Memo of Award (FAR 4.803)		Subcontracting Reports (if applicable) (FAR 19.705)	
PNP/PNM			
General Correspondence (FAR 4.803)		PART 3 – Correspondence	
Volume II – SF-254/255 & Presentation Material from Unsolicited A-E Firms		Volume VIII– Solicitation Package Mailing Charges w/Copies of Bank Checks	
		Volume IX– Payments/Payment Record Sheet	
REQUISITION NO./SOLICITATION NO.		AMOUNT	
CONTRACTING OFFICER/TELEPHONE		COTR/TELEPHONE	
CONTRACTOR		PURCHASE REQUEST INITIATOR/TELEPHONE	
CONTACT/TELEPHONE		CONTRACT NO.	



DM/ Management Services
Procurement Operations Division

ARCHITECT & ENGINEERING (Indefinite Quantity Contract)

If document is required, list the alpha or number character in the "TAB" column, or use folder identifier if there is more than one folder.

DOCUMENT	TAB	DOCUMENT	TAB
Volume I – Pre-Award		Volume IV – Award	
PART 1		PART 1	
Statement of Work		Procurement Requisition (<i>FAR 4.803</i>)	
Procurement Plan (<i>FAR</i>)7.1 incl. Determination for IDIQ & Interview Questions /SSP		Reps and Certs (<i>FAR 4.803</i>)	
Set-Aside Determination/OSDBU Clearance, Market Research (<i>FAR 19.501(d)</i>)		Contract w/FPDS (<i>FAR 4.803</i>)	
FedBizOpps Notice (<i>FAR 5.2, 36.601-1</i>)		Volume V – Modifications w/Backup Documentation (Procurement Requisition, FPDS, Memos to File, Correspondence, etc.)	
PART 2		Volume VI – SF-330 & Presentation Material from Successful A-E	
TEP Appointment Letters (<i>FAR 36.602-2</i>)		Volume VII – Post-Award	
TEP Initial Evaluation Report (<i>FAR 36.602-3</i>)		PART 1	
Short List Letter to Selection Official & Approval (<i>FAR 36.602-3</i>)		Notice of Award to Contractor (<i>FAR 36.213-4, 15.504</i>)	
Invitation Letters to Short Listed Firms		Memo of Award w/Responsibility Determination (<i>FAR 9.105</i>) incl. CCR/EPLS	
Letters to Unsuccessful Firms (<i>FAR 36.607</i>)		FedBizOpps Notice of Award (<i>FAR 5.3</i>)	
PART 3		Notice of Award to Contractor (<i>FAR 15.504</i>)	
TEP 2 nd Evaluation Report (<i>FAR 36.602-3</i>)		Congressional Notification (>\$1 Million) (<i>FAR 5.3</i>)	
Letter to Selection Official on Recommended Firm for Negotiation & Approval (<i>FAR 36.602-4</i>)		COTR/EPM Appointment Letters (<i>FAR 46.1</i>)	
Letters to Unsuccessful Short Listed Firms (<i>FAR 36.607</i>)		PART 2	
PART 4		Subcontracting Plan (>\$500K if applicable) (<i>FAR 19.702</i>), OSDBU 02/01	
Proposal(s) (<i>FAR 4.803</i>)		Subcontracting Reports (if applicable) (<i>FAR 19.705</i>)	
Pre-Negotiation Memo (<i>FAR 15.4</i>)		Volume VIII– Solicitation Package Mailing Charges w/Copies of Bank Checks	
Memo of Award (<i>FAR 4.803</i>)		Volume IX– Payments/Payment Record Sheet	
General Correspondence (<i>FAR 4.803</i>)		Volume – X – Task Order Log	
Volume II – SF-330 & Presentation Material from Unsolicited A-E Firms		PART 1 – Log Sheet	
Volume III – Evaluation		PART 2 – Copies of Face Sheets of Task Orders	
PART 1 – Initial Evaluation Sheets w/Scores (<i>FAR 36.602-3</i>)		PART 3 – Copies of Contract Modifications	
PART 2 – Revised/Final Evaluation Sheets w/Scores (<i>FAR 36-602-3</i>)			
REQUISITION NO./SOLICITATION NO.		AMOUNT	
CONTRACTING OFFICER/TELEPHONE		COTR/TELEPHONE	
CONTRACTOR		PURCHASE REQUEST INITIATOR/TELEPHONE	
CONTACT/TELEPHONE		CONTRACT NO.	



Contract File Checklist
(FAR Subpart 4.803)

SIMPLIFIED ACQUISITION PROCEDURES

DM/ Management Services
Procurement Operations Division

If document is required, place a ✓ (check mark) in the "TAB" column, which indicates the documentation is in the file.

DOCUMENT		TAB	DOCUMENT		TAB									
1.	Procurement Requisition (SOW, Specifications, Gov't Estimate, suggested Sources)		15.	Rationale for Award										
2.	Justifications & Approvals / Waivers (Brand Name, IT, Telecomm, Contract for Advisory & Assistance) (FAR 6.302-1(c), 11.1, 6.3, 8.4); (AGAR 406.302-70); AOP #5		16.	Software License Agreements (FAR 12.212, 27.400; DR 5000-4)										
2.	Publicizing Time Met, 10 days (FAR 5.101(a)(2))		17.	EPLS & CCR Verification										
3.	Synopsis: Open Market over \$25,000 (FAR 5.101(a)(1))		18.	Option Justification (FAR 17.205)										
4.	Other Than Small Business Justification: The Contracting Officer, in compliance with (FAR 13.105 and 19.502-2), hereby determines that this requirement cannot be awarded by means of a small business small-purchase set-aside because:		19.	D&F: Exercise of Options (FAR 17.207(b)-(f))										
5.	Required Source of Supply Considered. (FAR 8) <ul style="list-style-type: none"> ▪ FPI ▪ Ability One ▪ Mandatory / Optional FSS ▪ GPO ▪ Motor Vehicle Leasing ▪ Sources other than those listed in (FAR 8.002(a)) 		20.	Options, Contractor Notification Letter (FAR 17.207(a))										
6.	Foreign Acquisition (FAR 25)		21.	Contract / FPDS										
7.	Warranties: (Repair parts from original equipment manufacturer) (FAR 46)		22.	Modifications and applicable backup documentation w/FPDS (Construction >\$500; >\$25,000 all others)										
8.	Software is proprietary to original equipment manufacturer, which is a large business firm.		23.	Davis-Bacon (Construction >\$2,000)										
9.	Market Research: Procurement history & market research reveals that is no reasonable expectations that offers will be obtained from two or more responsible SB Concerns that are competitive in terms of market price, quality and delivery (FAR 10), (FAR 8.602)		24.	Payment Bond (Construction \$25,000 - \$100,000)										
10.	Small Business Set-aside (FAR)13.003(b)) HUBZone Considered SDV Considered		25.	Notice to SBA 8(a) Award and Copy of Award (AGAR 22)										
11.	Price quoted is fair and reasonable based: <ul style="list-style-type: none"> ▪ Effective competition from ___ sources was obtained ▪ Comparison of proposed price with competitive prices in previous procurements <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Award #</th> <th style="text-align: left;">Date</th> <th style="text-align: left;">Price</th> </tr> </thead> <tbody> <tr> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table> <ul style="list-style-type: none"> ▪ Current Price Lists, Schedules (including GSA), Catalogs, Advertisements (Attach copy or cite price lists, schedule number, date, and page) ▪ Other (explain) 	Award #	Date	Price	_____	_____	_____	_____	_____	_____		26.	Record of Payments	
Award #	Date	Price												
_____	_____	_____												
_____	_____	_____												
12.	Abstract of quotations/price analysis		27.	Acceptance										
13.	Solicitation & Amendments		28.											
14.	Solicitation & Amendment Correspondence		29.											
REQUISITION NO/RFQ NO.			AMOUNT											
CONTRACTING OFFICER/TELEPHONE			PURCHASE REQUEST INITIATOR/TELEPHONE											
CONTRACTOR/CONTACT/TELEPHONE			PURCHASE ORDER NO.											



Contract File Checklist
 (FAR 4.803, 4.804-1(a)(1)
 & 4.804-5(b))

DM/ Management Services
 Procurement Operations Division

SIMPLIFIED ACQUISITION CLOSEOUT

Place the document in the file and list the alpha or number character in the "TAB" column.

	DOCUMENT	YES	NO		DOCUMENT	YES	NO
1.	An executed copy of the contract, and all required documentation is in the contract file.			10.			
2.	All executed modifications with appropriate documentation are in the contract file.			11.			
3.	Documentation or other evidence of receipt and acceptance of all deliverables/services have been completed from the program official, technical point of contact, etc.			12.			
4.	Documentation or other evidence of final payment.			13.			
5.	Contract funds review is completed and excess funds deobligated			14.			
6.	Last Modification Number and Date Mod No.: _____ Date of Mod: _____			15.			
7.	Last Call or Order Number and Date Call/Order No.: _____ Call/Order Date: _____			16.			
8.	Dollar Amount of Excess/Unliquidated Funds to deobligated \$ _____			17.			
9.	Final Invoice Number and Date Invoice No.: _____ Date of Invoice: _____			18.			

Contracting Office Name and Address

Contract Administration Office Name and Address
(if not the same as the Contracting Office)

CONTRACTING OFFICER'S COMPLETION STATEMENT

All contract administration functions have been fully and satisfactorily completed. As a result of a final review of the contract file, it is determined that to the best of my knowledge all terms and conditions of the subject contract have been complied with and the file so documented. Consequently, all necessary actions required to close the subject contract are hereby considered complete as evidenced by the closeout checklist contained in this file.

CONTRACT NUMBER:

CONTRACTING OFFICER SIGNATURE

DATE



Contract File Checklist
(FAR Subpart 4.803)

CONTRACT CLOSEOUT

DM/ Management Services
Procurement Operations Division

If document is required, list the alpha or number character in the "TAB" column.

After completion of contract performance periods, separate Closeout Checklists may be completed for base and each optional year; delivery, task, and call order, if applicable or when appropriate to do so after evidence of receipt and acceptance of all deliverables/services and final payment has been provided by the program and/or budget official to the Contracting Officer.

DOCUMENT		TAB	DOCUMENT	TAB
			26.	
1.	Completion Statement , Closeout Letters/ Memorandum (FAR 4.804)		27.	
2.	Warranty Information (FAR 46.7, 12.404)		28.	
3.	Release of Claims		29.	
4.	Audit Information		30.	
5.	Location Closeout Letter & Response (FAR 4.805)		31.	
6.	Payment Office Closeout Letter & Response (FAR 4.804)		32.	
7.	Disposition of GFE & GFP (FAR 45.5, 45.6)		33.	
8.	Date Sent to Federal Records Center (FAR 4.805)		34.	
9.	Other Closeout Documentation		35.	
10.	EPM Closeout Letter & Response Information		36.	
11.	Contractor Closeout Letter & Response Information		37.	
12.			38.	
13.			39.	
14.			40.	
15.			41.	
16.			42.	
17.			43.	
18.			44.	
19.			45.	
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21.			47.	
22.			48.	
23.			49.	
24.			50.	
25.			51.	



United States
Department of
Agriculture

Office of the
Assistant Secretary
for Administration

Departmental
Management/
Management
Services

Procurement
Operations Division

Reporters Building
300 7th Street, SW
Suite 353
Washington, DC
20024

TO: {Enter the name of COTR or Technical POC}
{Enter COTR or Technical POC}

FROM: {Enter the name of Contracting Officer}
Contracting Officer

SUBJECT: Contract Closeout
{Enter the Contract/PO/DO/TO/Call number}
{Enter the name of the Contractor}

In accordance with the Federal Acquisition Regulation Subpart 4.804, Closeout of Contract Files, the subject contract is being reviewed for closeout. The contract may be closed if applicable contract conditions have been fulfilled. Complete the information below for the subject contract and return the review to me by {Enter date}.

If you have any questions regarding this information, please contact me by telephone at {Enter phone number} or by email to {Enter email address}.

COTR/TECHNICAL POC CLOSEOUT REVIEW:

1. The contractor's performance under the contract has been evaluated and data pertinent to the closing of the contract is as noted below. All deliverables/services and/or reports required under the contract:

- Have been furnished.
- Have **not** been furnished and the list of exclusions is attached.

2. Government Furnished Property (GFP) was provided or acquired under the contract:

- Was returned to the Government.
- Was **not** returned to the Government.

3. Are there any extended warranties under the contract? If so, please list the equipment description, serial number and warranty duration:

Contract Closeout

{Enter the Contract Number}

{Enter the name of the Contractor}

4. All deliverables or services required under the contract:

- Have been received and accepted.
- Have not been received.
- Have been received but not accepted.

5. To ensure the payment of invoices under the contract prior to deobligation of any unliquidated amounts, **attached** a copy of the Financial Management Modernization Initiative (FMMI) screen print which displays the Obligation Header and Obligation Lines information for the contract. The Obligation Header and Obligation Lines screen prints should show the a) Order Amount, b) Closed Amount, c) Expended Amount, d) Accrued Amount, and e) Outstanding amount.

6. COTR/TECHNICAL POC CERTIFICATION:

I hereby recommend the following action:

- Closeout of this action is appropriate: All contract requirements have been met satisfactorily and are accepted.
- Delay closeout and final payment (give reasons below or attach statement).

COTR/Technical POC

Date

Title